Establishment and Review of Research Centres

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 A Research Centre is defined as a research organization made up of a group of faculty members who collaborate on an area of research, 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 a recognized academic department, school, division, or faculty.

4.00 A Director is the leader of a Research Centre. The title ‘Director’ may be changed to a more appropriate title depending on the type of research centre.

5.00 Academic Constituency of a Research Centre is the academic unit(s) from which a Research Centre primarily draws it membership.

JURISDICTION/SCOPE
6.00 This policy applies to the establishment and governance of Research Centres at the University of Victoria.

POLICY
7.00 The university encourages the establishment of Research Centres at various levels of the organization that will enhance and facilitate disciplinary and interdisciplinary research collaboration, knowledge transfer and training. 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 that ensure internal and public accountability as well as ongoing improvement and an evolving strategic direction.

9.00 The administrative requirements, approval and renewal processes, breadth of activities, and other aspects of Research Centres occur along a continuum that is proportionate to the breadth of their academic constituencies. This proportionality is primarily based on the location of the majority of the membership and activities of the centre and approximately parallels a department-faculty-university structure:

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

**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 consistent with the proportionate approach taken toward its establishment.

**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 along a proportionate continuum that is not hierarchical in nature. All have equal status as University of Victoria Research Centres.
14.00 Research Centres may use cognate titles such as “institute”, “laboratory”, “centre”, “group”, etc. Such titles do not imply differences in structure or function.

15.00 The establishment, approval and review of all Research Centres shall be in accordance with the associated Procedures for the Establishment and Review of Research Centres and the Guidelines for the Review of Research Centres.

16.00 The approval, review and governance of the Research Centres defined in this policy and its related procedures and guidelines will be proportionate, recognizing the level of oversight required and the need to balance this oversight with the level of resource implications created by a Research Centre.

17.00 The approval and review process, oversight and administrative responsibility for Research Centres occur along a continuum from departments to faculties to institutional and the inter-institutional levels.

18.00 Subject to the outcome of regular assessments of their performance, the duration of the existence of Research Centres follows a proportionate model depending on its purpose and funding arrangements, ranging from a specified limited term to in perpetuity.

19.00 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**

20.00 A Research Centre will normally be led by a faculty member of the university, in accordance with the university’s Duties and Responsibilities of Directors of Research Centres GV0715 and Procedures for Appointment and Review of Research Centre Directors GV0705.

21.00 The leader of a Research Centre may be given the title of ‘Director’ or an equivalent designation.

22.00 The appointment or review and re-appointment of a Research Centre Director shall be conducted in accordance with the Procedures for Appointment and Review of Research Centre Directors GV0705.

23.00 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.

24.00 A Research Centre may employ its own research, technical, and clerical staff on term appointments, subject to the relevant collective agreements, the Framework Agreement and university human resource policies.
25.00 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.

26.00 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.

27.00 A Research Centre must obtain approval from the Associate Vice-President Alumni and Development for fundraising activities directed at external donors so that these activities do not conflict with the university’s fundraising activities. All fundraising activities undertaken by a Research Centre shall be in accordance with the university’s Donations and Fundraising Policy ER4105.

28.00 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.

29.00 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

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

RELATED LEGISLATION

University Act

RELATED POLICIES AND DOCUMENTS

Duties and Responsibilities of Directors of Research Centres GV0715
Procedures for the Establishment and Review of Research Centres
Procedures for Appointment and Review of Research Centre Directors GV0705
Guidelines for the Review of Research Centres
Donations and Fundraising ER4105
Framework Agreement
PROCEDURES FOR THE ESTABLISHMENT AND REVIEW OF RESEARCH CENTRES

Procedural Authority: Board of Governors
Procedural Officer: Vice-President Research
Parent Policy: Establishment and Review of Research Centres RH8300

Effective Date: January 2010
Supersedes: NEW
Last Editorial Change: NEW

PURPOSE

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

PROCEDURES

2.00 The Vice-President Research, in consultation with the appropriate Dean(s), will determine which proportionate track will guide the establishment, review, and administration of a Research Centre. This proportionality is primarily based on the location of the majority of the membership and activities of the centre, and approximately parallels a department-faculty-university structure:

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

3.00 The four proportionate tracks, which are described in greater detail below, serve as administrative guides and are not intended to be prescriptive. A specific Research Centre may be best served by a hybrid approach to its organization and processes. Regardless of the track taken, all will be designated as University of Victoria Research Centres.

