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## PROCEDURE

### 1. ~~Approval Process for Research Centres and Institutes~~

~~A formal, written proposal to establish a research centre or institute must be submitted to the Vice-President, Instruction and Research. The proposal must provide detailed information in the following areas:~~

#### ~~1.1. Purpose~~

~~The rationale for the establishment of the proposed research centre or institute must be described, including its role and its goals. This statement requires a description of the social, academic, and organizational context within which the proposed centre or institute would operate, specifically addressing the question of the benefit to the advancement of research, scholarly activity, and practice in the field that such a centre or institute would create.~~

#### ~~1.2. Relevance~~

~~A proposal must address how the proposed research centre or institute assists the fulfillment of the institution's mission and goals. Some questions that should be addressed: How will the research centre or institute benefit the University's students, faculty and staff? How will the proposed research centre or institute assist the institution to contribute to the social, economic, environmental and cultural development of its community? How will the research centre or institute enhance the university's regional, provincial, national and international reputation?~~

#### ~~1.3. Research Plan~~

~~A proposal must contain a research plan that describes the proposed research centre or institute's outcomes in measurable objectives for a five-year period or for the research centre or institute's full term, if less than five years. The research plan should also include a description of the methods by which the outcomes will be achieved and the timeline for their achievement.~~

#### 1.4.— Membership

A proposal should provide evidence of multi-discipline and multi-institutional faculty commitment to work collaboratively through such a research centre or institute. The process and criteria used for selection of members should be identified.

#### 1.5.— Administrative Structure

A proposal should describe the administrative structure of the proposed research centre or institute that conforms to the requirements of the Research Centres and Institutes Policy and Procedures. Specific attention should be given to the identification of all human resources required for the operation of the research centre or institute and their status within the institution. Any employment opportunities for faculty, staff and students through the research centre or institute should be identified.

#### 1.6.— Resource Requirements

1.6.1. A proposal should provide a projected budget, describing expected revenues and expenditures for the research centre or institute for a five year period or for the research centre or institute's full term, if less than five years. The description of revenues should identify all sources, including in-kind contributions.

1.6.2. Any fundraising activities expected to be undertaken by the research centre or institute should be identified to ensure no duplication with other fundraising activities of the institution. Products or services that are marketed to produce revenue must be described to ensure that there is a demonstrable market for such products or services and that there is no unfair competition with the private sector in the marketing of them.

1.6.3. The description of expenditures should provide estimates for all projected expenditures, including support services requirements, such as accounting, auditing, human resources, computing, library, space, furniture and equipment, utilities, legal costs and health and safety. Finally, the budget should identify the appropriate return to the institution as per the *Policy on Non-Base Activity*. Any request for institutional funding must be included.

#### 1.7.— Legal Requirements

A proposal should describe all legal requirements including liabilities, insurance, copyright, intellectual property rights and others that attend the establishment of the research centre or institute. Contracts or other agreements that commit institutional human, financial or capital resources should be described.

## 2. Approvals

2.1 The proposal is submitted to the Vice-President, Instruction and Research who either accepts the proposal and forwards it to the Board for approval or rejects the proposal, providing reasons to the proponent.

2.2 The Board's approval for the establishment of a research centre or institute is for a provisional year, after which a Progress Review will be conducted to determine the research centre or institute's continuing status.

## 3. Research Centre or Institute Director

### 3.1 Term of Appointment

The Director for a research centre or institute is a regular part-time or full-time administrative appointment, secondment or volunteer for a specified term.

### 3.2 Recruitment and Selection

The Director is selected by the Vice-President, Instruction and Research using the normal process for administrative appointments and secondments.

### 3.3 Accountabilities

The Director is responsible for the development of a research plan in consultation with the advisory committee; wise management of human, financial and capital resources; recruitment of external grants and contracts resources; conformity to institutional policies, procedures, regulations and applicable collective agreements; and, producing an Annual Report as per the *Research Centres and Institutes Policy and Procedures* by the end of each fiscal year.

### 3.4 Performance Review

The Director's performance will be reviewed by the Vice-President, Instruction and Research in conjunction with the conduct of Progress and Renewal Reviews.

