

**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 2023-24B**

Draft Notice Sent to University Council Cabinet	September 12, 2023
First Reading by the Commission on Research	October 12, 2023the
Approval by the Commission on Research	November 9, 2023
First Reading by Faculty Senate	October 20, 2023
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Staff Senate Comment	September 29, 2023
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First Reading, University Council	December 4, 2023
Approved, University Council	February 5, 2024
Approved, President	February 5, 2024
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.

# 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 or to be granted and documented an official exception;
- 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 in this 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;
- Reduces number of stakeholder committee meetings required from one per semester to one per year;

- 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



# 1.0 Purpose

## Centers and Institutes: ~~Establishment, Governance and Programmatic Oversight~~

### ~~No. 13005~~

~~Policy Effective Date: 12/12/1990~~

~~Last Revision Date: 8/27/2020~~

~~Policy Owner: Dan Sui~~

~~Policy Author: (Contact Person) Laurel Miner~~

~~Affected Parties: Undergraduate Graduate Faculty Staff Other~~

### 1.0 Purpose

~~The university has found establishment of dedicated organizational entities (Centers, Institutes, etc.) to be a are proven, effective means of supporting complex academic activities, particularly interdisciplinary research, instruction, and outreach. Over the years, these focused centers<sup>1</sup> have served the faculty and the university well. 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.~~

~~Beginning in the late 1990s the university began to establish University Institutes for the purpose of providing a more coordinated and structured means of supporting large, complex interdisciplinary research endeavors across certain strategic focus areas. These University Institutes have enhanced certain recognized research and discovery strengths of the university while also allowing for growth and development into key strategic areas such as the life and health sciences. Substantial funding has been allocated by the university to these University Institutes as an important investment towards our collective future.~~

~~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 related to research, instruction and outreach performed inof these centers.~~

~~<sup>1</sup>In order to consolidate discussion throughout this policy, the italicized term *center* shall be used to generically describe the collection of Centers, Institutes, and/or similar entities. Clarification shall be provided when relevant distinctions exist between these entities and additional details of these definitions are provided in Section 4.~~



## Virginia Polytechnic Institute and State University

### 2.0 Policy

The university encourages the formation of *centers* ~~for the purpose of enhancing~~ that enhance the achievement of its instructional, research, and outreach missions. ~~This document sets forth 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 rules~~ collection of Centers and Institutes. Clarification is provided when relevant.

Goals accomplished by ~~which these~~ 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 adequately addressed 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;~~

<b>1.0 Purpose</b>	● <del>Have well-defined governance structure and expectations of participants;</del>
<b>2.0 Policy</b>	● <del>Have strong support from its administrative leadership and participating units;</del>
<b>3.0 Procedures</b>	● <del>Have a comprehensive financial plan to operate sustainably;</del>
<b>4.0 Definitions</b>	● <del>Have concrete goals and metrics for progress and success; and</del>
<b>5.0 References</b>	● <del>Have a unique, descriptive name and acronym that does not overlap with other</del>
<b>6.0 Approval and Revisions</b>	<del>centers and units at Virginia Tech.</del>

~~Centers are established, governed, and overseen from a programmatic standpoint. 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.~~



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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 may in turn engage~~engages other university leadership in an oversight role for these entities that align with their respective domain areas. ~~A related policy, Policy 3020 (Centers and University Institutes Financial and Administrative Policies and Procedures), outlines the policies and procedures necessary for the effective operation of centers in regard to their financial and administrative affairs, including necessary controls that are in place through the establishment and governance of these organizations.~~

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 **3.0 Procedures** 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.





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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, submit a letter of intent to become an established *center*, or work with the Provost or designee to clarify the purpose and name of the organization as a legacy designation.

### 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 ~~Institute, Center, or other such organizational entity. Classification of the proposed *center* shall be in accordance with the stated definitions in Section 4.0 and recommended by the proposed Stakeholders Committee, subject to approval of the charter by the university governance structure in the case of university level *centers*, and the appropriate Vice President (“VP”) in the case of *centers* that are administratively housed within a department, college, or Institute. A high level summary of this establishment process (Section 3.1), governance and review processes (Sections 3.2-3.5) and termination (Section 3.6) is captured in the figure below.~~ *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*.



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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) (VP) and commission(s) involved in center review and approval are determined by the mission area(s) the center plans to engage with.

