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COMMISSION ON OUTREACH AND INTERNATIONAL AFFAIRS
Minutes
October 19, 2023; 3:30-4:30 p.m.
ALL ZOOM

</div>

Attendance (via Zoom): Francisco Carvallo (Presiding), Jan Helge Bøhn, Guru Ghosh, Mike Gutter, Paul Knox, Kristin Lamoureaux, Charles Lowery, Martin Ochoa, Katalin Parti, Lynn Resler, Susan Short, Richard Shryock
Absent with Notice: Terry Clements, Dave Close, Kenner Love, Lauren Maghak, Penny Muelenaer, Jennifer Nardine, Angela Scarpa, Megan Seibel
Guests: Kathy Hager, Laurel Miner, April Myers

Welcome and Self-Introductions: The meeting was called to order 3:31 p.m. Francisco Carvallo welcomed the group. Visual attendance was taken, at the start of the meeting, quorum was not reached.

1. **Announcement of Approval of Minutes, September 21, 2023:** Minutes from the September 21, 2023 meeting were sent out electronically for edits and were approved electronically. The minutes were sent to the Governance Information System; and can be found on the web (http://www.governance.vt.edu/).

2. **Award Selection Committee:** Francisco made the call for two (2) volunteers to serve on the Award Selection Committee, Martin Ochoa and Charles Lowery volunteered. Susan Short is a standing committee member and Francisco will contact a previous award winner to serve; which will round out the five (5) person committee.

3. **Revised Center Policies:** Laurel Miner gave a PowerPoint presentation **(see attached)** regarding the revised center policies. Information included combining policy 13005 and 3020 into one policy to streamline and clarify duplicate policies and be in alignment with peer institutions. Supplemental documents were sent out to members ahead of the meeting for changes **(see attached)**. The question was raised if the policies apply to international centers, the clarification was that if the center is a Virginia Tech center, and not considered an international partnership then the policy would apply. A question was raised if a center was to be set up for NSF, would the Virginia Tech rules apply or NSF; NSF rules would apply for that particular center. A formal vote was not required; but comments from COIA are encouraged and can either be sent to Laurel directly (laminer@vt.edu) or Kim Rhodes (rhodesk@vt.edu).

4. **Governance Feedback Discussion:** Francisco announced Kim O'Rourke would be presenting at the November 16, 2023 meeting regarding the new governance process. Members commented on the questions sent ahead of the meeting **(see attached)**. Jan Helge Bøhn indicated that not much has changed for COIA; but for other commissions it added another layer of approval, which causes them to run out of time unless they add more meetings in order to get approvals by the end of the academic year. Jan Helge also indicated that some other commissions have a representative/chair for three years that aligns with University Council; but COIA chair is selected for one (1) year appointments. April Myers acknowledged COIA Chairs serving for one (1) year appointments; and also indicated that the University Council Cabinet would be in place for the next two (2) years; and review of the University Council constitution and bylaws every three (3) years.

5. **Acceptance of Constituent Reports and/or Minutes:**
   a. **Chairman's Report:** Both University Council meetings for October were cancelled, there is no report.

b. **Virginia Cooperative Extension (VCE):** Mike Gutter gave an update for VCE that included a state-wide engagement campaign; he has visited between 60-70% of the districts and engaging district leaders and getting feedback on district needs.

c. **University Committee on International Affairs (UCIA):** Kimberly Rhodes gave the update for the September 25, 2023 UCIA meeting. The update included election of Vice Chair; Alumni Awards for International Education, Outreach and Research; International Education Week to occur November 13-17, 2023; MOU process/database working group update to review new vendors for the MOU database; Global Advancement and Alumni Engagement and Presidential priorities with affordability and international engagement; International at Home update with regard to the Global Learning Badge Pathway and the Study Abroad Fair on September 26 on the Drillfield.

d. **Engagement Leadership Council:** Susan Short announced that 15 Virginia Tech representatives attended the Engagement Scholarship Consortium Annual Conference hosted by Michigan State University (October 3-5). In addition, she requested that an agenda item for the November COIA meeting include the appointment of the university leadership team for the Carnegie Community Engagement Classification 2026 renewal application.

6. **Announcements/Commission Board Member Comments:** The call for announcements was made. Guru Ghosh announced that three faculty that were in Israel were able to move to safer ground and gave thanks to Allie Oberoi for her assistance; he, President Sands and Provost Clarke will be meeting with the President of the Republic of Botswana with Kathy Alexander leading the major initiative of One Health to include financial support for a massive infrastructure; research labs and study abroad programs. Guru also updated COIA on the Global Strategy Working Group which is working on a white paper to be sent to Provost Clarke before Thanksgiving; a youth workshop in agriculture to be held in Malawi that Tom Archibald and Joseph Mukuni are leading; discussion between the Hotel and Tourism Management department and NMIMS in Mumbai about creating a collaborative partnership; Kristin Lamoureux thanked Guru for facilitating the conversation. Guru also discussed the Times Higher Education (THE) conference to take place in China in November; Dan Sui will be presenting. Virginia Tech will be the host for 2025 for the THE conference to occur at the Innovation Campus in Alexandria. Continuing and Professional Education will support university leaders in the implementation of the conference. Heywood Fralin and Ben Davenport are looking to expand the 220 corridor from Roanoke to Danville and have had discussions to create a state-wide effort for the extension of the highway. Guru mentioned discussions to update the MOU process and make it more streamlined with he, Susan, Kathy Hager and Kimberly leading the efforts.

7. **Adjournment:** There being no further business; the meeting adjourned at 4:28 p.m.

The next meeting will be **November 16, 2023 from 3:30-4:30 p.m.; 120 Gateway/Zoom**.

Respectfully submitted,

Kimberly Rhodes, Recording Secretary

PROPOSED DATES FOR 2023-2024 (Meetings 3:30-4:30 p.m. unless indicated otherwise)

November 16, 2023	March 21, 2024
December 7, 2023	April 18, 2024
NO JANUARY MEETING	May 2, 2024
February 15, 2024	

Policies on Centers

Laurel Miner

October 12, 2023

RESEARCH AND INNOVATION
VIRGINIA TECH.

