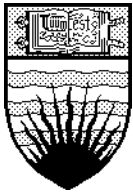


THE UNIVERSITY OF BRITISH COLUMBIA



SENATE POLICY:
V-5

VANCOUVER SENATE
c/o Enrolment Services
2016 - 1874 East Mall
Vancouver, B.C. Canada V6T 1Z1

Number & Title

V-5: *Research Centres & Research Institutes*

Effective Date:

1 February 2024

Approval Date:

13 December 2023

Review Date:

This policy shall be reviewed five (5) years after approval and thereafter as deemed necessary by the *Responsible Committee*.

Responsible Committee:

Research and Scholarship

Authority:

University Act, S. 27 (2)

“Without limiting subsection (1) or the general powers conferred on the board by this Act, the board has the following powers:

(k) to provide for chairs, institutes, fellowships, scholarships, exhibitions, bursaries and prizes the board and the senate consider advisable;”

47 (2)

(2) A university must, so far as and to the full extent that its resources from time to time permit, do all of the following:

(a) establish and maintain colleges, schools, institutes, faculties, departments, chairs and courses of instruction

Purpose and Goals:

This policy is designed to:

- 1) Define the nature of *Research Centres* and *Research Institutes*;
- 2) Provide a mechanism for the establishment and disestablishment of *Research Centres* and *Research Institutes*; and
- 3) Establish governance and reporting requirements for *Research Centres* and *Research Institutes*.

Applicability:

This policy is applicable to all *Research Centres* and *Research Institutes* of the *Vancouver* campus of the *University* established at any time before or after the effective date of this policy.

Exclusions:

Units which do not meet the definition of *Research Centres* or *Research Institutes* set out below are excluded from this policy regardless of whether their names contain the word 'centre' or 'institute'.

Definitions:

For the purposes of this policy and in all other policies in which they are not otherwise defined:

- *Research Centres* and *Research Institutes* shall mean *University* entities which are known as either *centres* or *institutes* in accordance with the *University Act* and applicable *Senate* and *Board* policies, and which have one of the following attributes:
 - Established within a faculty or as a collaboration between a faculty and another entity; or
 - Established on the recommendation of the Senate.

Policy:

- 1) Characteristics of *Research Centres* and *Research Institutes*
 - a. *Research Centres* established under this policy shall belong to one of two categories: Category 1 or Category 2. *Research Centres* established prior to the *effective date* may, by resolution of the *Responsible Committee*, be retroactively categorized for the purpose of fulfilling the objectives of this policy.
 - b. *Research Institutes* and Category 1 *Research Centres* have the following characteristics:

- i. Are fully equivalent to each other in all respects under this policy.
 - ii. Established by the *Board* upon recommendation and with the approval of the *Senate*.
 - iii. Organized within a faculty or across multiple faculties.
 - iv. Are *Academic Units* for the purposes of all applicable *Senate* and *Board* policies and with an intended permanent or ongoing nature.
 - v. May be authorized by the host faculty or faculties to offer academic-credit courses, programs and credentials.
- c. Category 2 *Research Centres* have the following characteristics:
 - i. Established by a faculty Dean or, in the case of multi-faculty Category 2 *Research Centres*, by multiple Deans acting jointly.
 - ii. Organized within a faculty or across multiple faculties.
 - iii. Are not *Academic Units*.
 - iv. May be oriented around a project or theme-based mandate that focuses on scholarly or scientific investigation or inquiry.
 - v. May not offer academic-credit programs or courses; Category 2 *Research Centres* may only offer non-credit courses and credentials.
 - vi. May not have faculty members appointed.

2) Conformation to Policy

- a. All *Research Centres* and *Research Institutes* shall conform to this policy and all other applicable *Senate* and *Board* policies. *Research Institutes* and Category 1 *Research Centres* which do not conform to this policy shall be recommended to *Senate* for disestablishment by the *Responsible Committee*. The *Senate* shall then determine whether to recommend disestablishment to the *Board*. Category 2 *Research Centres* which do not conform to this policy shall be disestablished by the Dean or Deans of the host faculty or faculties.
- b. *Research Institutes* and Category 1 *Research Centres* which were established prior to the effective date of this policy and which do not conform to the characteristics of *Research Institutes* and Category 1 *Research Centres* set out above may, by resolution of the *Responsible Committee*, be exempted from the application of section 2) a.
- c. The *Responsible Committee* shall maintain a list of all *Research Institutes* and Category 1 *Research Centres* granted an exemption

under 2) b. and shall conduct reviews from time to time to ensure that exemptions continue to be appropriate.