Establishment and Approval of Research Centres with primary membership at the departmental level (Intra-faculty Research Centre)

4.00 An intra-faculty Research Centre is established within a single department, a non-departmentalized faculty, or between departments within a single faculty of the University of Victoria.
5.00 Intra-faculty Research Centres seeking establishment require the approval of the dean on the recommendation of the relevant chairs.

5.01 Approval will be for an initial term that will not exceed five years.

6.00 Proposals for the establishment of an intra-faculty Research Centre should be submitted to the dean and include detailed information on the following items where applicable:

a. 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 department(’s), faculty and university’s priorities and goals.

b. An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre.

c. Evidence that there exists with the university a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate on projects it will sponsor or undertake.

d. Identification of the required direct and indirect resources, including funding, space, services and personnel and their sources, in a detailed business plan.

e. A statement outlining the benefits of the proposed centre to the university and society.

7.00 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 dean. The organizational structure and governance of the intra-faculty Research Centre will include a steering committee and membership will include chair(s) or their delegates. The duties and responsibilities of the director will be negotiated between the dean and the director. The dean will consult with the Vice-President Research on the proposal before making a decision on whether to approve the establishment of the Research Centre.

8.00 After approving the intra-faculty Research Centre the dean will advise the Faculty Council and report the establishment of the new centre to the Vice-President Research, who will report to the Senate and Board of Governors for their information.

**Review of Intra-Faculty Research Centres**

9.00 The review will be initiated by the dean 12 months in advance of the expiry of the current term.

10.00 The process of review is to be determined by the dean, but would normally include a self-assessment of the Research Centre by the director (or equivalent) and an internal university review panel which includes the chairs, or their
designates, from the constituent academic units. The review may be augmented by a written external review by an appropriate peer group.

11.00 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.

12.00 The review will include an evaluation of the performance of the Research Centre against the objectives and goals set out at the time of its establishment or previous review.

13.00 A review and recommendation for continuation (normally for a five-year term) or closure should be conducted during the final year of the Research Centre's mandate and submitted to the dean in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.

14.00 The decision of the dean on the continuation or closure of the intra-faculty research centre will be reported to the Faculty Council and Vice-President Research, who will report the decision to the Senate and the Board of Governors for their information.

Establishment and Approval of Research Centres with membership primarily from Two Faculties (Inter-Faculty Research Centre)

15.00 An inter-faculty Research Centre is established between two faculties of the University of Victoria.

16.00 Inter-faculty Research Centres seeking establishment require the approval of the Vice-President Research on the recommendation of the relevant Deans.

16.01 Approval will be for an initial term that will not exceed five years.

17.00 Proposals for the establishment of an inter-faculty Research Centre should be submitted to the appropriate deans for initial approval and recommendation to the Vice-President Research. Proposals should include detailed information on the following items where applicable:

a. 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 faculties’ and university’s priorities and goals
b. An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre
c. Evidence that there exists with the university a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate in projects it will sponsor or undertake
d. Identification of the required direct and indirect resources, including funding, space, services and personnel and their sources, in a detailed business plan

e. A statement outlining the benefits to the university and society of the proposed centre

18.00 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 appropriate deans. The organizational structure and governance of the faculty Research Centre will include a steering committee and membership will include Deans or their delegates.

19.00 After approving the Research Centre the Vice-President Research will report the establishment of the new centre to the Senate Committee on Planning, the Senate and the Board of Governors.

**Review of Inter-Faculty Research Centres**

20.00 The review will be initiated by the relevant deans 12 months in advance of the expiry of the current term.

21.00 The review process will be determined by the deans and would normally include a self-assessment by the director (or equivalent), an internal review panel which may be augmented by external representation and a written external peer review. The review should be submitted to the Vice-President Research for a decision on continuation or closure.