Relevant Policies

Policy 13005

Policy 3020

Policy 13005 revision history

✦ Established in 1996

✦ Major revision in 2011

  – Clarified variety of missions

  – Differentiated institutes

  – Required reviews of all centers

✦ Last revision in 2020
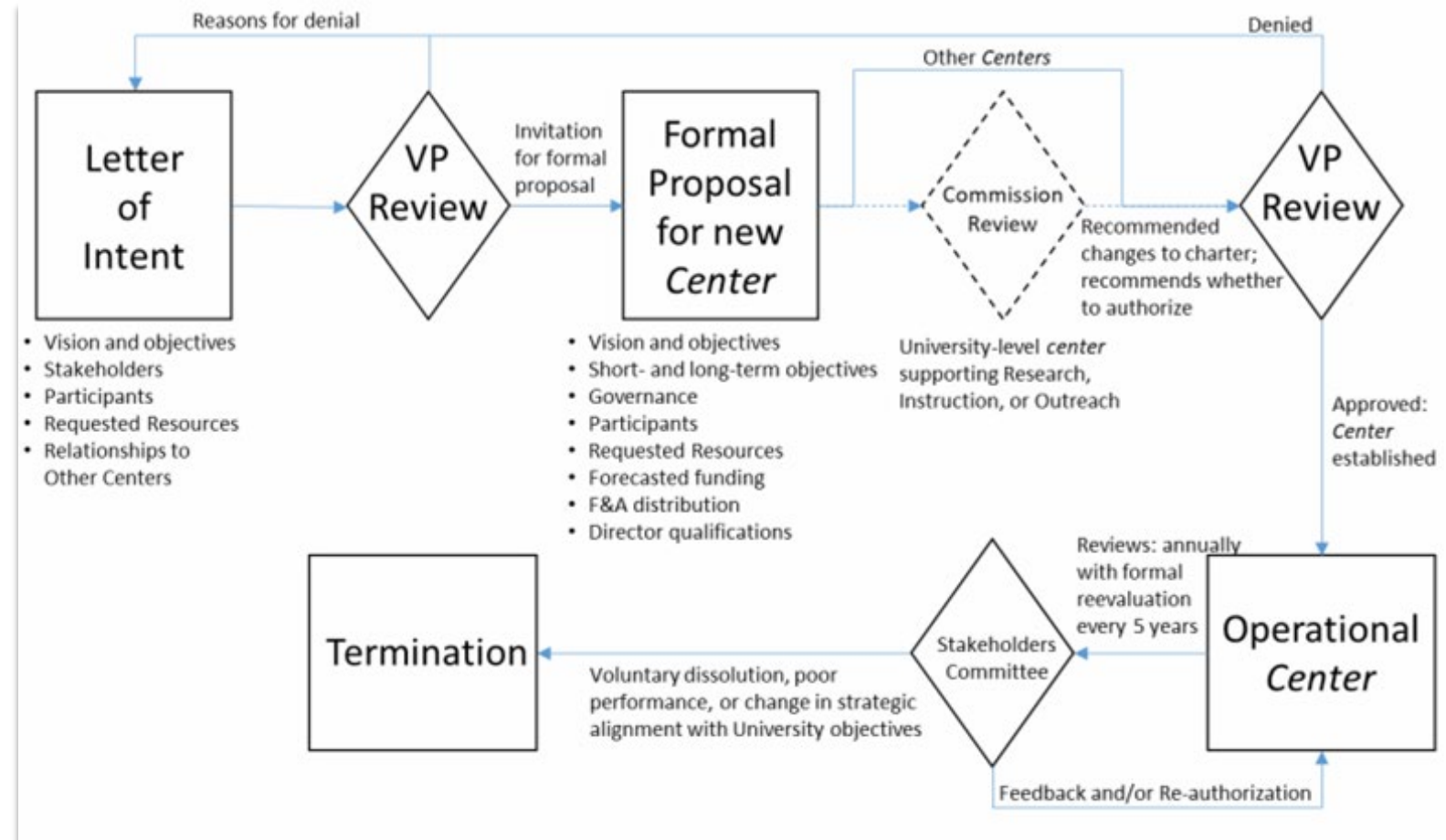
Working Group

Commission on Research	
Kevin McGuire	Professor of Forest Resources and Environmental Conservation; Water Resources Center
Kathy Lu	Professor of Materials Science and Engineering
Leanna Blevins	Assistant Vice President for Health Sciences Education and Student Affairs

Senior Vice President for Research and Innovation	
Laurel Miner	Chief of Staff and Assistant Vice President

Vice President for Outreach and International Affairs	
Susan Short	Associate Vice President for Engagement

Dean of the Graduate School	
Bill Huckle	Associate Dean

Vice Provost of Undergraduate Education	
Rachel Holloway	Vice Provost for Undergraduate Academic Affairs

Provost's Office	
Jeff Earley	Vice Provost for Academic Resource Management

Vice President for Policy and Governance	
Kim O'Rourke	Vice President for Policy and Governance
Dee Harris	Director of Policy Development & Coordination

Vice President for Finance	
Melinda West	Associate Vice President for Finance and University Controller

Other Representatives	
Pam Vandevord	Associate Dean for Research, College of Engineering

Goals

- Streamline, clarify, and de-duplicate policies

- Build parallel best practices, procedures, and guidelines

- Ensure centers are effective, well-supported, and serve the mission of the university

Peer Benchmarking

NORTHERN ARIZONA UNIVERSITY

Policy on the Establishment and Management of Research Centers, Public Service Centers, and Institutes at Northern Arizona University

Effective Date: March 1, 2013
Revised: September 9, 2016
Responsible Official: Vice President for Research

Introduction/Rationale
Many of society's most complex challenges are found at the interface of multiple disciplines, requiring a team science approach with expertise that falls outside of an individual department or school. The current highly competitive funding climate also places administrative expectations on research teams that are not easily met by individual academic units whose resources are spread broadly across teaching, research, and service obligations. Research Centers, Public Service Centers, and Institutes provide an organizational structure through which faculty can create innovative programs that keep the

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Home > Establishment, Management and Closure of Institutes, Centres and Research Networks - Policy

Establishment, Management and Closure of Institutes, Centres and Research Networks - Policy

Document Number:
1.30.06a
Topic:
1.30.06 Establishment, Management and Closure of Institutes, Centres and Research Networks [2]
Approval Authority:
Senate

PennState

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HOME / POLICIES AND GUIDELINES / ESTABLISHING RESEARCH INSTITUTES, CONSORTIA, AND CENTERS
RESEARCH ADMINISTRATION GUIDELINES

RAG05 Establishing Research Institutes, Consortia, and Centers

Policy Status: Active

Subject Matter Expert: Ruth Weber, 814-867-1463, rim100@psu.edu

Policy Steward: Senior Vice President for Research and Corporate Controller

Contents:
- Purpose
- Definitions
- Guidelines and Principles
- Required Approval
- Further Information

Division of Research
Guidelines for the Creation, Management, Evaluation, Modification and Dissolution of Texas A&M University Centers and Institutes

The vice president for research serves as the institutional official with oversight and monitoring responsibilities for university-wide administration of centers and institutes. The following provides general guidelines for the effective creation, management, evaluation, modification and dissolution of university centers and institutes.

I.   CREATION OF CENTERS AND INSTITUTES

A.   The creation of centers and institutes as defined in System Policy 11.02 and TAMU Standard Administrative Procedure 11.02.99.M0.01 requires prior approval by the board of regents (BORs). Please note the need for centers and institutes to be broader in scope than departments and colleges, respectively, according to the system definition. Thus, centers and institutes must be interdisciplinary with a scope which goes beyond departmental and college boundaries. They, thus, add value beyond what a departmental or college unit may provide. Besides being interdisciplinary, other ways centers and institutes may provide value is if they have unique facilities, they are already externally highly visible (for existing ones) or provide additional non-faculty expertise through their staff. Before deciding to create a new center or institute, please make sure among

Guidelines for Proposing New Centers and Institutes
Tufts University
May 2021

These guidelines outline the steps necessary to develop a written proposal, to obtain the approvals prerequisite to the creation of new Centers and Institutes, and for the evaluation of existing Centers and Institutes. The development of proposals for a new center or institute are supported by the university's Program Development & Approval Committee (PDAC). Initiatives, though defined here, are not subject to these guidelines and require only notification to PDAC. Questions about the role of PDAC can be directed to pdac@tufts.edu.

Definitions
- Center: a group of faculty and/or staff from at least two departments and/or schools organized around a specific research topic and funded by one or more schools, reporting to the dean of at least one school
- Institute: a group of faculty and/or staff from at least two departments and/or schools organized around a specific research topic funded at least in part by the university and reporting to the Provost's Office
- Initiative: A targeted program put in place to address a specific academic need

Please note: The above definitions apply only to Centers and Institutes developed from 2021 and on.

Overview

A proposal for a center or institute must pass through a formal approval process before it can be

WISCONSIN UNIVERSITY OF WISCONSIN–MADISON

Policy Number: UW-1002
University

Responsible Office: Academic Planning and Institutional Research

ESTABLISHING, EVALUATING, AND CHANGING CENTERS, INSTITUTES, AND CENTER-LIKE UNITS

Policy

I. **Introduction**

The university encourages faculty to group together both across and within departments to promote shared teaching and research interests. Departments are the standard unit for organizing teaching, research, and outreach in the university, as described in Faculty Policies and Procedures and other faculty legislation. Centers [1 (https://policy.wisc.edu/html/UW-1002.html#F1)] play a valuable function in organizing activities for groups of people who wish to work together in teaching and/or research and/or outreach on specialized topics. Some centers may be of enduring interest and could even be the basis of a new department in the future; others may exist for a more limited period.

Changes

Summary

- Creates list of criteria for establishing a new center.

- Clarifies that only centers/institutes created through policy may use those terms.

- Requires 5 year reviews to result in updated charter with clear metrics.

- Allows 5 year reviews of director and center to be combined.

- Establishes 'sponsored center'

- Eliminates policy 3020, incorporates requirements into 13005.

- Allows centers to be categorized under more than one mission line.

- Where possible, clarifies using tables, shifts to principles rather than procedures.

Policy

Policy

Establishes "criteria" for having a center; these criteria are referred to throughout the policy for establishment, review, renewal, and termination.

To effectively further the mission of the university, centers must meet several criteria:

- Fulfill a need that cannot be met through existing organizational units;

- Have a clear, unique mission and strategic vision that is directly tied to the mission of Virginia Tech and the administrative unit in which the center is housed;

- Have an identified Director who is equipped to effectively lead the center;

- Have sufficient breadth of faculty participation to ensure that its success does not depend either intellectually or financially on a single individual;

- Have well-defined governance structure and expectations of participants;

- Have strong support from its administrative leadership and participating units;

- Have a comprehensive financial plan to operate sustainably;

- Have concrete goals and metrics for progress and success; and

- Have a unique, descriptive name and acronym that does not overlap with other centers and units at Virginia Tech.

Policy

- Identifies administrative home as distinguishing characteristic, does not include mission area as defining characteristic.

- Establishes concept of "sponsored center"

- Clarifies that center are not generally established at university level.

Centers are established in one of four categories of administrative homes: in a department, a college, an Institute, or housed in a senior administrative office. The administrative home is determined by the scope of the center and units involved.

On occasion, external sponsorship or new mandates motivate the creation of a center. The "Sponsored Centers" have different thresholds for meeting these criteria and different requirements for reporting and review than those founded through primarily university resources and strategic intent.

Institutes are the primary means for coordinating and supporting large, cross-university, interdisciplinary endeavors across strategic focus areas. Due to the expansive scope, broad mission, and substantial resource investment in Institutes, they require additional oversight and cross-university engagement. Requests to establish a new Institute are expected to occur infrequently and only after careful, deliberative consideration. Centers are generally not established at the university-level.

