

**FRANK BATTEN SCHOOL OF LEADERSHIP AND PUBLIC POLICY  
CENTER ESTABLISHMENT, OVERSIGHT, REVIEW, AND DISCONTINUATION**

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**Contact Office:** Academic Affairs Office

**Oversight:** Associate Dean for Academic Affairs

This policy details the process and parameters for establishing, operating, and governing centers within the Batten School. Center oversight activities not explicitly addressed by this policy are delegated to the Batten School Executive Committee. Final decisions rest with the Batten School Dean.

**Policy Statement:** Batten School Centers exist as faculty-led communities which enhance the educational, research, engagement, and/or service missions of the Batten School and the University. The portfolio of Batten centers should reflect not just individual faculty interests but also the realization of the School's mission and goals to develop a premier school of leadership and public policy with excellent research and engagement that impacts our communities, the Commonwealth, the nation and the world. Within these broad parameters, goals and activities of Batten School centers may vary. In a healthy center ecosystem, centers may form and close.

Centers exist to provide benefits that would be difficult or less efficient to realize in their absence. Centers may promote interdisciplinary, cross-grounds, or cross-university research and engagement. Centers may build sustainable partnerships with governments and nonprofits to the benefit of faculty, students, and the community. Centers may promote School visibility and support School communications. The value-added of centers, can, at times, be difficult to quantify. Nonetheless, centers should be assessed on their ability to realize outcomes that would not have occurred in their absence. Centers should be responsibly managed and should remain fiscally viable by drawing upon financial resources from a variety of sources.

Batten School centers are approved by and receive support from the School. As such, centers represent the School. Centers are subject to the policies and practices that govern positions taken by the School.

**Center Establishment**

University Policy: "PROV-025: Establishing Academic Centers and Institutes" establishes uniform guidelines governing the approval, creation, oversight, operation, review, and discontinuation of academic centers and institutes at the University of Virginia. Any School seeking to establish an academic center must submit a notice of establishment to the Vice Provost for Academic Affairs at least three months prior to establishing the Center.

Batten School Policy: Any Batten School governing faculty member or group of faculty members may put forward a proposal for a new center for research and engagement in their chosen area of excellence. Centers should include a critical mass of Batten Governing Faculty whose interests align directly with the mission of the center. Although center directors will typically be Batten Governing Faculty members, centers are encouraged to engage faculty from other schools and departments at the University.

The initial proposal will be reviewed by the Faculty Executive Committee (ExCom), the Associate Dean for Academic Affairs, and the Batten School Dean. If it passes this initial review, the Faculty Executive Committee and relevant members of the senior governing faculty (as defined by Batten Faculty Bylaws) will vote on a recommendation to the Dean regarding Center establishment and appointment of the initial Center academic director. The successfully appointed Center director will consult with the Dean regarding the timing for establishment of the Center and any start-up funds to be provided by the School. The Associate Dean for Academic Affairs will document the goals, expectations, and funding for the Center's initial operations, to be agreed upon by both the Center Director and the Dean. The Associate Dean for Administration will document School furnished services. Copies of agreements will be available to the Batten School Executive Committee.

Consistent with university policy PROV-025, proposals for the establishment of the Center should, at a minimum, detail: a) the mission of the Center as it relates to increasing the level of educational, research, and/or engagement excellence in support of the mission of the Batten School; b) proposed activities, and how those activities will generate significant value beyond what could be achieved in the absence of a center-based structure; c) details on organizational structure; d) specific goals and measurable outcomes to be achieved during the first five years of the Center, along with a timeline for when these goals will be achieved; e) the financial strategy and requested support services for the Center. Annual financial projections should document School startup funds to be used during the initial five-year period, as well as expectations regarding any necessary School financial or service contributions anticipated after that time. Proposals will be accompanied by some "proof of concept" evidence of viability in successfully completing the key goals and objectives of the Center. If such proof of concept is not provided, the proposal will be required to detail why the Center should be approved even in its absence.

Center Bylaws: Each Center must have bylaws that will be developed by the Center Director in consultation with the Associate Dean for Academic Affairs. The final Center bylaws are signed by the Center Director and the Dean, with the signed bylaws serving as the Center's operating license and posted publicly. All aspects of Center operation must comply with the executed bylaws. Violation of any provision of the bylaws is grounds for discontinuation of Center operations.

### **Center Director Appointment and Reappointment**

The Faculty Executive Committee receives and considers proposals for the appointment or reappointment of the academic director of a Center. Upon receiving an ExCom report, the governing faculty of the Batten School discuss the proposed appointment and relevant members of the governing faculty (as defined by Batten Faculty Bylaws) vote on a recommendation to the Dean. For initial appointments, the Dean prepares an appointment letter specifying the details of the appointment, typically including a 3 year term. For reappointments, unless otherwise specified at the discretion of the Dean, Center Director renewal terms will be the lesser of 3 years or a term to coincide with the next center renewal date (see Center renewal below). In cases of successful appointment or reappointment, the Associate Dean for Academic Affairs drafts a letter in consultation with the Center Director and the Dean, specifying the terms. The letter will detail considerations made to the Center Director, including compensation or release time to direct the Center. The letter is then signed by the Center Director and the Dean of the Batten School (who makes all final appointment decisions). The Executive Committee will be informed of the terms of the reappointment letter.