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

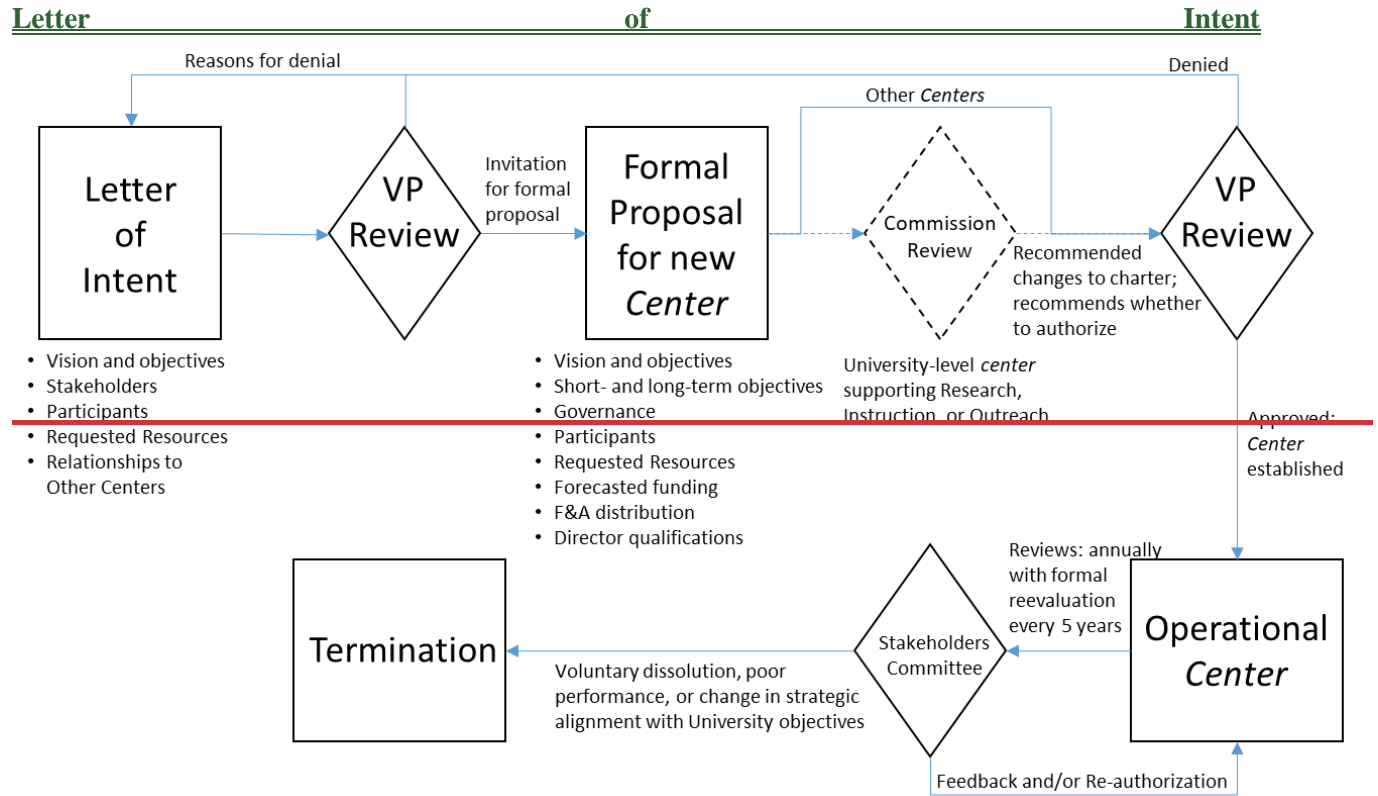
Decisions may be appealed to the Provost, whose decision is final.



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### 3.1.1 Review and Approval Process for New Centers



### 3.1 Establishment of New Centers and University Institutes

The initial step in requesting to establish a new *Center* is to submit the submission of a “Letter of Intent to Establish (Letter) to the Office of the Provost. The submission of the Letter begins a New [Center]”<sup>2</sup> to the appropriate VP for consideration:

- Vice President for Research and Innovation for proposed research centers;
- Vice President for Outreach and International Affairs for proposed outreach centers;
- Vice President and Dean for Undergraduate Education for proposed undergraduate education centers;
- Vice President and Dean for Graduate Education for proposed graduate education centers;

and other senior consultative process involving the approving administrative areas as deemed appropriate by the Executive Vice President and Provost, offices and other organizations across the university to help define the center.

The letter should provide reasonable detail for the following items:

<sup>2</sup> Use the appropriate organizational entity name as described in Section 4.



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1. Vision and objectives;
2. General nature of the faculty and student groups that will, directly or indirectly, be involved, and the clientele served;
3. Proposed administrative category (see definitions in Section 4);
4. Anticipated resource needs-The Letter addresses as many of the criteria for establishment as possible, but at minimum includes the mission and expected sources<sup>3</sup>;

Relationship to vision and describes how the center will interact with other entities at the university with apparent similar areas of mission-related focus, in a way that bolsters the university's success and visibility in supporting complex academic activities through collaborative research, instruction, and/or outreach. 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 letter must include the responsible leader's endorsement for establishing the center (e.g., dean for a college-level center, department head for a department-level center, director for an Institute-level center). Upon receipt, the appropriate VP or their designee will have a 30-day period to review the 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.

<sup>3</sup> Note: a letter of intent that proposes to form a center that would require centralized, University resources would require review by the Provost as well as the University's Vice President for Finance.



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~~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 **Letter of Intent** and provide a response. A decision to deny the request to formally submit a proposal for the new center will clearly articulate the reasons for that denial. If the VP conducting the review is supportive of the center's formation, that official will invite a formal proposal. Coincident with this invitation, the VP will inform the Chair of the University Commission in the corresponding mission area (e.g., Research, Outreach and International Affairs, or Undergraduate or Graduate Education) for planning purposes that a proposal for a new center will be forthcoming. Requests to establish a new university Institute are expected to occur infrequently and only after careful, deliberative consideration. After submission of an Institute letter of intent, the Provost will appoint a review team to study the concept for the proposed new university Institute. Membership on that review team will include the appropriate VP, the Senior Vice President and Chief Business Officer (or their designee), two or more college deans (from disciplinary areas aligned with the proposed Institute), one or more directors from existing university Institutes, and the chair of the appropriate Commission. This review team serves in an advisory role. The final decision of the Provost will be reached and transmitted within a 90-day period to those who filed the **Letter of Intent**. If favorable, a formal proposal for the new Institute will be requested and the Commission in the corresponding mission area will be notified for planning purposes.~~

~~The proposal for the establishment of a new center shall be in the form of a Charter that addresses all pertinent policy and procedure requirements as stated in this document, to include, but not be limited to:~~

- ~~1. Vision;~~
- ~~2. Short- (five-year) and long-term objectives in one or more of the university's mission areas;~~
- ~~3. General nature of the faculty and student groups that will, directly or indirectly, be involved and the clientele served;~~
- ~~4. Governance, including proposed Administrator, members of the Stakeholders' Committee, and, if desired, Advisory Committee;~~
- ~~5. Anticipated resource needs (e.g., startup and continual funding, space, facilities, personnel) as well as prospective sources of these resources;~~
- ~~6. Forecast of external funding sources (e.g., sponsored research expenditures anticipated for research centers);~~
- ~~7. Anticipated distribution of returned facilities and administrative (F&A) costs between the center and its partners (consistent with university policy);~~
- ~~8. Qualifications of the proposed Director who will provide leadership and administrative oversight to the day-to-day affairs.~~



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In addition to the Charter, a formal request to establish the *center* must include a letter of endorsement from all university units (e.g., departments, colleges, University Institutes, etc.) who will have a significant role.