Records

- Describes Charter, which must be updated and kept on hand and centrally;

- Strengthens expectations for establishing and regularly updating specific metrics.

- Vision and Mission;

- Description: Overview of the purpose of the center and the unique benefit it brings to the university, identification of which mission areas (research, education, outreach) the center engages with and description of mechanisms for that engagement;

- Governance: Director, Administrator, members of the Stakeholders' Committee Advisory Committee (as appropriate), and mechanisms for faculty and student involvement;

- Financial plan: the budget for the center, including sources and uses of funds, to sustain the center over its first five years;

- Metrics and goals: concrete metrics and goals, including methodology for acquiring data, for a five year period of center operation.

Compliance

- Clarifies that centers are expected to comply with policy, and will be reviewed (and potentially terminated) if not.
- Clarifies that only centers and institutes established through policy may use those terms.
- Provides a timeline for complying with policy.

The Provost or designee will request a review of all centers that are not in compliance with their review and reporting requirements.

Newly established centers must have their complete Proposal on record with the Office of the Provost database. Existing centers must submit a revised Charter to the Office of the Provost within six months of the delivery of the final report of their next scheduled five-year review.

The use of the terms "center" and "institute" are restricted to entities formed through the procedures described in this policy. Existing entities that use "center" or "institute" in their name have until (one year from approval of this policy) to change their name or submit a letter of intent to become an established center.

Procedures

Establishment

- Describes the process to a "consultation" and "proposal".

- "Proposal" must describe how the center meets criteria, include charter and letters of endorsement;

- Separate processes for centers, institutes, and sponsored centers

Administrative Category	Consultation	Commission review	Approval
Department-level Center	VP	no	VP
College-level Center	VP	no	VP
Institute-level Center	VP	no	VP
University-level Center	VP	yes	VP
Sponsored Center	None	no	Provost
Institute	Review team established by the Provost	yes	Provost

Governance

- Describes roles of Director, Administrator, and Stakeholders Committee. Only requires stakeholders committee when multiple units support center

Administrative Category	Administrator	Stakeholders Committee Required?
University-level Center	VP	Yes
Institute-level Center	Institute Director	No
College-level Center	Dean	Yes, if multiple units provide resources
Department-level Center	Department Head or Chair	Yes, if multiple units provide resources
Sponsored Center	Variable, may be any level	No
Institute	VP	Yes

Administrative Oversight and Periodic Review

- Streamlines discussion of annual reviews.

- Clarifies that reviews of Director and Center can happen at the same time.

Periodic Review: Director

- Doesn't describe process, but principles for reviews

1. The Administrator is responsible for appointing the review committee and its chair. The review committee is composed of individuals who have personal knowledge and experience of the Director's leadership but are not direct reports of the Director.

2. The review assesses both the Director's operational management and their programmatic leadership of the center's activities and personnel.

3. Input is solicited from faculty, staff, and students (as appropriate) who have substantial engagement with the Director. This input is gathered via surveys or interviews. Standard survey instruments are provided by []. The Administrator determines the survey recipients.

4. External reviewers are not typically involved in the review of the Director.

5. The report of the committee is confidential.

Periodic Review: Center

- Doesn't describe process, but principles for reviews
- New requirements to adjust budget, charter, and metrics following reviews
- Requires centers to revise their charter following 5-year review

1. The Administrator is responsible for appointing the review committee and its chair. The review committee is composed of representatives of organizations involved in the center, but does not include employees of the center. Review committees for Institutes and University Centers have at least five members; and must include a representative of the appropriate governance Commission(s) and a Director for another Institutes and University Centers.

2. The review assesses the accomplishments and performance of the center against its established purpose and goals. For the center's first periodic review, the proposal provides these goals. In subsequent reviews, these goals are described in response to the prior review.

3. The review's assessment includes the adequacy and efficacy of the center's resources (including financial, personnel, and facilities), and reaffirms that the center is not duplicative of other units at the university.

4. Input is solicited from faculty, staff, students, and external partners or parties (as appropriate) who have substantial engagement with the center. This input is gathered via surveys or interviews. Standard survey instruments are provided by []. The Administrator determines the survey recipients.

5. Reviews for University Centers and Institutes solicit substantial input from external parties who work in one or more of the disciplinary focus areas of the unit under review.

6. The report provides recommendations to the Director and the Administrator for improved mission delivery and operations of the center, and recommends re-authorization or termination of the center.

Periodic Review: Requested Reviews

- Provides framework for reviews requested due to inactivity or noncompliance

Center inactivity or non-compliance with this policy will prompt a request for review by the Provost or designee. In addition, the Administrator, Stakeholder's Committee, or Provost or Designee may request a review outside of the periodic review cycle.

The Administrator conducts the review using procedures appropriate for the scope of the center and the circumstances motivating the review. Regardless of the procedures used, the review must result in specific suggestions for ameliorating the deficiencies or a recommendation of termination. The Administrator establishes specific metrics and a well-defined timeline, not to exceed two years, for the center to address deficiencies in order to avoid termination.

Annual Report

- Eliminates duplicate reporting requirements;
- Adds flexibility in reporting timing and structure

The report is tailored to the scope and mission of the center, but at a minimum includes:

- Accomplishments for the reporting period along the key metrics specified in the center's Proposal, or agreed to by the Administrator and Director;
- Prior fiscal year income and expenditures, including Virginia Tech Foundation accounts, associated with the unit;
- Proposed budget for the coming fiscal year.

Substantial Change

- Clarifies expectation for notification and approval for different types of changes.

Nature of Change	Administrative level of center		Notes
	University	Other	
Name or Acronym	Provost approval	Provost approval	Reviews for uniqueness
Administrative level or alignment	Provost approval if new or old alignment is at university-level	Provost notification	Must include endorsement from both prior and new Administrator and plan for transitioning resources.
Addition of activity in new mission area	Appropriate Vice President and governance Commission approval	Provost and appropriate Vice President notification	Review only necessary when center enters a new mission area, not for adding activities in existing mission area
Discontinuation of activity in mission area	Appropriate Vice President and governance Commission approval	Provost and appropriate Vice President notification	Review only necessary when center discontinues all activity in a mission area
Merger of two or more centers	Commission and Vice President review, Provost approval	Provost notification	Refer to termination for a center
Spin out of a center	Provost notification	Provost notification	Existing center documents reduction of budget or scope with Provost; Spun-out center established through process described in section 3.1
Change of Director	Provost notification	Provost notification	
Change of Governance	Provost approval	Provost notification	Substantial change of governance, such as creation or elimination of a Stakeholder or Advisory Board
Major change to financial plan	Provost notification	Provost notification	Major changes include: addition or elimination of unit providing financial support; establishment or elimination of College's F&A distribution; changes to financial plans accompanied by other

Termination

- Gives Administrator authority to terminate a center; but requires endorsement of other units substantially involved

To terminate a center, the Administrator submits written notification to the Provost that includes the reasoning behind the termination and a detailed plan to transfer to appropriate entities the oversight of resources, both human and material, that have been under center jurisdiction. This letter must be endorsed by the other units with financial, space, or personnel contributions to the center. Prevailing policies regarding re-assignment of FTEs and the custody/ownership of any capital equipment within the center apply.

In the case of University Centers and Institutes, the Provost or designee reviews and approves the termination plan. Once approved, the appropriate governance Commission is notified of the impending changes. In the case of Institute, College, or Department Centers, no approval is necessary. The plan is implemented with all deliberate speed by the Director working in conjunction with the Administrator.

Definitions

Definitions

- Centers
  - University-level
  - College-level
  - Department-level
  - Institute-level
- Institutes
  - Thematic
  - Investment
- Sponsored Centers
- Administrative Centers

Commission on Research
Resolution to Revise Policies 13005 and 3020 on Center and Institute
Establishment, Oversight, and Governance and Financial and Administrative
Procedures
COR Resolution 2022-23B

Draft Notice Sent to University Council Cabinet   September 12, 2023
First Reading by the Commission on Research   Date
Approval by the Commission on Research   Date
First Reading by the Faculty Senate   Date
Approval by Faculty Senate   Date
Staff Senate Comment   Date
Administrative and Professional Faculty Senate Comment   Date
Graduate and Professional Student Senate Comment   Date
Undergraduate Student Senate Comment   Date
First Reading, University Council   Date
Approved, University Council   Date
Approved, President   Date
Approved, Board of Visitors   Date
Effective Date   Upon Approval

WHEREAS, centers and institutes are proven mechanisms for establishing and maintaining productive interdisciplinary connections among faculty in service to Virginia Tech's tripartite mission; and

WHEREAS, ensuring agile, clear, and non-redundant requirements for center and institute operation minimizes administrative burden and increases their engagement and impact; and

WHEREAS, appropriate scope and empowerment of oversight and review of centers and institutes ensures their continued efficacy, non-duplication, and strategic alignment;

NOW, THEREFORE BE IT RESOLVED, that the title to Policy 13005: Centers and Institutes: Establishment, Governance and Programmatic Oversight be changed to Policy 13005: Centers and Institutes: Establishment, Governance, and Oversight; and

BE IT FURTHER RESOLVED, that the revisions to Policy 13005 be approved as outlined in the attached revised policy and published in appropriate electronic and other forms of university materials to be in effect upon approval by the Board of Visitors; and

BE IT FURTHER RESOLVED, that Policy 3020: Centers and University Institutes: Financial and Administrative Policy and Procedures be removed.

