

**Establishment, Review, and Closure of
Research Centres**

University Policy No: RH8300
Classification: Research
Approving Authority: Board of Governors
(on the recommendation of Senate)
Effective Date: January 2019
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Associated Procedures

[Procedures for the Establishment and Review of Research Centres](#)

Purpose

- 1.00 The purpose of this policy is to provide direction:
- to those seeking university approval for the establishment of Research Centres; and
 - on the review of the performance of Research Centres.

Definitions

- 2.00 **Research Centre** is a formally approved research organization made up of a group of faculty members, students, and other research personnel who collaborate on an area of research, inclusive of all research, scholarship, and creative activity, whose work together provides added value over and above their individual research programs, and who benefit from the university's official recognition of that collaboration.
- 3.00 **Academic Unit** is an academic department, school, division, or faculty.
- 4.00 **Director** is the leader of a Research Centre.
- 5.00 **Academic Constituency** of a Research Centre is the academic unit(s) from which a Research Centre primarily draws its membership.

Scope

- 6.00 This policy applies to the establishment and governance of Research Centres at the University of Victoria including inter-institutional Research Centres in which the University Of Victoria is the lead institution.

Policy

- 7.00 The university encourages the establishment of Research Centres at various levels of the organization that respond to emerging research opportunities, promote collaborative and interdisciplinary research, and enhance research networking capacity and infrastructure. Research Centres take a leading role at the university in forming external partnerships in Canada and throughout the world, and in mobilizing knowledge. Faculty may be

involved in one or more of the projects in a Research Centre and be active in more than one Research Centre.

8.00 The university is committed to developing and maintaining high-quality programs of research. Therefore, it provides for appropriate reviews and management of Research Centres as well as ongoing improvement activities and an evolving strategic direction (i.e. as articulated in the university's Strategic Research Plan).

9.00 The administrative requirements, approval and renewal processes, scope of activities, and other aspects of Research Centres are dependent on the breadth of their academic constituencies. Research Centres are of four types:

- Intra-faculty - membership and activities primarily within a single department, a non-departmentalized faculty, or between departments in a single faculty
- Inter-faculty - membership and activities primarily between 2 faculties
- Multi-faculty - membership and activities primarily between 3 or more faculties
- Inter-institutional - membership and activities between multiple institutions.

Purposes and Objectives of Research Centres

10.00 The purposes of establishing a Research Centre are to:

- a. Promote and facilitate collaborative and/or interdisciplinary research and enhancement of research networking capacity and infrastructure.
- b. Increase and effectively manage the resources and research support for its members and the wider university community.
- c. Provide education and training in research and related skills, especially for graduate and undergraduate students, and thereby enhance the academic programs of their constituent academic units.
- d. Contribute to the university's strategic educational and research missions and to support synergies between research, teaching, and learning.
- e. Transfer and mobilize knowledge gained through research for the benefit of society, via a variety of mechanisms as appropriate.
- f. Enhance the reputation of its members, the constituent academic units, and the university through the quality of its work.

11.00 Research Centres are expected to develop their own objectives and measurable goals to meet the purposes stated in section 10.00 of this policy. The Research Centre's objectives and goals should be appropriate for the size and scope of its Academic Constituency.

Approval, Governance, and Review of Research Centres

12.00 Research Centres are constituted formally as part of the university's organization and are subject to its direction, oversight, and strategic plans.

13.00 The administrative and organizational structures of Research Centres are developed as appropriate to the mandate and type of the centre. All have equal status as University of Victoria Research Centres.

- 14.00 Research Centres may use cognate titles such as “institute”. Such titles do not imply differences in structure or function.
- 15.00 The establishment, approval, review, and closure of all Research Centres shall be in accordance with the associated [Procedures for the Establishment, Review, and Closure of Research Centres](#) and the [Guidelines for the Review of Research Centres](#).
- 16.00 Research Centres are approved for a term of normally five years. Continuance of a Research Centre is subject to a review, the ongoing purpose for the Centre, and funding arrangements.
- 17.00 Research Centres and their constituent academic units are expected to establish mechanisms to assure there is ongoing communication for purposes of coordinating resources, training, research activities, and strategic planning.

Administrative and Financial Structure of Research Centres

- 18.00 A Research Centre will be led by a faculty member of the university, in accordance with the university's [Duties and Responsibilities of Directors of Research Centres policy GV0715](#) and [Procedures for Appointment and Review of Research Centre Directors GV0705](#).
- 19.00 Contributions to the work of a Research Centre are to be included in documentation for career evaluation purposes (e.g., tenure, promotion, merit awards, etc.) subject to the relevant faculty evaluation policy.
- 20.00 A Research Centre may employ its own research, technical, and clerical staff on term appointments, subject to the relevant collective agreements and university human resource policies.
- 21.00 A Research Centre may occupy space designated specifically for its own use, or its activities may be carried out without assigned space. A Research Centre may be located on the university campus, or in off-campus premises owned by the university, or in premises owned by a third-party.
- 22.00 Funding for Research Centres can be made up of a combination of multiple internal and external sources including but not limited to: external funding agreements, academic unit operating funds, non-recurring funds, indirect funding, and endowments. Funding sources may change and adapt over time.
- 23.00 A Research Centre must obtain approval from the Associate Vice-President Alumni and Development for fundraising activities directed at external donors. All fundraising activities undertaken by a Research Centre shall be in accordance with the university's [Fundraising and Gift Acceptance Policy ER4105](#).
- 24.00 A Research Centre that plans to sell services or products on a commercial basis may not compete unfairly with private sector organizations offering similar services or products and must comply with the intellectual property and commercialization policies of the university.