## 4. Annual Report

The Director will produce a detailed, bound Annual Report for the research centre or institute by the end of each fiscal year. The content of the Annual Report must include, but is not limited to the following elements:

- an executive summary;
- a statement of the history of the research centre or institute;
- a description of the research plan, membership and administrative structure;
- a description of its activities for the year;
- an assessment of its performance on its goals and objectives;

- a statement of revenues and expenditures derived from the audited financial statements of the institution and an analysis of its financial performance;
- an identification of issues and a plan for addressing them in the following academic year.

## 5. Progress Review

- 5.1. A Progress Review will be conducted at the conclusion of the first year's operation of the research centre or institute. This review will examine the achievement of the research centre or institute's goals and objectives, including its financial performance. The Annual Report produced by the Director will be the primary source document for the review.
- 5.2. The Progress Review will be conducted by a Review Panel comprised of three persons appointed by the Vice-President, Instruction and Research. Review Panel members will normally be selected from two lists. The centre or institute Director will recommend a list of two persons to the Vice-President, from which one name will be chosen. The Vice-President will submit a list of four persons to the Director, from which two persons are chosen. The Vice-President will appoint a Chair of the Review Panel, who will normally be an external member. No Review Panel member will be directly associated with the research centre or institute under review.
- 5.3. The Progress Review will involve consultation with the Advisory Committee, the Director, students, faculty, clients, funding agencies and other stakeholders, as deemed necessary and desirable. The Review Panel may also consult with external experts in the subject field or research centre administration, at its discretion.
- 5.4. The Review Panel will provide a detailed report with a recommendation to the Vice-President, Instruction and Research that the institution:
- Grant continuing status to the research centre or institute; or,
  - Extend the term of the research centre or institute for one year to enable achievement of specified performance objectives; or,
  - Closure of the research centre or institute.
- 5.5. A copy of the Review Panel's report will be provided to the Advisory Committee and the Director.
- 5.6. The Vice-President, Instruction and Research will consider the Review Panel's report and any commentary on the report provided by the Director. S/he will then recommend to the Board acceptance of the Review Panel's recommendation or a modification of it.
- 5.7. In the case of a recommendation for closure, the research centre or institute's Director has the right to appeal the decision to the Vice-President, Instruction and Research before a final decision is made by the Board.

## 6. Renewal Review

~~6.1. A Review Panel appointed by the Vice-President, Instruction and Research will undertake a formal, summative review of the performance of the research centre or institute every five years.~~

~~6.2. The Renewal Review will be conducted using the Progress Review process (outlined above) extended to cover five years' operation. The Annual Reports produced by the Director will be the primary source document for the review.~~

1. Establishment of research entities must facilitate the University Academic Plan. As such, their establishment requires the endorsement and approval of the appropriate governing bodies.

1.1 A proposal is submitted to the appropriate Faculty Council who either accepts the proposal and forwards it to the appropriate governing bodies, or rejects the proposal. If at any point in the consideration process the proposal is rejected, reasons will be provided to the proponent.

1.2 The approval for the establishment of a research entity is for a provisional year, after which a Progress Review will be conducted to determine continuing status.

1.3 Approval Process for Research Entities

1.3.1 Centres

Proposals for the establishment of Centres are submitted to the applicable Faculty Council which will then take the proposal forward to the appropriate Faculty Dean for final approval.

1.3.2 Research Groups

Proposals for the establishment of Research Groups are submitted to the applicable Faculty Council which will then take the proposal forward to the appropriate Faculty Dean for final approval.

1.3.3 Research Centres

Proposals for the establishment of Research Centres are submitted to the applicable Faculty Council which will then take the proposal forward to the appropriate Faculty Dean. The proposal can then be recommended to the Vice-President Academic and Provost (VPAP) for consideration. The proposal can then be recommended to the Senate to be forwarded to a Senate Research Subcommittee for review. After consideration and advice, the proposal is then recommended to Senate for final approval.

#### 1.3.4 Research Institutes

Proposals for the establishment of Research Institutes are submitted to the VPAP which will then take the proposal forward to the Provost Council for consideration. The proposal can then be recommended to the Senate to be forwarded to a Senate Research Subcommittee for review. After consideration and advice, the proposal is then recommended to Senate for final approval.

## 2. Proposal and Approval Process for Research Entities

A formal, written proposal for the establishment of a research entity is submitted to the applicable Faculty Council which will then take the proposal forward to the appropriate governing bodies for consideration. The proposal must provide detailed information in the following areas:

### 2.1 Mission Statement

A proposal should include a concise statement of the mission of the proposed research entity, indicating the purposes and objectives.