Resolution Draft Notice (Concept Proposal)

The first official step in the process to have a resolution considered by University Council is for the chair of a university commission or senate commission to submit this resolution draft notice to the University Council Cabinet for consideration. The UC Cabinet will determine whether the resolution falls within the scope of the respective commission and is appropriate for consideration within the shared governance system. Typically, the UC Cabinet will respond within two weeks. **An actual resolution should not be brought forward to the commission for official first reading until this UC Cabinet approval to proceed is obtained.**

Commission Name:

Resolution Proposal: (Concept/Purpose)

Explain the concept for the resolution, the need for the resolution, any issues the resolution is attempting to address, etc. Could this resolution potentially impact the work of other commissions?

_____

_____

_____

_____

Existing Policy, Procedure, Standard, Guideline, Handbook/Catalog, etc.

Is there an existing policy (University Policy, Presidential Policy Memorandum) procedure, standard, guideline,

handbook, catalog, etc. that is impacted by this proposal?   Yes ☐   No ☐

List impacted document(s) _____

Explain whether impacted document(s) will be replaced or revised _____
_____

Potential Legal or Resource Implications of Proposal (check all that apply)

☐There may be legal implications. Explain briefly _____

☐There may be revenue/financial impacts. Explain briefly _____

☐There may be HR/personnel impacts. Explain briefly _____

Communication of Resolution Once Approved

Name of Commission Chair: _____   Date: _____

Signature of Commission Chair: _____

The completed form should be submitted to the University Council Cabinet c/o the Office of Policy and Governance either by campus mail or email to the address above.

Changes reflected in the draft policy 13005

General, overarching and throughout:
- Combination of policy 13005 and 3020 into one policy 13005;
- Removed distinction between mission areas, so that all centers may be involved in more than one mission;
- Created category of "sponsored center", where an entity outside of the center is primarily responsible for the funding and oversight of the center;
- Created explicit "criteria" for establishing and reauthorizing a center;
- Reemphasized expectation for concrete metrics and goals;
- Simplified some aspects of center review and reporting to move into procedures or best practices, and to provide the Administrator flexibility for establishing those processes;
- Added expectation of compliance with the policy, and consequences of not complying with it.

Specific explanations of changes, by section:

1.0 Purpose
- Removed history to streamline policy
- Added "purpose" related to motivation of oversight of centers.

2.0 Policy
- Added list of criteria for *center* establishment and renewal
- Moved "administrative home" of centers to this section, as the primary defining characteristic applicable to all centers;
- Introduced concept of "sponsored centers"
- Moved rationale for Institutes to this section;
- Clarified that Centers are generally not established at the university level (this was previously common practice but not explicit in the policy);
- Removed reference to policy 3020, as it will be discontinued;
- Clarified that this policy doesn't apply to administrative centers

2.1 Records (new section)
- Moved recordkeeping information from later in policy
- Moved "charter" requirements to "records", as one item that must be in central library;
- changed components of "charter":
    - Strengthened requirements for specific metrics and goals over 5 year period
    - added "description"
    - combined "general nature" with "governance"
    - Combined "resource needs", "funding sources", and "returned F&A" into "finance plan"

2.1 Compliance (new section)
- Clarifies that the Provost will request review of a *center* out of compliance with the policy;
- Clarifies the timeline for new and existing centers to come into compliance with the policy;
- Clarifies that *only* centers and institutes established through this policy may use those names.

3.1 Establishment of New Centers and Institutes
- The process is described as a consultative process, rather than just a submission;
- Centers may be engaged with all relevant mission areas, rather than just one;
- Includes a category for "sponsored centers"
- Includes a new table showing what entities are involved in the approval of new centers; this table clarifies what was true (but confusing) in prior policy, that only university-level centers go to their relevant Commission for review.

3.1.1 Review and Approval Process for New Centers
- The submitter sends the LOI to the Provost office, who routes it to the appropriate VP(s) (previously the submitter could send the LOI directly to the VP(s) they thought best aligned with their mission area)
- Content of the LOI is different and more flexible. Submitters must describe how the center would uniquely fill a need, but other aspects of "criteria" may be defined through the consultative process with the VP(s)
- The VP(s) no longer "invite" the full proposal, they help shape the proposal.
- The "proposal" package includes three documents: the rationale for creating the center, the charter that is the official governing document of the center (described in 2.1), and letters of endorsement from relevant parties.
- The description of the approval process is streamlined.
- It is clarified that only the Commission(s) are involved int his process, not the University Council, its cabinet, or senates.

3.1.2 Review and Approval Process for New Institutes
- Section is broken out, separate from the process for centers, for clarity where additional approvals are needed.
- Process is unchanged from prior policy

3.1.3 Review and Approval Process for New Sponsored Centers (new section)
- This is a new process, given the new status of sponsored centers

3.2 Governance and Administration of Centers
3.2.1 Governance
- Language is generally streamlined and clarified, with table to provide clarity
- Stakeholders committees are only required for college and department level centers if multiple units provide resources, otherwise requirements are the same
- Combines major sections of 3020 and 13005 to describe the roles and responsibilities for those involved in a center;

- Clarifies that for center business, oversight of the director is solely to the Administrator
- Clarifies that centers can't grant tenure, and the relationship of the center director in the supervision of tenured faculty
- References regular appointment requirements described in the faculty handbook

3.3 Administrative Oversight and Periodic Review
3.3.1 Annual Evaluation
- *No major changes, all changes are editorial*
3.3.2 Periodic Evaluation
- Allows for the *center* and its director to be evaluated at the same time;
- Allows sponsored centers to use their sponsor-required reviews in lieu of university-required reviews
- Rather than describing the process or procedures for the evaluation, the policy describes principles for the review; this allows for more flexibility to the oversight appropriate for the center.
- Center reviews reference back to the metrics in the charter, and to the criteria for a center.
- Requires that *centers* revise their charter (specifically their goals and metrics) within six months of their review.
3.3.3 Requested Reviews
- New section, providing a process for leadership to request a review of a center, and the process for ameliorating any recommendations. Specifies that this can be due to inactivity or non-compliance with the policy.
3.3.4 Annual Reports and Periodic Audits
- Provides much more flexibility in both content and timing for annual reports
    - Directors and Administrators to decide on the structure for the annual report;
    - a specific report is no longer required to be submitted to the controller's office;
    - most Centers can decide their own reporting period, though institutes and university centers will still need to report on an FY basis.
- Establishes a new report covering all major changes to centers, created by the Provost office.
3.3.5 Periodic Audit
- This is drawn without changes from Policy 3020
3.4 Substantial Change or Termination
- This section, previously "realignment or termination" is significantly changed from the prior policy in both structure and content.
- Previously, only realignment or termination required notice or approval. Now, a variety of potential substantial changes to centers are envisioned, and the approval or notice requirements are illustrated in the table.
- Realignment is now addressed as one of several possible "substantial changes" that could require notification or review by university leadership;
- Decision to terminate a center is given to the Administrator, but requires endorsement from relevant organizations.
4.0 Definitions

- Adds definition for sponsored center and administrative center
- Defines thematic and investment institutes.
- Defines "mission area", as it pertains to oversight of the center

Changes reflected in the draft policy 13005

General, overarching and throughout:
- Combination of policy 13005 and 3020 into one policy 13005;
- Removed distinction between mission areas, so that all centers may be involved in more than one mission;
- Created category of "sponsored center", where an entity outside of the center is primarily responsible for the funding and oversight of the center;
- Created explicit "criteria" for establishing and reauthorizing a center;
- Reemphasized expectation for concrete metrics and goals;
- Simplified some aspects of center review and reporting to move into procedures or best practices, and to provide the Administrator flexibility for establishing those processes;
- Added expectation of compliance with the policy, and consequences of not complying with it.