Requests to establish a university-level *center* in the mission areas of Research, Instruction, or Outreach must be forwarded to the appropriate Commission for consideration through the formal governance system. The Commission will review the drafted Charter and make recommendations for revision to ensure clear specification of objectives, sources of support, they adequately and clearly address the criteria for future performance assessment. establishing a new Center. After consideration of the draft Charter proposal, the Commission will commission(s) vote on recommending whether the cognizant VP should authorize of the center Center under the terms specified. This VP will review The recommendation is forwarded to the cognizant VP, who reviews this input in reaching a decision regarding the proposed *center*; requests for new university Institutes also require approval by the Provost. 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.

- Requests to establish a department-, college-, or Institute-level center will be forwarded along with a Charter and letters of endorsement to the appropriate VP for consideration and a decision regarding authorization.
- Requests to establish a university Institute will be reviewed by a team chaired by the Executive Vice President and Provost and should be composed of the members who reviewed the original letter of intent, and others if deemed appropriate. The review team will develop a formal recommendation regarding the proposed university institute and forward it to the appropriate commission for review in the same manner as is prescribed for university level centers.

The final decision regarding approval or denial of a proposed new *center* will be is transmitted to the proposers. This documentation will include includes a copy of the original final proposal along with governance documentation as noted in Section 3.2. A decision by a VP to approve a new *center* will be Center is forwarded to the Provost. If a proposal to establish a new center is denied by the appropriate VP, the faculty members who brought forward the proposal A denial may appeal that decision be appealed to the Provost. The; the decision reached by the Provost regarding the appeal is the final outcome.

Approved proposals are also will be 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. Center.



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### 3.1.2 Review and Approval Process for New Institutes

#### Letter of Intent **3.2 Governance**

The ~~request~~ initial step in requesting to establish a ~~center, in the form of an approved Charter, shall detail~~ 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.





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### 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. At a minimum, new Sponsored Centers must have a different name from existing organizational units, and must not share an acronym with an existing center. If university resources are also required for the Sponsored Center, the existing process for obtaining a university commitment must be followed prior to commitment to the sponsor.

- Upon award or agreement for the Sponsored Center, the Center Director sends to the Provost a letter that includes: The unique name and acronym of the proposed Sponsored Center (in accordance with Policy 12005 on Commemorative Tributes, as appropriate);
- The Director, Administrator and Stakeholder Committee (if applicable) of the Sponsored Center;
- The mission, vision, and scope of the Sponsored Center;
- The anticipated lifetime of the Sponsored Center supported by on sponsored funds; and
- The anticipated reporting and review processes required by the Sponsor; and
- If the Sponsored Center also has university financial, space, or personnel support, the Director also submit a detailed letter of support for these commitments.

The Provost 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 as required in Section 3.1. The Stakeholders Committee is responsible for structure in its Charter. The governance of the center, reviews the financial and 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.

<u>Administrative Category</u>	<u>Administrator</u>	<u>Stakeholders Committee Required?</u>
<u>University-level Center</u>	<u>VP</u>	<u>Yes</u>
<u>Institute-level Center</u>	<u>Institute Director</u>	<u>No</u>
<u>College-level Center</u>	<u>Dean</u>	<u>Yes, if units outside the college provide resources</u>





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<u>Department-level Center</u>	<u>Department Head or Chair</u>	<u>Yes, if units outside the department provide resources</u>
<u>Sponsored Center</u>	<u>Variable, may be any level</u>	<u>No</u>
<u>Institute</u>	<u>VP</u>	<u>Yes</u>

### 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 unit, and receives annual reports from the Director as well as center. They are primarily responsible for establishing business practices and internal audit reports of the unit. The authority to appoint and dismiss the Director ultimately resides with the Administrator to whom the center reports. The Administrator will seek the advice of the Stakeholders Committee in matters related to the appointment or dismissal of the Director. The Director shall have the 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 to recruit, hire, evaluate and dismiss staff 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 contingent on to include Board of Visitors approval as appropriate.

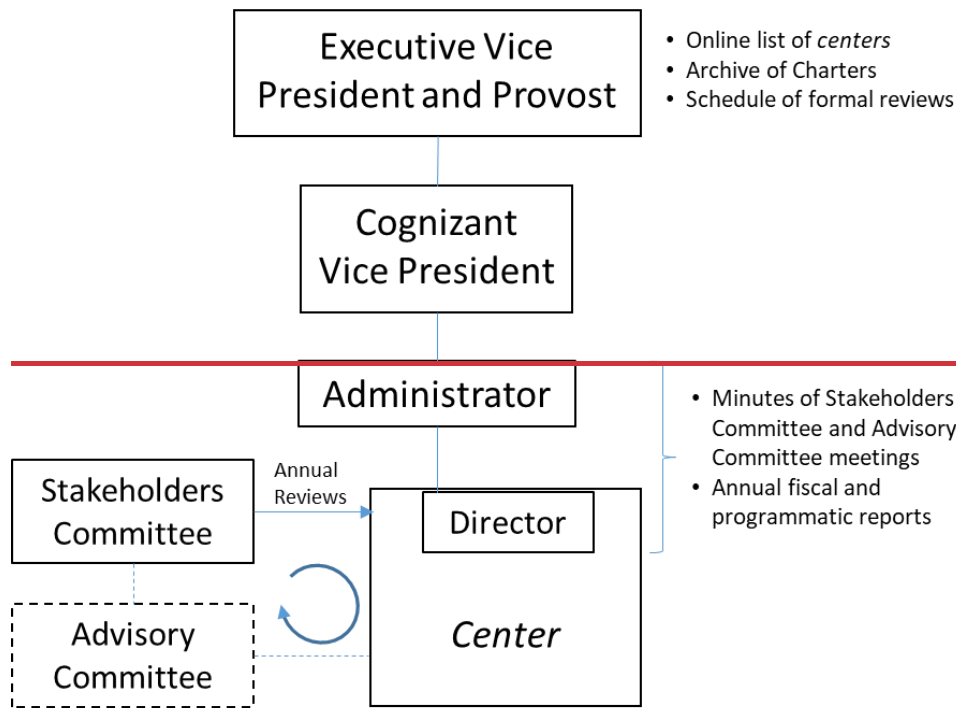
Maintenance of a central archive of records related to centers will be integral to the successful governance and oversight of these units. The Office of the Provost will maintain a comprehensive archive of records that document the authorization of centers, including the communication approving the center, a copy of the current Charter, timetables for periodic review of the center and its Director, and the reports generated by those reviews. The Director and Administrator are responsible for maintaining the official records, including minutes of Stakeholder Committee and Advisory Committee meetings. Likewise, copies of all annual fiscal and programmatic reports as well as periodic audit reports as specified in Policy 3020 shall be maintained by the Director and Administrator. The Office of the Provost will maintain an online list of all approved centers, their Directors, and administrative affiliations.