- d. Any *University* entity which meets the definition of *Research Centre* or *Research Institute* must include either the word *centre* or *institute*, respectively, in its name.
- e. Notwithstanding any of the above, a faculty may establish rules, policies or procedures dealing with aspects of *Research Institutes* or *Research Centres* which fall within the administrative purview of a faculty. Such rules, policies and procedures are effective insofar as they are not in conflict with this policy or other applicable *Senate* and *Board* policies.

3) Establishment

- a. The proposal to establish a *Research Institute* or Category 1 *Research Centre* shall be considered by *Senate* on the recommendation of the *Responsible Committee*.
- b. The proposal shall be submitted to the *Responsible Committee* for initial review and shall adhere to the prescribed form and content set out under the procedures of this policy.
- c. Upon receipt of a proposal, the *Responsible Committee* shall review the proposal in accordance with the criteria set out under the procedures of this policy. When the *Responsible Committee* is satisfied that a proposal has met all applicable criteria, the proposal shall be forwarded to *Senate* with the *Responsible Committee's* recommendation. Proposals which fail to meet the applicable criteria shall not be forwarded to *Senate*.
- d. The *Responsible Committee* may provide further rules governing its review of proposals to establish *Research Institutes* or Category 1 *Research Centres* under the procedures of this policy.
- e. Category 2 *Research Centres* shall be established under procedures determined by the host faculty or faculties.

4) Governance of *Research Institutes* and Category 1 *Research Centres*

- a. Director
 - i. *Research Institutes* and Category 1 *Research Centres* shall be led by a Director or Co-Directors. The Director shall serve as administrative head of unit and shall report to the Dean or Deans of the host faculty or faculties. The Director

may additionally co-report to other individuals under arrangements determined by the Dean or Deans. Directors shall be appointed for an initial five-year term which may be renewed for an additional five years.

- ii. The Director shall be a *University* faculty member with suitable academic qualifications and shall be appointed by the relevant Dean or Deans under procedures determined by the Dean or Deans. In considering the appointment of a Director the Dean or Deans shall take into consideration the recommendation of the Steering Committee of the *Research Institute or Category 1 Research Centre* in question.

b. Steering Committee

- i. A Steering Committee shall be constituted for all *Research Institutes* and *Category 1 Research Centres*, with Steering Committee members appointed by the relevant Dean or Deans.
- ii. The Steering Committee shall normally include the Director, participating faculty members, and any other individuals deemed appropriate by the relevant Dean or Deans. The exact membership of the Steering Committee shall be determined by the Dean or Deans.
- iii. The responsibilities of the Steering Committee shall include the following: to recommend the appointment of a Director on the advice of an appropriately constituted search committee; to provide the relevant Dean or Deans and the Director with advice on strategic direction; to approve an annual report; to approve an annual budget; to consult with, and obtain the approval of, relevant faculties on all matters pertaining to proposed teaching and/or degree programs.

c. External Advisory Board

- i. An external advisory board may be appointed by the Director in consultation with the Dean or Deans of the host faculty or faculties. The external advisory board should serve to provide the Director and/or Steering Committee with expert advice on matters pertaining to the activities of the *Research Institute or Research Centre*.

d. Annual Report

- i. *Research Institutes* and *Category 1 Research Centres* shall submit an annual report on their activities to the Dean or Deans of the host faculty or faculties. The form and content of the annual report shall be determined by the Dean or Deans receiving it. Annual reports shall be made available for review by the *Responsible Committee* upon request.