Specific explanations of changes, by section:

1.0 Purpose
- Removed history to streamline policy
- Added "purpose" related to motivation of oversight of centers.

2.0 Policy
- Added list of criteria for *center* establishment and renewal
- Moved "administrative home" of centers to this section, as the primary defining characteristic applicable to all centers;
- Introduced concept of "sponsored centers"
- Moved rationale for Institutes to this section;
- Clarified that Centers are generally not established at the university level (this was previously common practice but not explicit in the policy);
- Removed reference to policy 3020, as it will be discontinued;
- Clarified that this policy doesn't apply to administrative centers

2.1 Records (new section)
- Moved recordkeeping information from later in policy
- Moved "charter" requirements to "records", as one item that must be in central library;
- changed components of "charter":
    - Strengthened requirements for specific metrics and goals over 5 year period
    - added "description"
    - combined "general nature" with "governance"
    - Combined "resource needs", "funding sources", and "returned F&A" into "finance plan"

2.1 Compliance (new section)
- Clarifies that the Provost will request review of a *center* out of compliance with the policy;
- Clarifies the timeline for new and existing centers to come into compliance with the policy;
- Clarifies that *only* centers and institutes established through this policy may use those names.

3.1 Establishment of New Centers and Institutes
- The process is described as a consultative process, rather than just a submission;
- Centers may be engaged with all relevant mission areas, rather than just one;
- Includes a category for "sponsored centers"
- Includes a new table showing what entities are involved in the approval of new centers; this table clarifies what was true (but confusing) in prior policy, that only university-level centers go to their relevant Commission for review.

3.1.1 Review and Approval Process for New Centers
- The submitter sends the LOI to the Provost office, who routes it to the appropriate VP(s) (previously the submitter could send the LOI directly to the VP(s) they thought best aligned with their mission area)
- Content of the LOI is different and more flexible. Submitters must describe how the center would uniquely fill a need, but other aspects of "criteria" may be defined through the consultative process with the VP(s)
- The VP(s) no longer "invite" the full proposal, they help shape the proposal.
- The "proposal" package includes three documents: the rationale for creating the center, the charter that is the official governing document of the center (described in 2.1), and letters of endorsement from relevant parties.
- The description of the approval process is streamlined.
- It is clarified that only the Commission(s) are involved int his process, not the University Council, its cabinet, or senates.

3.1.2 Review and Approval Process for New Institutes
- Section is broken out, separate from the process for centers, for clarity where additional approvals are needed.
- Process is unchanged from prior policy

3.1.3 Review and Approval Process for New Sponsored Centers (new section)
- This is a new process, given the new status of sponsored centers

3.2 Governance and Administration of Centers
3.2.1 Governance
- Language is generally streamlined and clarified, with table to provide clarity
- Stakeholders committees are only required for college and department level centers if multiple units provide resources, otherwise requirements are the same
- Combines major sections of 3020 and 13005 to describe the roles and responsibilities for those involved in a center;

- Clarifies that for center business, oversight of the director is solely to the Administrator
- Clarifies that centers can't grant tenure, and the relationship of the center director in the supervision of tenured faculty
- References regular appointment requirements described in the faculty handbook

3.3 Administrative Oversight and Periodic Review
3.3.1 Annual Evaluation
- *No major changes, all changes are editorial*
3.3.2 Periodic Evaluation
- Allows for the *center* and its director to be evaluated at the same time;
- Allows sponsored centers to use their sponsor-required reviews in lieu of university-required reviews
- Rather than describing the process or procedures for the evaluation, the policy describes principles for the review; this allows for more flexibility to the oversight appropriate for the center.
- Center reviews reference back to the metrics in the charter, and to the criteria for a center.
- Requires that *centers* revise their charter (specifically their goals and metrics) within six months of their review.
3.3.3 Requested Reviews
- New section, providing a process for leadership to request a review of a center, and the process for ameliorating any recommendations. Specifies that this can be due to inactivity or non-compliance with the policy.
3.3.4 Annual Reports and Periodic Audits
- Provides much more flexibility in both content and timing for annual reports
    - Directors and Administrators to decide on the structure for the annual report;
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- Realignment is now addressed as one of several possible "substantial changes" that could require notification or review by university leadership;
- Decision to terminate a center is given to the Administrator, but requires endorsement from relevant organizations.
4.0 Definitions

- Adds definition for sponsored center and administrative center
- Defines thematic and investment institutes.
- Defines "mission area", as it pertains to oversight of the center

1.0 Purpose

Centers and Institutes are proven, effective means of supporting interdisciplinary research, instruction, and outreach. They allow faculty and their associates from varied backgrounds and expertise to come together to solve common problems that cannot otherwise be addressed, be formally recognized as an operational entity within the university, and they provide substantial growth in support for faculty, students, and facilities across the university.

Because of the financial, personnel, and reputational investment that the university puts into these entities, consistent mechanisms for approving, inventorying, reviewing, and terminating *centers* is important. This policy document provides guidance regarding the establishment, governance and programmatic functions and responsibilities of these *centers*.

2.0 Policy

The university encourages the formation of *centers* that enhance the achievement of its instructional, research, and outreach missions in ways that cannot be achieved through existing organizations or means. In order to consolidate discussion throughout this policy, the italicized term *center* is used to describe the collection of Centers and Institutes. Clarification is provided when relevant.

Goals accomplished by establishing a *center* include: (1) facilitating research collaborations seeking external research funding; (2) disseminating research results through conferences, meetings, and other activities; (3) strengthening graduate and/or undergraduate education by providing students with specialized learning opportunities; (4) providing services and facilities that enable research by other university entities; and/or (5) providing outreach programs related to the unit's technical areas of expertise.

To effectively further the mission of the university, *centers* must meet several criteria:

- Fulfill a need that cannot be met through existing organizational units;
- Have a clear, unique mission and strategic vision that is directly tied to the mission of Virginia Tech and the administrative unit in which the *center* is housed;
- Have an identified Director who is equipped to effectively lead the *center*;
- Have sufficient breadth of faculty participation to ensure that its success does not depend either intellectually or financially on a single individual;
- Have well-defined governance structure and expectations of participants;
- Have strong support from its administrative leadership and participating units;
- Have a comprehensive financial plan to operate sustainably;
- Have concrete goals and metrics for progress and success; and
- Have a unique, descriptive name and acronym that does not overlap with other *centers* and units at Virginia Tech.

Centers are established in one of four categories of administrative homes: in a department (a "department center"), a college (a "college center"), an Institute (an "institute center"), or a senior administrative office (a "university center"). The administrative home is determined by the scope of the *center* and units involved.

On occasion, external sponsorship or new mandates motivate the creation of a *center*. The "Sponsored Centers" have different thresholds for meeting these criteria and different requirements for reporting and review than those founded through primarily university resources and strategic intent.

Institutes are the primary means for coordinating and supporting large, cross-university, interdisciplinary endeavors across strategic focus areas. Due to the expansive scope, broad mission, and substantial resource investment in Institutes, they require additional oversight and cross-university engagement. Requests to establish a new Institute are expected to occur infrequently and only after careful, deliberative consideration. Centers are generally not established at the university-level, and the university does not have sponsored institutes.

All matters relating to research, instruction and outreach at Virginia Tech, including the entities described herein, fall under the jurisdiction and purview of the Executive Vice President and Provost ("Provost") as Chief Academic Officer of the university. The Provost engages other university leadership in an oversight role for these entities that align with their respective domain areas.

This policy does not apply to Cultural or Community Centers, nor to Administrative Centers.

2.1 Records

Maintenance of a central archive of records related to *centers* is integral to the successful governance and oversight of these units. The Office of the Provost maintains a comprehensive archive of records that document the authorization of *centers*, including the communication approving the *center*, a copy of the current Charter, timetables for periodic review of the *center* and its Director, the reports generated by those reviews, and annual reports. The Office of the Provost maintains an online list of all approved *centers*, their Directors, and administrative affiliations.

The *center* Director is responsible for ensuring an up-to-date Charter for the *center* is available at all times. The Charter includes:
- **Vision and Mission;**
- **Description**: Overview of the purpose of the *center* and the unique benefit it brings to the university, identification of which mission areas (research, education, outreach) the *center* engages with and description of mechanisms for that engagement;
- **Governance**: Director, Administrator, members of the Stakeholders' Committee Advisory Committee (as appropriate), and mechanisms for faculty and student involvement;
- **Financial plan**: the budget for the *center*, including sources and uses of funds, to sustain the center over its first five years;
- **Metrics and goals**: concrete metrics and goals, including methodology for acquiring data, for a five year period of *center* operation.

The Director and Administrator are responsible for maintaining the official records, including minutes of Stakeholder Committee and Advisory Committee (as appropriate) meetings, annual reports, and periodic audit reports.

2.2 Compliance

The Provost or designee will request a review of all *centers* that are not in compliance with their review and reporting requirements.

Newly established *centers* must have their complete Proposal on record with the Office of the Provost database. Existing *centers* must submit a revised Charter to the Office of the Provost within six months of the delivery of the final report of their next scheduled five-year review.

The use of the terms "center" and "institute" are restricted to entities formed through the procedures described in this policy. Existing entities that use "center" or "institute" in their name have until (*one year from approval of this policy*) to change their name or submit a letter of intent to become an established *center*.

3.1 Establishment of New Centers and Institutes

Inasmuch as a new *center* creates additional demands for resources, oversight, reporting and review, and represents a major commitment of duties for one or more faculty members, there shall be compelling, strategic reasons to establish a new *center*.