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The Office of the Provost will notify the Administrator of each center when a periodic review of the unit or its Director is scheduled for that fiscal year. For university Centers or Institutes, the Chair of the appropriate university Commission will also be notified regarding reviews each fiscal year. Reviews will be conducted according to procedures specified under Section 3.4 of this policy. A high-level summary of these structural relationships and the archiving responsibilities is captured on the next page.



### 3.3 Financial and Administrative Procedures and Responsibilities

Rules related to the fiscal and administrative policies and procedures that govern centers are defined in a more comprehensive form in Policy No. 3020. The following text is a consolidated presentation of several key issues that relate to financial and administrative matters.

Each established center is responsible for administrative oversight and fiscal control of the assigned university funds. Center activities have primary accounting at the department, college, institute or university level. Administrative oversight and fiscal control of center activities are the responsibility of the administrative entity to which the funds are assigned.



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~~All Centers and University Institutes must be separately identified and assigned a unique organization code. 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 ~~responsible~~ Administrator, ~~Associate VP~~ Vice President for Human Resources, and the University Controller, is responsible for ~~establishing~~ 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.

~~The Directors of all centers shall provide an annual report (to be submitted by September 30 following the June 30 fiscal year end) to the University Controller's Office and to the appropriate VP or Dean. The report will (1) include an accounting of the income and expenditures for the prior fiscal year and (2) highlight the activities of the center together with planned activities and proposed budget for the coming year. Annual reports will be endorsed by the Administrator and copies will be sent to all Stakeholders.~~

### 3.4.3.2.1.2 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~~



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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 at least once per year 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



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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

~~To~~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 ~~maintain~~maintaining their strategic alignment with the university's mission, ~~all centers shall be subject to annual reviews by their assigned Administrator and Stakeholders Committee. While the scope and timeline of these annual reviews shall be established by the appropriate Administrator and Stakeholders Committee (with optional support by an external Advisory Committee) and primarily be considered informal evaluations of programmatic progress and leadership, formal evaluations shall be performed at least every 5 years, with formal re-evaluations of the Charter, programmatic objectives for the next 5 years, alignment with university objectives, and Director. Records of these formal reviews shall be maintained by the Administrator of the center and forwarded to the appropriate VP cognizant for the center and the Provost. The procedures for these formal reviews are described below.~~

#### 3.43.1 ~~Administrative Oversight and~~Annual Evaluation

##### 3.3.1.1 Annual Performance Evaluation of Directors

~~The annual~~Annual reviews of ~~Center directors will be~~center Directors are informal evaluations of ~~programmatic progress and the director of the center and are assumed to~~ rely on information readily available such as the ~~director's~~Director's faculty activity report for the evaluation period ~~or other related reports for~~and the centers that are prepared annually.

~~Each Director of a Center shall~~center's annual report to a single Administrator for the purposes of the conduct of their work with the ~~Center~~ they are directing.

~~A University Center or University Institute Director is expected to spend the vast majority of his or her time in work conducted for the benefit of the Center or Institute. Therefore, the University Center/Institute. 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 shall be conducted by the Administrator of the University Center/Institute, and ~~and~~ recommendation of salary adjustments will be recommended by the Administrator to the Executive Vice President and Provost. Other administrative



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~~functions such as leave and travel approval will also be performed by the Administrator in proportion to the level of effort the Director has in their duties related to the center.~~

~~A Department/College/Institute Center For example, the Director who holds for a tenured or tenure-track faculty position small center of limited scope is expected likely to spend a large portion most of their time on research and teaching that is not uniquely for the benefit of the Center. Therefore, while they report to the Center center. In this case, the Administrator for all matters associated with the operation and administration of the Center, their provides input to the annual performance evaluation will be conducted by their home department head, and salary adjustments will be recommended by the home department head to the dean. The Administrator of the Center will be consulted within the evaluation process. This evaluation and salary adjustment process will be conducted by a senior university administrator if the Director holds an alumni distinguished professorship or university distinguished professorship. Other administrative functions such as leave and travel approval will be performed by the Director's home department head.~~

~~A Department/College/On the other extreme, an Institute Center Director who does not have a tenure home and whose spends the vast majority of their time in work is primarily conducted for the benefit of the Center shall have Institute, and their Administrator leads the annual performance evaluation, salary recommendations, and other administrative functions handled by the Administrator of the Center.~~

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

### ~~3.43.1.2 Procedures for the Formal Review Annual Programmatic Evaluation of Center 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.~~

~~A more formal performance review of each Center Director should occur at least once every five years. The Director's performance review and the programmatic review should not coincide in the same year.~~





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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 performance review ~~may be~~ 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.

### 3.43.2.1 ~~University~~-Center or ~~University~~-Institute Director Review

~~The following procedural steps should be followed in the conduct of such performance reviews:~~

~~A Review Committee composed of three or more members will be appointed by the~~ Periodic reviews of *center* Directors are conducted in accordance with the general principles below:

- ~~1. The Administrator to whom the University Center or University Institute Director reports to conduct this performance is responsible for appointing the review.~~
- ~~2. The applicable University Center or University Institute Director will be asked to provide:~~
  - ~~a. Faculty Activity Reports from the prior five years;~~
  - ~~b. A list of names of committee and its chair. The review committee is composed of individuals or groups that they would like included in the performance review process, both internal and external to Virginia Tech; who have personal knowledge and,~~
- ~~1. A report on actions taken in response to the most recent experience of the Director's performance review, as appropriate leadership but are not direct reports of the Director.~~
- ~~3. The Committee will develop a proposed performance review survey and review it with the Administrator and the chair of the University Center or University Institute's Stakeholders Committee. The list of individuals proposed by the Director will also be reviewed with the Administrator and Stakeholders Committee chair and names added as appropriate.~~
- ~~2. The Committee will review~~ 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.~~



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4. External reviewers are not typically involved in the review of the Director.
5. The report of the committee is confidential.

