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
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.