To create a new *center*, the Director and Administrator of the proposed Center submits a letter of intent to the Office of the Provost, which initiates a consultation process, which culminates in a formal proposal describing how the *center* meets the criteria in Section 2.0 is submitted to, reviewed by, and approved by the appropriate Vice President or Provost.

In the case of a new Institute, the Provost establishes a committee that includes the proposed Administrator, appropriate Deans, Institute Directors, and the Executive Vice President and Chief Operating Officer (or designee), and chair of the appropriate Commission(s) to engage in the consultation process. Neither the University Council, its Cabinet, nor the representative Senate to which a commission reports has a role in the establishment of a *center*.

The table below summarizes who is involved in the consultation process for establishing a new *center*, who has the authority to approve a new *center*, and who is notified of the creation of a new *center*. The vice president(s) or vice provost(s)s (VP) and commission(s) involved in *center* review and approval are determined by the mission area(s) the *center* plans to engage with.

Administrative Category	Consultation	Commission review	Approval
Department-level Center	VP	no	VP

College-level Center	VP	no	VP
Institute-level Center	VP	no	VP
University-level Center	VP	yes	VP
Sponsored Center	None	no	Provost
Institute	Review team established by the Provost	yes	Provost

Decisions may be appealed to the Provost, whose decision is final.

3.1.1 Review and Approval Process for New Centers

Letter of Intent

The initial step in requesting to establish a new *center* is the submission of a Letter of Intent (Letter) to the Office of the Provost. The submission of the Letter begins a consultative process involving the approving administrative offices and other organizations across the university to help define the *center*.

The Letter addresses as many of the criteria for establishment as possible, but at minimum includes the mission and vision and provides a justification that the *center* would fill a need not otherwise met. The Letter identifies the mission areas that the *center* anticipates engaging with. The Letter must be endorsed by both its proposed Administrator and Director.

The Provost or designee notifies the vice president(s) or vice provost(s) (VP) in each identified mission area to advise the proposers in developing the proposal for the *center*. This advisory process includes identification of potential partners, feedback on the financial model or governance structure, or provision of examples, best practices, and templates. This consultation may also result in a decision not to move forward with a Proposal.

Proposal

If the proposed Administrator and Director decide to move forward, they develop a proposal for the *center*. The proposal addresses all of the criteria necessary for an effective *center* described in Section 2.0. Components of the proposal include:

- **Rationale** – Description of how the *center* addresses all of the criteria, especially the requirement to fulfill a need not otherwise met;
- **Charter** – The official governing document for the proposed *center*, see section 2.1 on Records;
- **Letters of endorsement** - Letters from all units that provide monetary or other support for the *center*, or are otherwise significantly involved.

Review and Approval

The proposal is forwarded to the appropriate VP(s) for next steps. For department, college, and institute Centers, the VP(s) evaluate and approve, decline, or invite revision of the proposal. This evaluation is completed within 30 business days.

For university-level Centers, the proposal is forwarded to the commission(s) that oversee the relevant mission areas for review. The commission reviews the proposal and makes recommendations for revision to ensure they adequately and clearly address the criteria for establishing a new Center. After consideration of the proposal, the commission(s) vote on recommending whether the cognizant VP should authorize the Center under the terms specified. The recommendation is forwarded to the cognizant VP, who reviews this input in reaching a decision regarding the proposed Center. Neither the University Council, its Cabinet, nor the representative Senate to which a commission reports has a role in the establishment of a Center.

The final decision regarding approval or denial of a proposed new *center* is transmitted to the proposers. This documentation includes a copy of the final proposal. A decision by a VP to approve a new Center is forwarded to the Provost. A denial may be appealed to the Provost; the decision reached by the Provost is final.

Approved proposals are also reviewed by the Office of the University's Senior Vice President and Chief Business Officer or their designee. Upon review of the proposal, training and/or management consulting for financial and administrative operations may be recommended for the proposed Director and other administrative personnel within the Center.

3.1.2 Review and Approval Process for New Institutes

Letter of Intent

The initial step in requesting to establish a new Institute is the submission of a Letter of Intent to the Provost. The Letter addresses as many of the criteria for establishment as possible, but at minimum identifies the mission and vision, and a justification that the Institute would fill a need not otherwise met. The Letter must be endorsed by both its proposed Administrator and Director.

The Provost appoints a review team to study and advise on the proposal for the new Institute. The review team includes:

- The proposed Administrator,
- The Senior Vice President and Chief Business Officer (or their designee),
- Two or more college deans,
- One or more Directors from existing Institutes, and
- The chair of the appropriate Commission(s).

This review team serves in an advisory role.

If favorable, a formal proposal for the new Institute is requested and the commission in the corresponding mission area(s) is notified for planning purposes. The Review Team advises the proposer in the development of the formal proposal to establish the Institute.

Proposal

The proposal for an Institute contains the same information as the proposal for a Center. The proposal is developed with the advice and endorsement of the review team. The endorsement of the review team is appended to the proposal.

Review and Approval

The Commission reviews the drafted Institute Proposal and makes recommendations for revision to ensure clear specification of objectives, sources of support, and criteria for future performance assessment. After consideration of the draft Proposal, the Commission votes on recommending whether the Provost should authorize the Institute under the terms specified. The Provost reviews this input in reaching a decision regarding the proposed Institute.

The Provost's decision is final.

3.1.3 Review and Approval Process for New Sponsored Centers

Because of their external motivation and support, Sponsored Centers do not require all of the steps for establishment for other *centers*. However, it is considered best practice for Sponsored Centers to meet the criteria in section 2.0.

Prior to committing to establishing a *center* to the sponsor, the proposers of a Sponsored Center submit a Letter of Intent to the Provost. This letter includes:

- The unique name and acronym of the proposed Sponsored Center (in accordance with Policy 12005 on Commemorative Tributes, as appropriate);
- The Administrator of the Sponsored Center;
- The mission, vision, and scope of the Sponsored Center; and
- The anticipated lifetime of the Sponsored Center supported by on sponsored funds.

If the Sponsored Center also has university financial, space, or personnel support, the proposers also submit a detailed letter of support for these commitments. The Provost decides whether to authorize the Sponsored Center within 15 days of receiving the letter of intent. The Provost also decides what additional reporting and review requirements is necessary for the university support of the Sponsored Center, per Section 3.3.

3.2 Governance and Administration of Centers

3.2.1 Governance

The proposal to establish a *center* details the governance structure in its Charter. The governance structure reflects the scope and mission of the respective *center*, but has several attributes in common with all *centers*. The requirements of the Administrator and the Stakeholders Committee are determined by the administrative category and scope of the center.

Administrative Category	Administrator	Stakeholders Committee Required?
University-level Center	VP	Yes
Institute-level Center	Institute Director	No
College-level Center	Dean	Yes, if multiple units provide resources
Department-level Center	Department Head or Chair	Yes, if multiple units provide resources
Sponsored Center	Variable, may be any level	No
Institute	VP	Yes

3.2.1.1 The Director

The Director is the individual to whom authority is delegated for fiscal, administrative and programmatic/scholarly functions of the *center*. They are primarily responsible for establishing business practices and internal controls within their organization to ensure compliance with university policies and procedures and ensure fiscal accountability and the proper stewardship of university resources. This responsibility includes compliance with Policy 3100, Fiscal Responsibility (http://policies.vt.edu/3100.pdf), which requires managers to perform monthly financial reviews of the funds (accounts) assigned to them.

The Director is responsible for recruiting, hiring, evaluating and dismissing employees of the *center* consistent with university policy and procedures, and to include Board of Visitors approval as appropriate.

In addition, the Director is responsible for engaging faculty who are affiliated or associated with the *center* but are employed by other Departments. In this capacity, the Director recruits, selects, supports the evaluation of, and if necessary, dismisses faculty from their affiliation with the *center*. The procedures, obligations, and expectations of faculty affiliation is determined by the Director in collaboration with the Administrator and Stakeholders Committee (as appropriate).

The Director, in conjunction with the Administrator and the University Controller, is responsible for setting up the appropriate accounting organization structure within the university's accounting system. All administrative financial transactions are processed in accordance with university policies and procedures.

The Director, in conjunction with the Administrator, Vice President for Human Resources, and the University Controller, is responsible for setting up the appropriate signature authority for both personnel and accounting transactions of the *center*, and for keeping authorization up to date as personnel and responsibilities change. Signature authority approval lies with the Administrator and may be delegated as appropriate within university rules and regulations.

3.2.1.2 The Administrator

For matters related to operations of the *center*, the Director shall report *solely* to the Administrator. The Director may report to someone other than the Administrator for their scholarly, instructional, or other duties not related to the *center*.

The authority to appoint and dismiss the Director ultimately resides with the Administrator. The Administrator seeks the advice of the Stakeholders Committee (as appropriate) in matters related to the appointment or dismissal of the Director.