~~4. Following the results completion of the performance review survey and provide a list of strengths and weaknesses to review, the review committee submits a report to the Administrator. Administrator to whom the Director reports as defined by the University Center or University Institute Charter. These will be accompanied by meets with the review committee to discuss the Director's Faculty Activity Reports, submitted report. The Review Committee will not make a recommendation regarding the Director's continued service.~~

~~5. The Administrator will review reviews the results report with the chair of the Stakeholders Committee (as appropriate), and ultimately make makes a decision regarding the reappointment of the Director.~~

~~The Director will be notified of Administrator then reviews the Administrator's report and the decision regarding reappointment with the Director within 15 days of the Administrator's meeting with between the Administrator and the chair of the Stakeholders Committee at which the performance review results were discussed. (as appropriate).~~

~~The Within 15 days of this conversation, the Administrator will notify notifies the relevant entities (e.g., the Office of the Provost, the Commission as appropriate, Stakeholders Committee and Advisory Board of University Center or University Institute as appropriate, Director's home department head for tenured or tenure-track faculty, etc.) regarding the outcome of decision on reappointment as the review. These notifications will occur within 15 days of notifying the center Director of the outcome of the performance review process.~~

### 3.4.3.2.2 ~~College, Departmental, and Center or~~ Institute ~~Center Director~~ Review

~~It is recognized that the overall time commitment and administrative responsibility for a Director leading one of these centers would typically be significantly less than that related to leadership of a University Center or University Institute. As such, it is reasonable to presume that the overall performance review procedure may be streamlined and not as rigorous as that described in 3.4.2.1. In the specific case of College, Departmental, and Institute centers that do not receive University funds to support their operations, the review may be achieved via a review of faculty activity reports, or similar documentation, as requested by the Administrator. In this case, no formal summaries of the review are required to be generated unless there is an intention to terminate the center, in which case the Administrator shall report findings to the appropriate Vice President and Provost to initiate a more comprehensive review.~~

~~For Centers receiving University funds to support their operations, the Administrator to whom the Center Director reports is ultimately responsible for defining the performance review process that will be utilized. The size, scope, and complexity of the center should be used to inform the process. Suggested elements to consider include the following:~~





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• ~~Appointment of an appropriately sized Review Committee, Collection and review of relevant performance information such as faculty activity reports from *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.~~
- ~~• The report provides an overview of key accomplishments towards the Center's mission, as well as recommendations to the Director;~~
  - ~~• Collection and review of relevant information from individuals or groups who have substantial interaction with the Center (including the stakeholders committee and advisory committee members if applicable), and~~
  - ~~• Preparation of a final report by the Review Committee to the Administrator.~~

~~The Administrator has the final decision regarding reappointment of the Director and is responsible for communicating the results of the review to the Director.~~

### 3.5 Programmatic Oversight and Evaluation Aspects of Centers

~~For all *Centers*, programmatic issues (as distinct from fiscal and administrative matters) will be addressed on an ongoing basis by the Director, Principal Investigators, and the Administrator and, where relevant, the Stakeholders Committee and, ultimately, the Executive Vice President and Provost. Advisory Boards for *Centers* will provide further reviews of programmatic progress. All *Centers* must be formally evaluated regarding programmatic activities at least once every five years. The following subsections provide procedural guidance regarding the systematic programmatic reviews.~~

#### 3.5.1 Overall Criteria for the Programmatic Review of a University Center or University Institute

- ~~1.6. The overall task of the Review Committee is to evaluate the accomplishments and performance of the University Center/Institute; measure these against the mission of the approved Charter; review the financial status; and recommend for improved mission delivery and operations of the *center*.~~



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and recommends re-authorization or termination of the Center. Specific components of the Review Committee evaluation are to: center.

1. Develop procedures that best fitBefore the specific Center under review.
2. Identify individuals and groups from whom to solicit information. It report is anticipated that these will include finalized, the Director, affiliated faculty and staff, other relevant faculty, relevant department, college, and university administrators, client groups, members of the Center Advisory Committee or Stakeholders' Committee, a member of the appropriate University Commission, and appropriate persons outside the University if the Center has a state-wide or national mission.
3. Identify the methods it will use to collect information. It is anticipated that the methodology will include surveys and interviews with many key personnel from within the Center as well as those outside the unit with substantial interaction.
4. Consider and report on any prior Center review recommendations and actions taken by the Center Director and/or the Center Administrator, as appropriate.

Write a draft report of its findings that may include organizational/personnel matters, measures of research activity or education and outreach efforts, interdisciplinary interactions, leadership, financial data, and other relevant activities. The Director will be asked to review the draft report at this stage and respond with corrections to factual data in the draft report. Recommendations of the Review Committee should are not be shared with the Director at this stage.

5. PrepareThe committee then prepares a final written report, which will make recommendations on the reauthorization of the Center as well as any suggested changes to the programmatic focus of the unit, its organization or administrative structure, or other relevant matters. In the case of University Centers and University Institutes, thisthe final report will beis presented to the University governance Commission responsible for this relevant mission area(s) involved in its establishment. The Commission will beis asked to vote on the question of approvingaccepting the recommendations of the Review Committee. Report. The reportReport, along with the outcome of the Commission's vote, will is then be submitted to the University Center or University Institute.

The and the Administrator will then have.