25.00 Any agreement defining the obligations and liability of the university with respect to the activities of, and with respect to the other participants in, the Research Centre will require the approval of the Vice-President Research or delegate. Such agreements shall comply with the signing and research policies and procedures of the university.

Authorities and Officers

26.00 The authorities and officers for this policy are:

- i) Approving Authority: Board of Governors (on the recommendation of Senate)
- ii) Designated Executive Officer: Vice-President Research
- iii) Procedural Authority: Board of Governors
- iv) Procedural Officer: Vice-President Research

Relevant Legislation

[University Act, RSBC 1996 c 468](#)

Related Policies and Documents

[Duties and Responsibilities of Directors of Research Centres \(GV0715\)](#)

[Fundraising and Gift Acceptance \(ER4105\)](#)

[Intellectual Property \(GV0215\)](#)

[Procedures for the Establishment, Review, and Closure of Research Centres \(RH8300\)](#)

[Procedures for Appointment and Review of Research Centre Directors \(GV0705\)](#)

[Guidelines for the Review of Research Centres](#)

[Collective Agreement with the Faculty Association](#)

Procedures for the Establishment, Review, and Closure of Research Centres

Procedural Authority: Board of Governors
Procedural Officer: Vice-President Research
Parent Policy: [Establishment, Review, and Closure of Research Centres RH8300](#)

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Purpose

- 1.00 The purpose of these procedures is to set out the processes for the establishment, approval, administration, review, and closure of Research Centres at the university.

Procedures

- 2.00 Table I identifies the Administrative Authority and Approval Authority for each category of Research Centre where:
- 2.01 The Administrative Authority has responsibility for submitting the recommendation to establish or renew a Research Centre and ongoing responsibility for the oversight of the administration and activities of the Centre. The Administrative Authority also has responsibility for the review of a Research Centre following the procedures specific below.
 - 2.02 The Approval Authority has responsibility for the formal approval of the establishment or renewal of a Research Centre.
 - 2.03 In the case of an inter-faculty Research Centre, the Dean of the faculty is both the Administrative and the Approval Authority.
- 3.00 Table I also specifies the notification requirements when a Research Centre is established or renewed.

Table I

Type	Administrative Authority	Approval Authority	Notification
Intra-Faculty	Dean of Faculty	Dean of Faculty after consultation with the Vice-President Research	Dean notifies Faculty Council. Dean notifies Vice-President Research who notifies Senate and the Board of Governors.
Inter-Faculty	Deans of Faculties	Vice-President Research on the recommendation of the Deans	Vice-President Research notifies Senate and the Board of Governors
Multi-Faculty	Vice-President Research	Senate on the recommendation of the Senate Committee on Planning on the recommendation of the Vice-President Research	Vice-President Research notifies the Board of Governors
Multi-Institutional	Vice-President Research in consultation with the Vice-President Academic and Provost	Board of Governors on the recommendation of Senate on the recommendation of the Senate Committee on Planning on the recommendation of the Vice-President of Research	n/a

Establishment and Approval of a Research Centre

- 4.00 The Approval Authority has responsibility for approving the establishment of a Research Centre based on the recommendation of the Administrative Authority. Approval will be for an initial term that will not exceed five years.
- 5.00 Proposals for the establishment of a Research Centre should be submitted to the Administrative Authority and include detailed information on the following items where applicable:
- Statement of objectives and measurable goals showing how the proposed activities of the Research Centre relate to the purposes of a Research Centre as outlined in Section 10.00 of the Establishment and Review of Research Centres Policy RH8300. The statement should be in accordance with the priorities and goals of the Centre's Academic Constituency and the university.
 - An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre.

- Evidence that there exists within the university, or within the institutions in the case of a multi-institutional Centre, a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate on projects the Research Centre will sponsor or undertake.
- Identification of the required direct and indirect resources, including funding, space, services and personnel, and their sources, in a detailed business plan.
- A statement outlining the benefits of the proposed centre to the university and society.

6.00 An organizational structure with clear reporting lines and accountability for policy and management decisions taken by the Research Centre will be established in consultation with the Administrative Authority. The organizational structure and governance of the Research Centre will include a steering committee whose membership will include representatives commensurate with the Academic Constituency of the Centre. The duties and responsibilities of the Director will be negotiated between the Administrative Authority and the Director.