The Administrator has responsibility for fiscal oversight and accountability at the operational level. The *center's* financial records are within the Banner hierarchy of the Administrator. It is the responsibility of the Administrator to perform monitoring and oversight review activities to assure that all administrative and financial activities of all *centers* within their purview are in compliance with all applicable policies and standards. This oversight may be conducted with similar processes the Administrator uses for other units in their purview. Documentation of this oversight is retained by the Administrator for audit purposes.

A Vice President, Vice Provost, or Dean may designate the conduct of certain duties of the Administrator role to an appropriate Associate Vice President or Associate Dean. However, the Vice President or Dean retains ultimate authority and responsibility for the financial and administrative affairs of the *center*.

3.2.1.3 Stakeholders Committee

Stakeholders Committees provide strategic oversight and advice for *centers* where multiple units outside the administrative home have substantial financial and programmatic interest. They are required for all Institutes and university-level Centers, and for *centers* with substantial programmatic or financial support from multiple units outside of the administrative home.

The Stakeholders Committee is responsible for governance of the *center*, reviews the financial and administrative functions of the *center*, and receives annual reports from the Director as well as internal audit reports of the *center*. They meet once per semester to review the financial and administrative functions and programmatic activities and outcomes of the *center*, and receive annual reports from the Director as well as internal audit reports of the *center*.

The Stakeholders Committee is composed of the Administrator, a senior leader for finance for the administrative home, and leadership of all units with significant engagement with the *center*. For an Institute or university-level Center, the Stakeholders Committee includes the Vice President for Finance and Deans of participating colleges.

The Director is an ex-officio member of the Stakeholders Committee but can be excluded from meetings, or portions of meetings, where matters of that individual's performance and continued service are discussed.

The Chair of the Stakeholders Committee is elected by members of that Committee or appointed by mutual agreement except that the Chair is not the Administrator to whom the Director reports, unless an

exception is approved by the Provost or designee. Designees are permitted to serve as proxies at meetings of the Stakeholders Committee.

3.2.1.4 Employee Reporting Relationships

Faculty (except tenure track faculty) and staff may have their primary appointment in the *center*. They are most commonly research faculty on restricted appointments, consistent with university policies. Instructional faculty (e.g., collegiate faculty, clinical faculty, professor of practice faculty, and instructors) will typically have a primary appointment in an academic department. Regular appointments in *centers* may be approved if the unit has sufficient evidence of the ability to pay salary, fringe, and other benefits for at least three years (see the faculty handbook for details). Exceptions to these practices should be coordinated with the Office of Faculty Affairs prior to implementation.

Centers may not grant tenure nor be the tenure home of tenure track faculty. For tenure track faculty spending a substantial amount of time associated with activities of the *center*, the center director will be consulted by the department head, chair, or school director of the tenure track faculty members' home department regarding the annual evaluation and promotion and tenure evaluations.

3.3 Administrative Oversight and Periodic Review

All *centers* and their Directors are subject to regular reviews to help ensure that established *centers* are making progress towards the objectives defined in their Charters and maintaining their strategic alignment with the university's mission.

3.3.1 Annual Evaluation

3.3.1.1 Annual Performance Evaluation of Directors

Annual reviews of *center* Directors are informal evaluations and rely on information readily available such as the Director's faculty activity report for the evaluation period and the *center's* annual report. The Director's annual review for their duties related to the *center* is performed by the *center's* Administrator. This review informs their annual performance evaluation and recommendation of salary adjustments in proportion to the level of effort the Director has in their duties related to the *center*.

For example, the Director for a small *center* of limited scope is likely to spend most of their time on research and teaching that is not uniquely for the benefit of the *center*. In this case, the Administrator provides input to the annual evaluation process conducted by the Director's home department head. On the other extreme, an Institute Director spends the vast majority of their time in work conducted for the benefit of the Institute, and their Administrator leads the annual performance evaluation.

Annual performance evaluations and salary recommendations are otherwise conducted in accordance with applicable university policies.

3.3.1.2 Annual Programmatic Evaluation of Centers

For all *centers*, programmatic performance (as distinct from fiscal and administrative matters) is addressed on an ongoing basis by the Director, participating faculty, the Administrator, the Stakeholders Committee (where relevant) and, ultimately, the Provost.

3.3.2 Periodic Evaluation

In addition to an annual evaluation of *centers* and their Directors, both are subject to formal evaluations every five years. The Office of the Provost notifies the Administrator of each *center* when a periodic review of the unit or its Director is scheduled for that fiscal year. For Institutes or university-level Centers, the Chair(s) of the appropriate university Commission(s) is also notified regarding reviews each fiscal year.

Based upon a review of ongoing circumstances and input received from individuals involved with the *center,* the Administrator to whom the Director reports may decide that a more frequent review is warranted.

The administrator may choose to review the *center* and its Director separately or simultaneously. If the reviews are conducted simultaneously, the review process should follow that for the *center* review, and the final report must separately address the performance of the *center* and of its Director.

Some *centers*, especially sponsored or legally mandated *centers*, have Director and programmatic reviews dictated by those sponsors. In most circumstances, those reviews are considered adequate for the purposes of this policy, and additional reviews are not necessary. The reports resulting from those reviews are maintained by the Administrator.

3.3.2.1 Center or Institute Director Review

Periodic reviews of *center* Directors are conducted in accordance with the general principles below:

1. The Administrator is responsible for appointing the review committee and its chair. The review committee is composed of individuals who have personal knowledge and experience of the Director's leadership but are not direct reports of the Director.
2. The review assesses both the Director's operational management and their programmatic leadership of the *center's* activities and personnel.
3. Input is solicited from faculty, staff, and students (as appropriate) who have substantial engagement with the Director. This input is gathered via surveys or interviews. Standard survey instruments are available from [*Provost's office, per Dean evaluations?*]. The Administrator determines the survey recipients.
4. External reviewers are not typically involved in the review of the Director.
5. The report of the committee is confidential.

Following the completion of the review, the review committee submits a report to the Administrator. Administrator meets with the review committee to discuss the submitted report. The Administrator reviews the report with the chair of the Stakeholders Committee (as appropriate), and makes a decision

regarding the reappointment of the Director. The Administrator then reviews the report and the decision regarding reappointment with the Director within 15 days of the meeting between the Administrator and the chair of the Stakeholders Committee (as appropriate).

Within 15 days of this conversation, the Administrator notifies the relevant entities (e.g., the Office of the Provost, the Commission as appropriate, Stakeholders Committee and Advisory Board as appropriate, Director's home department head for tenured or tenure-track faculty, etc.) regarding the decision on reappointment as the *center* Director.

3.3.2.2 Center or Institute Review

Centers undergo a formal review every five years are conducted in accordance with the general principles below:

1. The Administrator is responsible for appointing the review committee and its chair. The review committee is composed of representatives of organizations involved in the *center*, but does not include employees of the *center*. Review committees for Institutes and University Centers have at least five members; and must include a representative of the appropriate governance Commission(s) and a Director for another Institute or University Center.
2. The review assesses the accomplishments and performance of the *center* against its established purpose and goals as described in its Charter.
3. The review's assessment includes the adequacy and efficacy of the *center's* resources (including financial, personnel, and facilities), and reaffirms that the *center* is not duplicative of other units at the university.
4. Input is solicited from faculty, staff, students, and external partners or parties (as appropriate) who have substantial engagement with the *center*. This input is gathered via surveys or interviews. Standard survey instruments are available from [], and may be modified by the committee as appropriate. The Administrator determines the survey recipients.
5. Reviews for University Centers and Institutes solicit substantial input from external parties who work in one or more of the disciplinary focus areas of the unit under review.
6. The report provides an overview of key accomplishments towards the Center's mission, as well as recommendations to the Director and the Administrator for improved mission delivery and operations of the *center*, and recommends re-authorization or termination of the *center*.

Before the report is finalized, the Director is asked to review the draft report and respond with corrections to factual data in the draft report. Recommendations of the Review Committee are not shared with the Director at this stage.

The committee then prepares a final report. In the case of University Centers and Institutes, the final report is presented to the governance Commission(s) involved in its establishment. The Commission is asked to vote on the question of accepting the Report. The Report, along with the outcome of the Commission's vote, is then submitted to the University Center or Institute and the Administrator.

Neither the University Council, its Cabinet, nor the representative Senate to which a Commission reports has a role in the review process.

The Administrator meets with the review committee to discuss the submitted report. The Administrator has 45 days to act on the recommendations of the Review Committee. The Administrator has the final decision regarding the expansion, continuation, or termination of the *center*.

A copy of the final written report as well as a written statement from the Administrator regarding final actions made following the review process is sent to relevant entities (e.g., the Office of the Provost, the Commission as appropriate, Stakeholders Committee and Advisory Board as appropriate).

3.3.2. Response to the Review

Following the Review, the Director, in collaboration with the Administrator and Stakeholder Committee, revises the *center* Charter as necessary in response to the recommendations in the Report. This revision includes, at least, updated goals and metrics for the next five year period. These revised documents are submitted to the Office of the Provost within six months of the final report.