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 recommendationrecommendations 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 willbe sent to relevant entities (e.g., the Executive Vice



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~~President and Office of the Provost, and to the Vice President and the Commission in the relevant mission area as appropriate, Stakeholders Committee and Advisory Board as appropriate).~~

~~Typical questions to be addressed within the review will include but not be limited to the following considerations, which are consistent with the criteria applied at the entity's founding:~~

- ~~• Is current funding of the Center or University Institute sufficient to allow it to be successful in attaining the goals and objectives stated in its approved Charter?~~
- ~~• Is faculty participation sufficient to continue the Center or University Institute operations?~~
- ~~• Is the quality of scholarly activity by faculty professional staff, and students reflected in its output (e.g., publications, patents, presentations, copyrights, etc.)?~~
- ~~• Do current operations reflect the most recent Charter, goals and objectives of the Center or University Institute?~~
- ~~• Does the unit unnecessarily duplicate the efforts of other Centers and/or University Institutes?~~
- ~~• Does the financial audit and overall professional evaluation demonstrate that the Center or University Institute is being managed properly? Did the review process reveal any serious issues that warrant special attention and remediation?~~
- ~~• Do the financial resources of the Center or University Institute appear sustainable and able to appropriately support the unit over the next five-year period? Are Center participants able to secure external grants and contracts to support the mission areas of the unit?~~
- ~~• Are the facilities required for continued operation of the unit adequate?~~
- ~~• Are clients being well served? The clients may include students, faculty, university administration, practicing professionals, the general public, funding agencies, etc.~~

~~The expected membership on a Review Committee will be a function of the specific Center under review, as described below:~~

- ~~1. University Institute – The Review Committee will be appointed by the senior administrative official (e.g., Executive Vice President and Provost, appropriate Vice President based upon the primary mission area of the University Center/Institute). The committee will include at least five members, with representation from all colleges that have a substantial level of involvement in the workings of the University Center/Institute, as well as a liaison from the relevant University Commission. At least one member of the panel will be a Director of another University Institute. Further, it is recommended that extensive input to the review process be sought from experts from outside the university who work in one or more of the disciplinary focus areas of the University Institute under review. This input may come from the appointment of one or more external experts to the review panel, and/or it may involve the appointment of the external experts to a subcommittee of the Review Committee who will prepare a report to the Review Committee based upon their own review of the University Center/Institute. The Administrator of the University Institute will appoint the chair of the Review Committee.~~



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- ~~2. University Center—The review committee for a University Center will be appointed by the appropriate Vice President based upon the primary mission area of the center. The committee will include at least 5 members, with representation from all colleges that have a substantial level of involvement with the Center, as well as a liaison from the relevant University Commission. The Administrator of the Center will appoint the chair of the review committee.~~

### **3.5.2 Overall Criteria for the Programmatic Review of a Department, College or Institute Center**

~~It is recognized that the overall time commitment and administrative responsibility for a department/college/institute center would typically be significantly less than that related to a University Center or University Institute. As such it is reasonable to presume that the overall performance review procedure may be streamlined and not as rigorous as that described in 3.5.1.~~

~~The Administrator to whom the center reports is ultimately responsible for defining the performance review process that will be utilized. The size, scope, and complexity of the center should be used to inform the process. Suggested elements to consider include the following:~~

- ~~• Appointment of an appropriately sized Review Committee, with representation from all units, departments, or colleges who have substantial interactions with the center~~
- ~~• Collection and review of relevant center performance indicators;~~
- ~~• Collection and review of relevant information from individuals or groups who have substantial interaction with the center, and~~
- ~~• Preparation of a final report by the Review Committee to the Administrator.~~

~~The Administrator has the final decision regarding the continuation of the center.~~

## **3.6 Termination or Realignment**

~~It is recognized that, with the passage of time, changes in available university faculty and staff, and the evolution of institutional, collegiate, departmental or individual strengths and priorities, instances will arise in which the rationale that led to the creation of a center no longer exists. In such instances, it is possible that the most recent performance review of the center reflects a mismatch of accomplishments compared to stated goals. In any event, it is desirable that procedures be defined for the orderly and elective termination of the Center or University Institute at the request of the Director and Stakeholders.~~

### **3.6.1 Voluntary Termination or Realignment**

~~The process of voluntary termination of a Center~~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.



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### 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



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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 University Institute will be initiated by 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.

<u>Nature of Change</u>	<u>Administrative level of center</u>		<u>Notes</u>
	<u>University</u>	<u>Other</u>	
<u>Name or Acronym</u>	<u>Provost approval</u>	<u>Provost approval</u>	<u>Reviews for uniqueness</u>
<u>Administrative level or</u>	<u>Provost approval if</u>	<u>Provost notification</u>	<u>Must include endorsement</u>





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



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			<u>F&amp;A distribution; changes to financial plans typically accompanied by other changes to the center</u>
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### 3.4.2 Termination

To terminate a center, the Administrator submits written notification ~~from the Director and endorsed by the unit's Administrator and associated Stakeholder Committee, outlining to the Provost that includes~~ the reasoning behind the request termination and ~~detailing 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* ~~will~~ apply.

~~The process for review and approval~~ In the case of the termination plan will be the reverse of that followed in the establishment of the center and will be conducted by those with the requisite administrative authority. The termination plan will be reviewed by University Centers and Institutes, the Provost (or designee) in consultation with the Administrator of the center. reviews and approves the termination plan. Once approved, the appropriate University governance Commission ~~will be~~ notified ~~as to~~ of the impending changes, ~~and the plan will be.~~ 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.

~~Other circumstances may arise where the administrative leaders or Stakeholders Committee of an existing center desire either to change their particular departmental, college, or university affiliation or to alter their administrative category (e.g., from department to college level Center or vice versa). In such cases, the request and review process will mirror that described in Section 3.1 for the establishment of a new center, including the submission of a Letter of Intent and an accounting of the expected benefits of the proposed altered status. Endorsements of the proposed changes by both administrative authorities involved (those relinquishing existing oversight and those newly accepting oversight) will be included. It is expected that entities requesting changes in affiliation or administrative category are in good standing with respect to periodic performance reviews.~~

### 3.6.2 Involuntary Termination or Realignment of Centers or University Institutes

~~Apart from circumstances in which the leadership of an existing center desires to either terminate or redefine an existing collective entity, it is possible that other external or internal conditions may erode the effectiveness of a center or weaken the rationale for its continuation. These conditions may include changes in available university faculty and staff; the evolution of institutional, collegiate, departmental or individual strengths and priorities; shifts in resource allocation external to the university; lack of significant financial expenditures within the unit; or a poor performance review. As is true with voluntary changes to center status, it is desirable to define procedures for termination or realignment when the~~