Beyond the initial appointment, Center Directors may seek reappointment at the end of the term. Directors may also seek reappointment prior to the end of their term under unusual circumstances and with permission of the Dean. In all cases, the reappointment or a new appointment decision must be made in line with Center bylaws. The process begins with the current Center Director producing a brief (typically 2-3 page) document summarizing the basis for appointment, how the Director advanced the goals of the Center over the previous terms, and how the Director plans to further advance those goals in the coming term. The ExCom reviews this document, the previous contract terms, the Center annual reports, Center five-year renewal document (when applicable), and meets with the Director to raise any remaining questions. The Executive Committee and relevant members of the senior governing faculty (as defined by Batten Faculty Bylaws) will vote on a recommendation to the dean regarding reappointment.

### **Center Review**

Provost's Office Review Policy: As per PROV-025, unless specified otherwise in writing by the provost or his/her designee, established centers will be reviewed by the dean or unit head within five (5) years of establishment and either granted an extension for an additional five (5) years or discontinued. The dean or unit head must submit a letter to the executive vice president and provost summarizing the outcome of the review and the dean's or unit head's recommendation as to whether the center should be renewed or discontinued. Centers that do not receive an approved extension will be discontinued automatically after five (5) years.

### **Batten School Review Policy**

*Annual Review:* Each Center Director is required to submit a Center Annual Report no later than September 1 of each year to the Faculty Executive Committee, the Associate Dean for Academic Affairs, and the Dean. Each Center Director will meet with the Faculty Executive Committee following the submission of the Annual Report to discuss Center accomplishments, challenges, general operations, and financial position. The ExCom will discuss the Center's activities and progress and will provide a summary of that discussion and any related guidance to the Center Director, the Associate Dean for Academic Affairs, and the Dean.

*Center Renewal Review:* Every five years, the Batten School will review each Center to decide whether that Center will be renewed for an additional five years or discontinued. This renewal is intended to be coincident with the renewal or appointment of the Center Director. Typically, the review process begins in early Spring semester with the Center Director submitting a plan for internal review to the Faculty Executive Committee. The ExCom reviews the plan, raising any concerns, and laying out expectations for the review and the final report. The Center then conducts its internal review (which may incorporate a strategic planning process, an external review, or advisory board feedback) over the spring and summer, ahead of submitting a final report and renewal request to the ExCom, Associate Dean for Academic Affairs, and the Dean by October 1. The Faculty Executive Committee and relevant members of the senior governing faculty (as defined by Batten Faculty Bylaws) will vote on a recommendation to the dean regarding renewal.

Criteria for Center evaluation include, but are not limited to: (a) how well the mission of the Center relates to research and engagement relevant to the Batten School; (b) how well the Center actively engages faculty, students, and/or stakeholders both within and outside the Batten and University communities; (c) whether the Center generates significant value above and beyond what could be achieved absent the

Center-based structure; (d) whether the Center has been responsibly managed; (e) an assessment of the Center's success in meeting the most recently agreed upon five-year goals; and f) whether the Center has secured (or will likely secure) the resources needed for its mission and its long-term fiscal viability, from a variety of sources.

Upon successful renewal, the Associate Dean for Academic Affairs will draft a renewal document, laying out the goals, expectations, proposed funding, and School-provided services for the Center's next five years of operations, to be agreed upon by both the Center Director and the Dean. While the Batten School may provide financial support for a Center beyond its original term, the longer-term financial relationship with the Batten School is intended to be a partnership, with a substantial portion of a Center's operating budget funded by sources other than a direct Batten School subsidy. The renewal letter will detail any considerations made to support the Center, including proposed financial and operational support. The Executive Committee will be informed of the terms of the renewal letter, including total contributions from the Batten School to the center. If the renewal decision is negative, the Associate Dean(s) and the Dean will work with center director on a transition plan.

If the members of the governing faculty recommend the discontinuation of a Center, and the Dean concurs with this recommendation, the Dean will provide notice of discontinuation to the Center Director no later than the end of Fall semester. The Center Director will then work with the Batten School staff to end Center operations no later than the end of the spring semester of the same academic year. Once formal notice of discontinuation is issued, the Batten School will no longer provide new financial support for the Center, but the staff will work with the Center Director to close outstanding commitments, which may include contracts, staffing arrangements, leases, etc. Reasons for Center discontinuation may include, but are not limited to, failure to meet performance expectations detailed in Center establishment or renewal agreements or in the Center Director's appointment letter, violation of the operating provision detailed in the Center bylaws, or an inability to find and appoint an appropriate Center Director.

#### **Center Funding, Services, and Support Provision by the School and University**

Intended start-up, ongoing funding, and/or any other operational support provided by the Batten School (for example, additional office space, workstation or other equipment) to a Center will be documented in the Center establishment or Center renewal document as detailed above. Batten School provided Center funding and support each year is contingent on the School's annual operating budget and associated approvals by the Dean, Provost, and University of Virginia Board of Visitors.

In addition to any agreed upon direct financial support, a Center will have access to a range of services provided by the Batten School. A menu of proposed School-funded services and level of support will be customized for each Center and documented in a formal Center Services Agreement provided to the Center Director. Each year, as part of the annual budgeting process, the Center Services Agreement will be reviewed and refined as necessary with the Batten School Associate Deans and Center Directors.