3.3.3 Requested Reviews

Center inactivity or non-compliance with this policy will prompt a request for review by the Provost or designee. In addition, the Administrator, Stakeholder's Committee, or Provost or Designee may request a review outside of the periodic review cycle.

The Administrator conducts the review using procedures appropriate for the scope of the *center* and the circumstances motivating the review. Regardless of the procedures used, the review must result in specific suggestions for ameliorating the deficiencies or a recommendation of termination. The Administrator establishes specific metrics and a well-defined timeline, not to exceed two years, for the *center* to address deficiencies in order to avoid termination.

3.3.4 Annual Reports

The Directors of all *centers* shall provide an annual report to the Administrator and the Stakeholder Committee (as appropriate). This report is submitted to the Office of the Provost for archive. The report is tailored to the scope and mission of the *center*, but at a minimum includes:

- Accomplishments for the reporting period along the key metrics specified in the *center's* Proposal, or agreed to by the Administrator and Director;
- Prior fiscal year income and expenditures, including Virginia Tech Foundation accounts, associated with the unit;
- Proposed budget for the coming fiscal year.

An example template is available at [website]. The reporting period is determined by mutual agreement between the Director and Administrator; however, University Centers and Institutes must report on accomplishments on a fiscal year basis. All reports must be submitted within three months of the end of the reporting period.

Sponsored Centers, or those with other annual reporting requirements, may use the reporting template and timeline dictated by their sponsor as the basis for reporting accomplishments. Supplemental reporting is required for Sponsored Centers with substantial university support, as determined by the Provost.

The Provost or designee creates an annual report of all centers created, changed, or terminated in the prior fiscal year. This report is distributed to [university council cabinet? Faculty senate?]

3.3.5 Periodic Audit

Audits of *centers* are scheduled by university Internal Audit according to the level of risk associated with the operations of the organization. The audit report is distributed to the Director, the Stakeholders Committee, the Administrator and appropriate Vice President or Dean, as well as the President, the Executive Vice President and Chief Operating Officer, the Vice President for Finance, the Executive Vice President and Provost, and the Compliance, Audit, and Risk Committee of the Board of Visitors.

3.4 Substantial Change or Termination

Centers are not considered permanent entities; they have clearly defined missions that address specific goals. With the passage of time, issues that drove establishment of these units evolve, and the Administrator and Director consider the ongoing need for the *center*. In addition, changes in participating faculty and staff; the evolution of institutional, collegiate, or departmental priorities; or lack of resources or leadership motivate substantial change or termination of the *center*.

The motivation for substantial change or termination of a *center* is typically the result of:

1. Consensus among the Administrator, Director, Stakeholders Committee (as appropriate) and participating faculty;
2. The result of a periodic or requested review of the *center*.

The Administrator has final authority to change or terminate a *center*.

3.4.1 Substantial Change

Directors and Administrators maintain up-to-date *center* Charters, in consultation with their Stakeholders Committee (as appropriate). Changes may occur at any time, but must at least be made in response to the latest five-year review. Changes should not compromise any of the criteria for a successful *center*, as described in section 2.0 of this policy.

The Director submits a letter describing changes to a *center* to the Provost or designee for notification or approval, depending on the nature of the changes per the table below. This letter must include endorsements by the Administrator, leaders of other units with substantial resource or programmatic investment in the center, and the Stakeholders Committee (as appropriate), and a copy of the updated Charter.

Nature of Change	Administrative level of *center*		Notes
	University	**Other**	
Name or Acronym	Provost approval	Provost approval	Reviews for uniqueness
Administrative level or alignment	Provost approval if new or old alignment is at university-level	Provost notification	Must include endorsement from both prior and new Administrator and plan for transitioning resources.
Addition of activity in new mission area	Appropriate Vice President and governance Commission approval	Provost and appropriate Vice President notification	Review only necessary when *center* enters a new mission area, not for adding activities in existing mission area
Discontinuation of activity in mission area	Appropriate Vice President and governance Commission approval	Provost and appropriate Vice President notification	Review only necessary when *center* discontinues all activity in a mission area
Merger of two or more centers	Commission and Vice President review, Provost approval	Provost notification	*Refer to section 3.4.2 on Termination*
Spin off of a center (ie, creation of an independent center from a portion of the resources and mission line of another center)	Provost notification	Provost notification	Existing *center* documents reduction of budget or scope with Provost; Spun-out center established through process described in section 3.1
Change of Director	Provost notification	Provost notification	
Change of Governance	Provost approval	Provost notification	Substantial change of governance, such as creation or elimination of a Stakeholder or Advisory Board
Major change to financial plan	Provost notification	Provost notification	Major changes include: addition or elimination of

			unit providing financial support; establishment or elimination of College's F&A distribution; changes to financial plans typically accompanied by other changes to the center

3.4.2 Termination

To terminate a *center*, the Administrator submits written notification to the Provost that includes the reasoning behind the termination and a detailed plan to transfer to appropriate entities the oversight of resources, both human and material, that have been under *center* jurisdiction. This letter must be endorsed by the other units with financial, space, or personnel contributions to the *center*. Prevailing policies regarding re-assignment of FTEs and the custody/ownership of any capital equipment within the *center* apply.

In the case of University Centers and Institutes, the Provost or designee reviews and approves the termination plan. Once approved, the appropriate governance Commission is notified of the impending changes. In the case of Institute, College, or Department Centers, no approval is necessary. The plan is implemented with all deliberate speed by the Director working in conjunction with the Administrator.

4.0 DEFINITIONS

A *CENTER* is a group of faculty in long-term affiliation and their associates formally recognized as part of the structure of the university, joined together to pursue research, instruction, and/or outreach goals that require the competence and capabilities of more than one faculty member.

Centers adopt names that reflect the preferences of the faculty or the norms of the academic discipline.

- A UNIVERSITY CENTER has objectives that require the substantial input of two or more disciplines or colleges, and involvement across a broad spectrum of the university. As a defining element, University Centers are typically funded by appropriations, grants or contracts, for which administrative and fiscal control is assigned to the office of the Provost or a relevant Vice President/Provost, rather than to a College or Department.

- A COLLEGE CENTER has objectives that require the substantial input of two or more disciplines and typically involves faculty from two or more departments in a single college. College centers may include faculty from more than one college, as appropriate, but are typically smaller in scope than university centers and institutes.

- A DEPARTMENTAL CENTER has objectives that require the competence and capabilities of more than one faculty member, but primarily within the province of a single department or cooperating departments.

- AN INSTITUTE CENTER has objectives that require the competence and capabilities of faculty members from a broad spectrum of the university. As a defining element, institute centers receive funding and other support from the University Institute to which it reports.

A SPONSORED CENTER is one that exists because the university received a grant, contract, or gift from an external sponsor or donor, and that sponsor or donor requires the designation of a *center* as a condition of the award. Sponsored centers may exist at any administrative level. A sponsored center typically exists so designated only until the grant, contract or gift is fully executed. This type of center may evolve into a different type of center through the process of establishing that type of center.

An ADMINISTRATIVE CENTER is an administrative office that provides services, oversight, or administrative support to faculty, staff, and students across the university.

An INSTITUTE furthers a major strategic objective of the university and receives a substantial annual investment of university funds for the conduct of its mission. Otherwise, an Institute has many of the same goals as previously defined for a University Center. An Institute exists at the university level and the Administrative Home is either the Provost or other appropriate senior academic leader. University Institutes may be categorized as either thematic or investment in nature:

- An INVESTMENT INSTITUTE leverages university funds to invest in targeted research areas with a particular emphasis on interdisciplinary programs. Such investments may include support for recruitment, retention and recognition of faculty, seed funds for new research projects, equipment purchases, support and management of core facilities, graduate student recruitment, undergraduate experiential learning opportunities, and research-related outreach activities. Programs and faculty receiving investment institute support have academic homes and are aligned with participating academic units

- A THEMATIC INSTITUTE houses unique research facilities, faculty, staff and student talent, usually having physical infrastructure that carries out leading-edge interdisciplinary research in a particular area that aligns with the university's vision and mission. In addition to receiving investments of university funds, thematic institutes also have deep relationships with sponsors and receive substantial extramural research grants and/or contract funding through them

The ADMINISTRATOR is the person holding the position of authority in the administrative home of the *center* (e.g., VP, Institute Director, Dean, Department Head). The Administrator has responsibility for fiscal oversight and accountability at the operational level. The Director reports to the Administrator for all fiscal and administrative matters.

The DIRECTOR is the individual who has the day-to-day authority for the fiscal, administrative, fiduciary, and programmatic/scholarly functions of a *center*.

The MISSION AREA is the component of Virginia Tech's tripartite mission (research, education, and outreach) that the *center* engages with. *Centers* may engage with multiple aspects of the mission, and may

identify multiple mission areas as part of their scope. The mission areas determine which vice president(s), vice provost(s), and university commission(s) have oversight responsibilities for the *center*.