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~~center Director and their Administrator and/or Stakeholders Committee are not in accord regarding the necessity for changes.~~

~~Involuntary termination or realignment of an existing center may be considered when either:~~

- ~~1. A periodic (scheduled) review results in the recommendation from the Stakeholders Committee that the center not be reauthorized as currently configured for an additional period, and this recommendation is accepted by the Administrator (and appropriate University Commission as necessary); or~~
- ~~2. A mid-cycle (unscheduled) review has been requested by either a) the Administrator, b) the Stakeholder's Committee, or c) the Provost, and this mid-cycle review produces, as above, a recommendation of non-reauthorization that is accepted by the Administrator (and appropriate University Commission as necessary).~~

~~In these instances where non-reauthorization of an existing Center or University Institute is recommended, the final document prepared by the review committee should include specific suggestions for ameliorating the deficiencies noted in the review. As noted in Section 3.4, such steps could include changes to the programmatic focus of the unit, its organizational structure, or administrative affiliation. In instances where no options other than termination appear viable, the review committee will so recommend.~~

~~As is the case for the initial establishment and periodic reauthorization, final authority for the involuntary termination or realignment of a center will reside with the responsible Administrator. Similar to the process of voluntary termination or realignment, a plan for the reassignment of human and material resources will be prepared by the Director in consultation with the Administrator, reviewed and approved by the unit's Stakeholders Committee, and implemented by the Director in a timely fashion.~~

## 4.0 **Definitions** 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. *Goals that may be 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.*~~

~~Centers may be categorized along two dimensions: (1) primary scholarly objective; and (2) administrative home. The primary scholarly objectives can be either instruction, research, or outreach. The administrative home may be in a department, a college, a University Institute (defined below), or~~



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~~housed in a senior administrative office (e.g., VP for Outreach, Provost, etc.). Centers may~~Centers adopt names that reflect the preferences of the faculty or the norms of the academic discipline.

~~Centers may have advisory boards, committees, and/or review boards as determined by the Stakeholders Committee.~~

- 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 ~~Provost's or VP's office~~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 related disciplines.~~As and typically involves faculty from two or more departments in a defining element,~~single college. College ~~Centers~~centers may include faculty from more than one college, as appropriate, but are typically ~~funded by appropriations, grants or contracts, for which administrative and fiscal control is assigned to a Dean's office, rather than to a Department~~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 ~~receives~~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. ~~Its~~

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 ~~activities are rolled under those of the Institute and it shares the same Stakeholders Committee, which has purview for all Institute Centers~~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.

~~A UNIVERSITY~~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, a University~~an Institute has many of the same goals as previously defined for a University Center. ~~The~~An Institute exists at the



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~~university level and the Administrative Home for a University Institute is either the Provost or another appropriate VP based upon the Primary Scholarly Objective of the University Institute. A University Institute must have a Stakeholders Committee and senior academic leader. University Institutes may have advisory boards, committees, and review boards be categorized as determined by the Stakeholders Committee, 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.

~~A STAKEHOLDERS COMMITTEE is a group of representatives from academic or administrative units of the university providing substantial fiscal or programmatic support for the center. The Stakeholders Committee shall have oversight of all financial, administrative, and fiduciary affairs. Membership requirements for the Stakeholders Committee and more detailed information regarding the administrative workings of the Stakeholders Committee are found in Policy 3020. Membership typically includes:~~

Type of Center	Department Head(s)	Dean(s)	Vice President	University Administrators
Department-level Centers	Yes			
Institute-level Centers	Yes			
College-level Centers	Yes	Yes		
University-level Centers	Yes	Yes	Yes	Yes



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University Institutes	Yes	Yes	Yes	Yes
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An ~~ADVISORY COMMITTEE~~ is a group of representatives from units and organizations that are served by the *center*, or experts who provide guidance and external advocacy for its scholarly and programmatic affairs. This Committee typically consists of clients, industrial representatives, faculty and agents of organizations concerned with the technical direction and development of the *center*. Advisory Committees shall be formed only after approval of the Administrator and Stakeholders Committee. An Advisory Committee may also be referred to as an “advisory board.”

### 5.0 References

Policy on Commemorative Tributes, No. 13005, <https://policies.vt.edu/assets/12005.pdf>

~~Policy on Commemorative Tributes, No. 12002~~ provides guidance on commemorative naming, under the purview of the Commemorative Tributes Committee. Because the life of a university center or institute is not expected to continue indefinitely, gift funding for an institute or a center may be accomplished by endowment or current gifts. If accomplished by a current gift, the name of the institute or center shall generally be limited to the term during which the expendable gift provides funding. The policies and procedures for naming the center or institute shall be the same as for naming other major academic units of the university.

### 6.0 Approval and Revisions

Approved December 12, 1990, by Commission on Research Approved November 5, 1991, by University Council Revised and approved October 23, 1996

- ~~Revision 1~~
  - ~~Section 2.2. Changed title from Associate Provost for Research to Associate Provost for Interdisciplinary Programs.~~
  - ~~Section 2.5 eliminated "small operating budget" as possible center funding from the Research Division.~~
  - ~~Section 2.9. Revised process for reauthorization of a center.~~

~~Approved August 1, 1999, by Associate Provost for Interdisciplinary Programs, Kenneth L. Reifsnider.~~

Annual review October 30, 2001 by Vice Provost for Research, Leonard K. Peters. No revisions.

- ~~Revision 2~~

Entire policy reviewed and revised to reflect evolution of research, outreach, and instructional centers at Virginia Tech and to establish guidelines for consistent treatment and accountability.