22.00 The review will include an evaluation of the performance of the Research Centre against the objectives and goals set out at the time of its establishment or previous review.

23.00 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.

24.00 At the end of the inter-faculty Research Centre’s term, the relevant deans will recommend to the Vice-President Research continuation or closure of the Research Centre. A review and recommendation for continuation (normally for a five-year term) or closure should be conducted during the final year of the Research Centre’s mandate and submitted to the Vice-President Research in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.

25.00 The decision of the Vice-President Research on the continuation or closure of the faculty Research Centre will be reported to the Senate and Board of Governors for information.
Establishment and Approval of Research Centres with Members from Multiple (>2) Faculties (Multi-Faculty Research Centre)

26.00 A multi-faculty Research Centre is established between three or more faculties of the University of Victoria.

27.00 Multi-faculty Research Centres seeking establishment require the approval of the Senate on the recommendation of the Vice-President Research in consultation with the Vice-President Academic and Provost. Approval will be for an initial term that will not exceed five years.

28.00 Proposals for the establishment of a multi-faculty Research Centre should be submitted to the Senate Committee on Planning by the Vice-President Research. This submission should include an assessment of the priority that should be accorded the proposed area of interdisciplinary research within the context of the university’s strategic plan.

29.00 Proposals should include detailed information on the following items where applicable:

a. 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 faculties’ and university’s priorities and goals
b. An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre
c. Evidence that there exists within the university a group of faculty members with established reputations in the field proposed for the centre who are willing to collaborate in projects it will sponsor or undertake
d. Identification of the required direct and indirect resources, including funding, space, services and personnel and their sources, in a detailed business plan
e. A statement outlining the benefits to the university and society of the proposed centre

30.00 An organizational structure with clear reporting lines and accountability for policy and management decisions taken by the Research Centre will be established by the Vice-President Research in consultation with the appropriate Deans. The organizational structure and governance of a multi-faculty Research Centre will include a steering committee including representation from all participating faculties including the requisite deans (or delegates), the Vice-President Research (or delegate), and other relevant stakeholders.

31.00 After approval of the multi-faculty Research Centre by Senate the Vice-President Research will report the establishment of the new centre to the Board of Governors.
Review of Multi-Faculty Research Centres

32.00 The review will be initiated by the Vice-President Research 12 months in advance of the expiry of the current term.

33.00 At the end of the multi-faculty Research Centre’s term, the Vice-President Research will recommend to Senate continuation or closure of the Research Centre. A formal review and recommendation for continuation (normally for a five-year term) or closure should be conducted during the final year of the Research Centre’s mandate and submitted to the Vice-President Research in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.

34.00 A panel shall be established for the review, consisting of one internal and two external members appointed by the Vice-President Research in consultation with the director (or equivalent) of the centre and the appropriate deans. The Vice-President Research will appoint the chair, who will normally be an external member.

35.00 No panel member shall be associated directly with the Research Centre either as a participant or as a faculty affiliate.

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

37.00 The panel shall satisfy itself that the self-assessment report has included contributions from the Research Centre’s faculty members, staff, students, and other internal and external stakeholders as appropriate.

38.00 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.

39.00 The panel shall prepare a detailed report on the Research 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. During that time a further review of the centre’s activities will be conducted under the direction of the Vice-President Research. A Research Centre can be given only one conditional continuation.

40.00 The panel report shall be forwarded to the Vice-President Research who will in turn relay it to the director (or equivalent) of the centre for a written response to any issues raised in the Report.
41.00 The Vice-President Research shall make a recommendation regarding the Research Centre’s continuation, as well as any terms and conditions that are appropriate, taking into account the panel report.

41.01 The panel report, together with the recommendation of the Vice-President Research, shall be forwarded to the chair of the Senate Committee on Planning for consideration by the committee.