7.00 After approval of the establishment of a Research Centre, notification will be undertaken as specified in Table I.

Review of Research Centre

8.00 The review of a Research Centre will be initiated by the Administrative Authority 12 months in advance of the expiry of the current term.

8.01 In the event that the Director, after consultation with the faculty members in the Research Centre, advised the Administrative Authority that the Research Centre should not be considered for renewal, the Centre will be closed as described in Sections 25.00-27.00.

9.00 A panel shall be established for the review, consisting of one internal and two external members appointed by the Administrative Authority in consultation with the Director of the Centre. The Administrative Authority will appoint the chair, who will normally be an external member. The Administrative Authority may add additional external members if that is necessary to undertake a fulsome review of the Centre.

10.00 No panel member shall be associated directly with the Research Centre either as a participant or as a faculty affiliate or collaborator with a faculty member engaged with the Research Centre. Internal members will normally be from a department, school, or faculty other than the home unit of the Centre Director.

11.00 In the case of an intra-faculty Centre, and with the approval of the Vice-President Research, an external member may be a faculty member in a faculty other than the Centre's home faculty.

12.00 Prior to the review, the Director in consultation with others in the Centre will prepare a self-assessment report. The report will include an evaluation of the performance of the Centre against the objectives and goals set out at the time of its establishment or

previous review. The Administrative Authority will review the report and may require alterations before it is sent to the review panel.

- 13.00 For guidance on what information should be included in the self-assessment and review panel assessment and report, refer to the [Guidelines for the Review of Research Centres](#).
- 14.00 The panel shall satisfy itself that the self-assessment report has included contributions from the Centre's faculty members, staff, students, and other internal and external stakeholders as appropriate.
- 15.00 The panel will undertake a site visit to the Centre, normally two days, to meet with the Administrative Authority and members of the Centre including the Director, faculty, staff, students, and steering committee members. The panel may also meet with others as required to assess the Centre, e.g. representatives from other institutions in the case of a multi-institutional Centre.
- 16.00 The panel shall prepare a detailed report on the Centre and its activities, and make a recommendation on its continuation or closure or a conditional continuation of the Centre not to exceed two years
- 17.00 The panel chair shall submit the panel's report to the Administrative Authority who will in turn relay it to the Director for a written response to any issues raised in the report.
- 18.00 In the event the Administrative Authority supports the renewal of a Centre, a recommendation for renewal, normally for five years, is submitted to the Approving Authority accompanied by the Centre's self-assessment report, the panel's report, and the Director's response to the panel's report. The Approving Authority will undertake the necessary notifications as outlined in Table I.
- 19.00 If the Approval Authority's decision is a conditional continuation of the Centre, a further review of the Centre's activities will be conducted under the direction of the Administrative Authority during the continuation period. A Centre cannot be granted two consecutive conditional continuations.
- 20.00 In the event the Administrative Authority does not support renewal of a Centre, the Approving Authority shall be so informed with reasons. The Approving Authority may accept the decision of the Administrative Authority, or may request the Administrative Authority to reconsider. If the Approving Authority accepts the decision of the Administrative Authority, the Centre will be closed as described in Sections 25.00-27.00.

Renaming of a Research Centre

- 21.00 For a Research Centre to change its name, the Director must prepare a proposal outlining the rationale for a new name. This proposal is submitted to the Administrative Authority for approval before submission to the Approving Authority.

- 22.00 Once the proposal for a name change is approved by the Approving Authority, the Research Centre Director will distribute the proposal to members of the Research Centre or other internal or external stakeholders, and solicit letters of support in favour of the new name. Letters must be on official letterhead of the member's unit or institution, and addressed to the Approving Authority.
- 23.00 The Director will forward all letters of support to the Administrative Authority for completion of the approval and notification process, as required in Table I.

Closure of a Research Centre

- 24.00 In exceptional circumstances, a Centre may be closed before the end of its current term, with the agreement of the Administrative Authority and the Director after consultation with faculty members in the Centre.
- 25.00 When a Research Centre is to be closed, the Director (or the person to last serve in that position) shall be responsible for coordinating the appropriate and orderly closure of the Centre, including but not limited to completion or termination of research activities and projects in the Centre, resolution of financial matters, disposition of infrastructure (including computers) and other physical resources (e.g. furnishings), archiving of management records, and proper handling of research resources including archiving of research data, records, and research results as required by university or funding agency policy.
- 26.00 The Vice-President Research shall notify Senate and the Board of Governors of any closures in the annual report on Research Centres.

Related Policies and Documents

[Duties and Responsibilities of Directors of Research Centres policy GV0715](#)

[Establishment, Review, and Closure of Research Centres policy RH8300](#)

[Procedures for Appointment and Review of Research Centre Directors GV0705](#)

[Guidelines for the Review of Research Centres](#)