### 2.2 Purpose

The rationale for the establishment of the proposed research entity must be described, including its role and its goals. This statement requires:

- i. a description of the social, academic, and organizational context within which the proposed research entity would operate; and
- ii. specifically addressing the question of the benefit to the advancement of research, scholarly activity, and practice in the research field.

### 2.3 Relevance

A proposal should address how the proposed research entity assists the fulfillment of the institution's mission and goals. Some questions that should be addressed:

- i. How will the research entity benefit the University's students, faculty and staff?
- ii. How will the research entity assist the Institution to contribute to the social, economic, environmental and cultural development of its community?
- iii. How will the research entity enhance the university's regional, provincial, national and international reputation?
- iv. How will the research entity address the Academic Plan?

### 2.4 Research Plan

The research plan should include a description of the methods by which the outcomes will be achieved and an indication of how the research entity will facilitate research within the University and the wider community.

Activities: A description of the proposed activities and relationship to academic programs and the community .

Projected Outcome: A description of the outcomes and benefits in measurable objectives likely to result from the establishment of the research entity for a five-year period or for the centre's full term, if less than five years.

## 2.5 Membership

A proposal should demonstrate sufficient knowledge and expertise collectively through the membership to justify the establishment of the research entity. .

Membership may be comprised of faculty, staff and administration, research fellows, visiting scholars, community experts and support staff, to coordinate ongoing research and scholarly activity.

A Curriculum Vitae for each proposed member should be attached to indicate that the research entity collectively has sufficient proficiency and academic scholarship in the proposed research field in proportion to the type of entity being established.

The process and criteria used for the selection of members should be identified.

## 2.6 Administrative Structure

The proposal should describe the administrative structure of the proposed research entity outlining how it conforms to the needs, responsibilities and requirements of the entity in accordance with Policy 31.12.

### 2.6.1 Centres (Non-Research) and Research Group Leadership

Centres (non-research) and Research Groups may choose to establish informal or rotating leadership and roles to be elected by the membership, selecting one member to act as representative to submit annual reports and communicate with the governing body. In this case, the proposal should indicate how roles and responsibilities will be managed.

### 2.6.2 Research Centres and Research Institutes Directorship

The proposal should identify a proposed Director, who will normally be a full-time continuing faculty member of Vancouver Island University.

See Appendix 1 for roles and responsibilities of Director.

### 2.6.3 Advisory Committee

An Advisory Committee provides guidance on the establishment, sustainability and credibility of a research entity.

The Advisory Committee (comprised of a minimum of five members, including a minimum of one Dean), should be established in a proposal for a Research Centre or Institute. The remaining membership may be comprised of members from other Faculties, administration, or individuals external from the Institution.

#### 2.6.4 Internally Appointed Management Committee

An Internally Appointed Management Committee (IAMC) may be appointed to manage the internal affairs of the Centre or Institute.

The IAMC (comprised of a minimum of three members, including a minimum of one Dean and the Director) may be established in a proposal for a Research Centre or Institute. .

Question: Do we always need this – IAMC?

Where applicable the proposal should include the roles and responsibilities of each individual member of the IAMC.

## 2.7 Resource Requirements

The proposal should show the intent of the proposed research entity's ability to operate self-sufficiently and on a cost-recovery basis in accordance with the Policy. Any resource allocation implications must be incorporated into the budgetary and planning processes of the appropriate Faculty. In the case of Centres (non-research) or Research Groups it could be that the budget will be very minimal or not necessary.

### 2.7.1 Financial

The proposal should provide a projected budget, describing expected revenues and expenditures for the research entity for a five-year period or for the research entity's full term, if less than five years. The description of revenues should identify all sources, including in-kind contributions.

Any fundraising activities expected to be undertaken by the research entity should be identified to ensure no duplication with other fundraising activities of the institution. Before any fundraising activities take place the fundraising activity should be discussed with the Development and Alumni Office.

Products or services that are marketed to produce revenue must be described to ensure that there is a demonstrable market for such products or services and that there is no unfair competition with the private sector in the marketing of them.

### 2.7.2 Expenditures

The description of expenditures should provide estimates for all projected expenditures, including support service requirements such as accounting, human resources, computing, library, space, furniture and equipment.