  - ~~Policy retitled from Interdisciplinary Centers to Centers and University Institutes: Establishment, Governance and Programmatic Oversight to reflect applicability to all types of centers at the university.~~
  - ~~Expectation that all centers across the mission areas of research, outreach and instruction would be subject to guidelines, such as establishment of charter and periodic review, not just university-level research centers.~~



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- ~~Differentiation of key University Institutes with requirements for their establishment and review from other types of centers.~~

~~Approved April 6, 2011 by the Commission on Research~~

~~Approved May 2, 2011 by University Council~~

~~Approved May 2, 2011 by the President~~

- **Revision 3**

~~Clarification to Sections 3.4.2 and 3.5.1 was made with respect to the need to consider the recommendations of prior reviews and subsequent actions taken in response to those reviews when review committees conduct programmatic reviews of centers and University level institutes as well as when conducting performance reviews of center/institute directors, per recommendation by Internal Audit.~~

~~Approved May 14, 2014, by Commission on Research~~

~~Approved May 14, 2014, by Robert Walters, Vice President for Research~~

~~Approved May 14, 2014, by President Charles W. Steger~~

- **Revision 4**

~~Updates to titles reflecting organizational structure.~~

~~Approved November 21 2019 by Vice President for Policy and Governance, Kim O'Rourke.~~

- **Revision 5**

~~Entire policy reviewed and revised to reflect evolution of research, outreach, and instructional centers at Virginia Tech, stakeholder titles, and to consolidate discussion:~~

- ~~Correction of titles of key stakeholders (Executive Vice President and Provost and of the Vice President for Research and Innovation) made throughout.~~
- ~~Consolidation of discussion was performed (with graphics) to better clarify common expectations and key distinctions between operational entities addressed under this policy.~~
- ~~Addition of statement of potential benefits of forming a center (section 2).~~
- ~~Added the requirement that university level centers should have an advisory committee with external members (section 3.1).~~
- ~~Added requirement that centers be uniquely identified in the universities financial management system. (section 3.3).~~
- ~~Clarified the responsibility of reviews to that defined by the Charter and Stakeholders Committee, enabling streamlined evaluation of Departmental, College, and Institute centers, particularly those that do not receive institutional investment (section 3.4.2.2).~~
- ~~Updated the definition of a Center to reflect the long-term nature of the faculty affiliations (section 4).~~
- ~~Added language to permit center to adopt alternative names (section 4).~~

~~Approved April 20, 2020, by Commission on Research~~

~~Approved April 20, 2020, by Don Taylor, Vice President for Research and Innovation~~

~~Approved April 20, 2020, by President Tim Sands~~



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- ~~Revision 6~~

~~Technical update to titles and addition of section 5.0 referencing the Policy on Commemorative Tributes, No. 12005.~~

~~Approved August 27, 2020 by Vice President for Policy and Governance, Kim O'Rourke.~~

~~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.~~

## 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 adequately addressed 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, submit a letter of intent to become an established *center*, or work with the Provost or designee to clarify the purpose and name of the organization as a legacy designation.

## 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) (VP) and commission(s) involved in *center* review and approval are determined by the mission area(s) the *center* plans to engage with.

<b>Administrative Category</b>	<b>Consultation</b>	<b>Commission review</b>	<b>Approval</b>
Department-level	VP	no	VP

Center			
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 describes how the *center* will interact with other entities at the university with apparent similar areas of mission-related focus in a way that bolsters the university’s success and visibility in supporting complex academic activities through collaborative research, instruction, and/or outreach. 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. At a minimum, new Sponsored Centers must have a different name from existing organizational units, and must not share an acronym with an existing center. If university resources are also required for the Sponsored Center, the existing process for obtaining a university commitment must be followed prior to commitment to the sponsor.

- Upon award or agreement for the Sponsored Center, the Center Director sends to the Provost a letter that includes: The unique name and acronym of the proposed Sponsored Center (in accordance with Policy 12005 on Commemorative Tributes, as appropriate);
- The Director, Administrator and Stakeholder Committee (if applicable) of the Sponsored Center;
- The mission, vision, and scope of the Sponsored Center;
- The anticipated lifetime of the Sponsored Center supported by on sponsored funds; and
- The anticipated reporting and review processes required by the Sponsor; and
- If the Sponsored Center also has university financial, space, or personnel support, the Director also submit a detailed letter of support for these commitments.

The Provost 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.

<b>Administrative Category</b>	<b>Administrator</b>	<b>Stakeholders Committee Required?</b>
University-level Center	VP	Yes
Institute-level Center	Institute Director	No
College-level Center	Dean	Yes, if units outside the college provide resources
Department-level Center	Department Head or Chair	Yes, if units outside the department 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 at least once per year 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 <i>center</i>		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 <i>center</i> 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 <i>center</i> discontinues all activity in a mission area
Merger of two or more centers	Commission and Vice President review, Provost approval	Provost notification	<i>Refer to section 3.4.2 on Termination</i>
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 <i>center</i> documents reduction of budget or scope with Provost; Spin-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*.



## Commission on Outreach and International Affairs (COIA)

<https://governance.vt.edu/BodyDetails/COIA>

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**November 3, 2023**

**To:** Laurel Miner  
Commission on Research (COR)  
**From:** Commission on Outreach and International  
Affairs (COIA)

The Commission on Outreach and International Affairs (COIA) has reviewed the Commission on Research Resolution 2022-2023B Revision of Policies 13005 and 3020 on Center and Institute Establishment, Oversight, and Governance and Financial and Administrative Procedures.

COIA does not have any comments to offer regarding this resolution.





## Administrative and Professional Faculty Senate

<https://governance.vt.edu/ap-faculty-senate.php>

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VT Roanoke Center

**Policies and Issues Committee Chair**

Nikki Connors  
Analytics and Institutional Research

**September 29, 2023**

**To:** Vice President of Policy and Governance

**From:** A/P Faculty Senate Polices and Issues Committee

The A/P Faculty Senate Polices and Issues Committee has reviewed and approves/endorsees the Commission on Research Resolution 2023-24B to Revise Policies 13005 and 3020 on Center and Institute Establishment, Oversight, and Governance and Finance and Administrative Procedures.

We have no further comment.



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**ADHOC COMMITTEES**

# Staff Senate

<http://www.staffsenate.vt.edu/>

**September 29, 2023**

**To: Vice President of Policy and Governance**

The Staff Senate Committee on Policy and Issues has reviewed and approves COR Resolution 2023-24B. We have no further comment.

**Thank you,  
Amber Robinson, Chair Staff Senate Policies and  
Issues Committee**