41.02 The committee will forward its recommendation on continuation to the Senate for approval.

41.03 The Vice-President Research will report the decision of Senate on the continuation or closure of the centre to the Board of Governors.

Establishment and Approval of Inter-Institutional Research Centres

42.00 An inter-institutional research centre is established at the University of Victoria and in collaboration with other institutions or universities.

43.00 Inter-institutional Research Centres seeking establishment require the approval of the Board of Governors on the recommendation of the Senate. Approval will be for an initial term that will not exceed five years.

44.00 Proposals for the establishment of an inter-institutional Research Centre should be submitted to the Senate Committee on Planning by the Vice-President Research in consultation with the Vice-President Academic and Provost. The submission by the Vice-President Research should include an assessment of the priority that should be accorded the proposed area of interdisciplinary research within the context of the university’s strategic plan.

45.00 Proposals should include detailed information on the following items where applicable:

   a. 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 university’s priorities and goals
   b. An explanation of why the proposed activities can best be achieved through the establishment of a Research Centre
   c. Evidence that there exists with the university a group of faculty members, with established reputations in the field proposed for the centre, who are willing to collaborate in projects it will sponsor or undertake
   d. Identification of the required direct and indirect resources, including funding, space, services and personnel and their sources, in a detailed business plan
   e. A statement outlining the benefits to the university and society of the proposed centre
46.00 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 Vice-President Research (or equivalent) from participating institutions.

47.00 The organizational structure and governance of an inter-institutional Research Centre will include a multi-institutional steering committee with representation from all participating faculties, Vice-President Research or their delegates, and other relevant stakeholders, and other committees as required.

**Review of Inter-Institutional Research Centres**

48.00 The review will be initiated by the Vice-President Research 12 months in advance of the expiry of the current term and must include a formal review of the Research Centre's activities during the preceding term.

49.00 At the end of the inter-institutional Research Centre's term, the Vice-President Research will recommend, in consultation with the Vice-President Academic and Provost, continuation or closure of the Research Centre to the Senate Committee on Planning for final approval by the Board of Governors.

50.00 A formal review and recommendation for continuation (for a five-year term) or closure should be conducted during the final year of the centre's mandate and submitted to the Vice-President Research in a timely fashion to facilitate orderly implementation of the recommendations, including those that may affect the staffing of a Research Centre.

51.00 A panel shall be established for the review, consisting of one internal and two external members appointed by the Vice-President Research in consultation with the Director (or equivalent) of the centre. The Vice-President Research will appoint the Chair, who will normally be an external member.

52.00 No panel member shall be associated directly with the Research Centre either as a participant or as a faculty affiliate.

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

54.00 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.

55.00 The panel shall satisfy itself that the self-assessment report has included contributions from the Research Centre staff, colleagues affiliated with the centre, students associated with the activities of the centre, and clients served, if appropriate.
56.00 The panel shall prepare a detailed report on the Research 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. During that time a further review of the centre’s activities will be conducted under the direction of the Vice-President Research. A Research Centre can be given only one conditional continuation.

57.00 The panel report shall be forwarded to the Vice-President Research and Vice-President Academic and Provost who will in turn relay it to the Director (or equivalent) of the centre for a written response to the issues raised in the report.

58.00 The Vice-President Research, in consultation with Vice-President Academic and Provost, shall make a recommendation regarding the Research Centre’s continuation, as well as any terms and conditions that are appropriate, taking into account the panel report.

58.01 The panel report, together with the recommendation of the Vice-President Research, shall be forwarded to the Chair of the Senate Committee on Planning for consideration by the Committee.

58.02 The Committee will forward its recommendation to the Senate who will make a recommendation on the continuation of the Research Centre to the Board of Governors.

**AUTHORITIES AND OFFICERS**

i) Procedural Authority: Board of Governors
ii) Procedural Officer: Vice-President Research

**RELATED POLICIES AND DOCUMENTS**

Duties and Responsibilities of Directors of Research Centres policy GV0715
Establishment and Review of Research Centres policy RH8300
Procedures for Appointment and Review of Research Centre Directors GV0705
Guidelines for the Review of Research Centres