

POLICY 7.9 – Establishment, Governance and Review of Research Institutes, Centres and Groups

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| Policy Category: | Research |
| Subject: | Establishment, Governance and Review of Research Institutes, Centres and Groups |
| Approving Authority: | Board of Governors on recommendation of Senate |
| Responsible Officer(s) | Vice-President (Research) |
| Responsible Office: | Office of the Vice-President (Research) |

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B. DEFINITIONS

1.00 Research Institutes: University Institutes will report directly to the Vice-President (Research) through their governance framework. Institutes are the research organizations most closely aligned with the core strategic interests of the University, by virtue of one or more of several criteria: their size, breadth, national and international impact and excellence, and/or their focus and scope of research. Institutes are multi-disciplinary in nature, in most cases are expected to have core membership spanning two or more Faculties, and are supported by major external funding. Institutes may also involve significant research participation,

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- 1.04 Proposals for Institutes that are supported by CRI are forwarded to the URB for review. The URB shall consider whether the proposal is consistent with the academic priorities of the University and whether the resource requirements and sources of funding have been appropriately considered. If the proposal is endorsed by the URB, it will recommend it to the Senate. If approved by Senate, the recommendation will be forwarded to the Board of Governors for final approval.

2.00 Terms and Renewal for Centres and Institutes

The initial term of a Centre or Institute shall normally not exceed five years. Upon application, additional terms, each normally not exceeding five years in duration, may be granted by the Vice-President (Research) in consultation with the Provost & Vice-President (Academic) and the relevant Dean(s), and subject to the satisfactory review of the objectives, operation and budget of the Centre or Institute. The Vice-President (Research) will notify the URB of any

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2.00 Governance – Institutes

2.01 Director

An Institute is led by its Director, who is normally appointed for a five-year term. The Director of the Institute reports to the Vice-President (Research) in all aspects related to the Institute and its function. The Director will normally hold an academic appointment and reports to the appropriate Dean and Chair with respect to his/her academic responsibilities.

The Provost & Vice-President (Academic) will appoint the Institute Director on the recommendation of the Vice-President (Research) as advised through a representative selection committee constituted by the Vice-President (Research). An appointment letter will be issued for the full-term appointment. Directors will normally be qualified to hold an academic appointment.

2.02 Research Advisory Committee (RAC)

The Director establishes a Research Advisory Committee (RAC) whose purpose is to provide advice to the Director and the members of the Institute with regard to scientific or scholarly priorities and direction for the Institute. The RAC is chosen by the Director and is consulted at least every year, or more frequently at the discretion of the Director.

2.03 Governing Board (GB)

The Governing, or Management Board comprises, at a minimum, the Vice-President (Research) (or designate) along with the Deans (or designates) from the Faculties that have principle roles in the success of the Institute. The GB oversees the overall function and direction of the Institute and will meet at least once a year. The GB will receive an annual report from the Director on the status, progress and immediate future plans of the Institute. Such reports will be transmitted to the Vice-President (Research) for submission to Senate for information. The GB, in consultation with the Director, the RAC and members of the Institute, is responsible for constituting an External Review Board (ERB) at least every five years, and normally coincident with the final year of the Director's term

3.00 Governance – Centres

3.01 Director

Typically, a Centre is led by a Director who is appointed for a five-year term. The Director is chosen by the appropriate Dean(s) following consultation with members of the Centre.

3.02 Structure

The Director of the Centre reports to the appropriate Dean(s). The Dean reports to the Vice-President (Research) for information only. In all other respects, a Centre's governance structure is that of an Institute which resides principally within a single Faculty. However, it is recognized that in certain cases, the establishment of a formal governing/management board may not be justified. In cases where the Centre maintains a formal governing body, the Centre's GB is normally chaired by the appropriate Dean (or designate) and is composed of the Chairs (or designates) of the Departments that have a principle role in the success of the Centre.

4.00 Governance – Groups

Research Groups may establish such governing structures as they deem appropriate.

2.00 Existing Centres and Institutes

The effective date for this policy is the date of approval by the Board of Governors. Existing Centres and Institutes will be subject to this policy at the time of the expiry of their current term or by 2016, whichever is sooner. Institutes or Centres that do not meet this policy's requirements and definitions will not be renewed. There may be circumstances where it is more appropriate to "grandparent" specific existing Centres and Institutes, in which case the Vice-President (Research) may waive this requirement.

3.00 Adherence to University Policies

All Institutes, Centres and Groups are expected to adhere to all applicable university policies and procedures, financial and otherwise, as established or amended from time to time.

4.00 Incorporation

Requests for incorporation by Centres or Institutes will be entertained only in the most exceptional circumstances, and must be approved by the Board of Governors of the University. Should such approval be granted, a formal Affiliation Agreement shall be established between the Centre or Institute and the University, the terms of which are subject to the approval of the Board of Governors. In any incorporated entity, the members of the governing board of the Centre or Institute shall be approved by the University's Board of Governors, and/or a majority of the members of the governing board of the Centre or Institute shall be appointed by the University.

5.00 Fundraising

All fundraising activities proposed by Centres or Institutes shall be undertaken in consultation with, and subject to the approval of the Vice-President (University Advancement) of the University. All charitable income tax receipts will be issued in the name of the University and by the University.

6.00 Contracts

The University shall be solely responsible for the negotiation and approval of research contracts involving the Centre or Institute or its members, unless stipulated otherwise under the terms of existing Affiliation Agreements.