- 5) Governance of Category 2 *Research Centres*
 - a. Except as specifically mandated by this policy, Category 2 *Research Centres* shall be governed as the host faculty or faculties see fit.
- 6) Calendar Entry
 - a. *Research Institutes* and Category 1 *Research Centres* shall be recorded in the Academic Calendar via a brief descriptive entry. The *Responsible Committee* shall approve the text of entries as well as any subsequent revisions.
 - b. Category 2 *Research Centres* shall not be recorded in the Academic Calendar.
- 7) Disestablishment
 - a. The proposal to disestablish a *Research Institute* or Category 1 *Research Centre* shall ordinarily be initiated by the Dean or Deans of the host faculty or faculties. The *Senate* shall consider such proposals on the recommendation of the *Responsible Committee*.
 - b. The *Responsible Committee* may adopt procedures specifying the manner in which the disestablishment of *Research Institutes* and Category 1 *Research Centres* shall be proposed.
 - c. The *Responsible Committee* will exercise vigilance in ensuring that *Research Institutes* and Category 1 *Research Centres* which are inactive or which fail to conform to this policy are recommended for disestablishment in a timely manner.
 - d. Category 2 *Research Centres* which become inactive or non-compliant with any applicable faculty rules or procedures shall be disestablished on the initiative the relevant Dean or Deans of the host faculty or faculties.

Calendar Statement:

There are no calendar statements under this policy.

Consultations:

The following groups have been consulted during the development of this policy:

Faculties and Schools of UBC Vancouver

Committee of Deans
Office of the Vice-President, Research and Innovation
Office of the University Council
Office of the Provost and Vice-President, Academic
Graduate Students' Society
Faculty Relations
Faculty Association

History:

This is the first version of this policy. Policy V-5 replaces the *Status of Institutes and Centres* policy which was approved by the Senate in October 2001.

Related Policies:

None.

Appendix:

There is no appendix to this policy.

Procedures:

These procedures may be amended from time to time by resolution of the Responsible Committee.

- 1) Indicia of *Research Institutes* and Category 1 *Research Centres*
 - a. The establishment of a new *Research Institute* or Category 1 *Research Centre* should be considered only in cases where the status of a Category 2 *Research Centre* is incommensurate with the objectives of the proposed unit.
 - b. The establishment of a *Research Institute* or Category 1 *Research Centre* will be appropriate for units seeking one or more of the following:
 - i. *Academic Unit* status.
 - ii. The ability to offer academic-credit programs.
 - iii. A formal governance structure prescribed by policy.
 - iv. The ability to undertake any other activities which are restricted to *Senate* and *Board*-approved units.
- 2) Procedures for the Establishment of *Research Institutes* and Category 1 *Research Centres*

- a. Proposals shall be submitted to the *Responsible Committee* care of the Office of the Senate and under the signature of the proponent Dean or Deans.
 - b. The proposal shall take the form of a written submission addressing each of the following:
 - i. Vision and mandate.
 - ii. Academic rationale.
 - iii. Anticipated membership, collaborators, and academic activities.
 - iv. Governance and reporting structure.
 - v. Anticipated initial budget plan.
 - c. The proposal shall include specific anticipated timelines for the achievement of all major milestones outlined in the proposal.
 - d. The *Responsible Committee* shall not recommend the proposal to *Senate* for approval unless the following criteria are met:
 - i. The vision and mandate describe a field of activity which does not conflict or overlap with the activities of existing units and which is unlikely to cause duplication of effort.
 - ii. The academic rationale is clear, compelling and credible.
 - iii. The proposed governance and reporting structure is appropriate.
 - iv. There is a demonstrated high probability of ongoing operational viability (e.g., availability of key personnel, stable budgetary resources, etc.).
 - e. Existing *Category 2 Research Centres* may be reestablished as *Research Institutes* or *Category 1 Research Centres* via the process set out above.
- 3) Procedures for the Disestablishment of *Research Institutes* and *Category 1 Research Centres*
- a. The proposal to disestablish a *Research Institutes* and *Category 1 Research Centre* shall be submitted *Responsible Committee* care of the Office of the Senate and under the signature of the proponent Dean or Deans.
 - b. Under normal circumstances, *Research Institutes* and *Category 1 Research Centres* should be proposed for disestablishment when one or more of the following factors is present:
 - i. Inactivity.
 - ii. Inability to conform to this policy.
 - iii. Lack of ongoing viability (e.g., due to lack of key personnel, insufficient funding, etc.).

- iv. Other factors which, in the judgment of the Dean or Deans, justify disestablishment.
- c. The proposal shall consist of a written submission addressing each of the following:
 - i. Rationale for disestablishment.
 - ii. Summary of anticipated impacts on associated personnel, academic programs and activities, as well as a plan for mitigating such impacts.
- f. The *Responsible Committee* shall not recommend the proposal to *Senate* for approval unless it is accompanied by a sound rationale and an adequate plan to mitigate negative impacts resulting from the disestablishment.