### 2.7.3 Institutional Funding

Any request for institutional funding must be included.

### 2.7.4 Required Human Resources

Special attention should be given to the identification of all human resources required for the operation of the research entity and their status within the institution. Any employment opportunities for faculty, staff, and students through the research entity should be identified.

## 3. Annual Report

Research entities are required to produce a detailed Annual Report by the end of each fiscal year and submit to the appropriate governing bodies.

The Representative of the Centre (non-research) or Research Group will submit to the relevant Faculty Council(s) and Dean(s).

The Director of the Research Centre or Institute will submit to the VPAP and Senate.

The content of the Annual Report must include, but is not limited to, the following elements:

### 3.1 Report of Past Activities

- i. an executive summary;
- ii. a statement of the history of the research centre or institute;
- iii. a description of the research plan, membership and administrative structure;
- iv. a description of its activities for the year;
- v. a statement indicating contributions to the research experiences of students and the community; and
- vi. a statement of revenues and expenditures derived from the financial statements of the institution and an analysis of its financial performance.

### 3.2 Projected Planning

- i. a description of the continuing research plan and continued objectives; and
- ii. a financial statement that includes projected revenues and expenditures, sources of funding and budget for the following year.

### 3.3 Identification of Membership

- i. a current description of the administrative structure; and
- ii. an updated and current list of all members.

#### 4. Progress Review

- 4.1 For Research Centres and Institutes, a Progress Review will be conducted at the conclusion of the first year's operation. This review will examine the achievement of the research entity's goals and objectives, including its financial performance. The Annual Report produced by the Representative or Director will be the primary source document for the review.
- 4.2 The Progress Review will be conducted by a Review Panel comprised of three persons appointed by the Vice-President Academic and Provost. Review Panel members will normally be selected from two lists. The Representative or Director will recommend a list of two persons to the Vice-President Academic and Provost, from which one name will be chosen. The Vice-President Academic and Provost will submit a list of four persons to the Representative or Director, from which two persons are chosen. The Vice-President Academic and Provost will appoint a Chair of the Review Panel, who will normally be an external member. No Review Panel member will be directly associated with the research entity under review.
- 4.3 The Progress Review will involve consultation with the Advisory Committee, the Representative or Director, students, faculty, clients, funding agencies and other stakeholders, as deemed necessary and desirable. The Review Panel may also consult with external experts in the subject field or research centre administration, at its discretion.
- 4.4 The Review Panel will provide a detailed report with a recommendation to the Vice-President Academic and Provost that the institution:
- grant continuing status to the Research Centre or Institute; or  
extend the term of the Research Centre or Institute for one year to enable achievement of specified performance objectives; or  
closure of the Research Centre or Institute.
- 4.5 A copy of the Review Panel's report will be provided to the Advisory Committee and the Director.

The Vice-President Academic and Provost will consider the Review Panel's report and any commentary on the report provided by the Representative or Director. She/he will then recommend to the Board ??? acceptance of the Review Panel's recommendation or a modification of it.

In the case of a recommendation for closure, the research entity's Representative or Director has the right to appeal the decision to the Vice-President Academic and Provost before a final decision is made by the Board ???.

#### 5. Renewal Review

- 5.1 A Review Panel appointed by the Vice-President Academic and Provost will undertake a formal, summative review of the performance of the research entity every five years.

- 5.2 The Renewal Review will be conducted using the Progress Review process (outlined above) extended to cover five years' operation. The Annual Reports produced by the Representative or Director will be the primary source document for the review.

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## Appendix 1

### Director

#### 1. Term of Appointment

The Director for a research entity is a regular part-time or full-time administrative appointment, secondment or volunteer for a specified term.

#### 2. Recruitment and Selection

The Director is selected by the Vice-President Academic and Provost using the normal process for administrative appointments and secondments.

#### 3. Accountabilities

The Director is responsible for the development of a research plan in consultation with the advisory committee; wise management of human, financial and capital resources; recruitment of external grants and contracts resources; conformity to institutional policies, procedures, regulations and applicable collective agreements; and, producing an Annual Report as per the *Research Centres and Institutes Policy and Procedures* by the end of each fiscal year.

#### 4. Performance Review

The Director's performance will be reviewed by the Vice-President Academic and Provost in conjunction with the conduct of Progress and Renewal Reviews.