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Appendix "A" - Procedures Governing the Establishment, Reporting and Review Of Research Centres and Outreach Centres at the University of Prince Edward Island

Overview

1.

This Policy covers the defining principles, purpose, characteristics, review and termination of academic research and scholarly Centres and Institutes. The University of Prince Edward Island (UPEI) recognizes the value of such innovative groupings, and encourages their formation within the University context.

Introduction

2.

2.1 The pursuit and encouragement of excellent scholarship, research and knowledge utilization at the University of Prince Edward Island is principally dependent on the efforts of its faculty members. On occasion, faculty members, along with students, may group together to address research and scholarly issues of mutual interest. The development of such groupings can serve a number of strategic objectives, including for example, creating a critical mass of researchers/scholars, and increasing their potential impact; enhancing scholarly collaborations; facilitating interdisciplinarity; increasing the visibility of scholarly work and research within the University of Prince Edward Island, as well as regionally, nationally and internationally; increasing the University's ability to link research, education and outreach; and so forth.

2.2 These groupings may be located within a Department, Faculty or School, or may cut across such boundaries and have a University-wide mandate.

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2.3 The overarching goal of research and scholarly groupings is to enhance opportunities for faculty to be successful in their academic and scholarly pursuits.

3. Definitions

3.1 **Centre/ Institute:** The University reserves the terms “Centre” and “Institute” for those entities that have been approved by the processes outlined in this Policy except where they have been established as administrative or service units by the University of Prince Edward Island, e.g., Webster Centre, Math Help Centre, Student Health Centre, etc. As such, Centres and Institutes are recognized University entities which connect researchers/scholars with multi-sectorial components of a broader community to advance the generation and application of knowledge. Consistent with general practice, there is an ascending hierarchy of terms from “Centre” to “Institute” based on size, resources and reputation of the grouping.

4. General Defining Principles

4.1 The key criterion for the establishment and on-going operation of a Centre or Institute is that it must add value to University of Prince Edward Island’s research, educational and/or outreach mission beyond that which would accrue from activities organized within existing University structures (i.e. Departments, Faculties, Schools). The Centre or Institute should not be invested with expectations of permanency. Their existence is linked to the specific functions and goals identified at their establishment and/or review. At regular times, the Centre or Institute will be reviewed to assess performance against objectives and to explore continuation.

4.2 The University recognizes two types of Centres/Institutes: Research Centres and Outreach Centres. *[Note: Here and in the remainder of this document the term Centre is used collectively to encompass both Centres and Institutes].*

4.2.1 Research Centres are established within the University to undertake research/scholarly work and recognize an established, or an emerging, innovative area at the University of Prince Edward Island. Research Centres are primarily focused on the generation of new knowledge. General oversight of Research Centres falls to the Research Advisory Committee of Senate.

4.2.2 Outreach Centres are established within the University with a primary focus on advancing knowledge dissemination, utilization and/or transfer in a

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manner that extends engagement beyond the University’s normal activities. General oversight of Outreach Centers falls to the Academic Review and Planning Committee of Senate.

4.3 It is recognized that the activities of Research and Outreach Centres are not mutually exclusive. As such, Centres will be classified based on their declared, primary focus.

4.4 Where Centres involve external parties, relationships with those parties must be managed through formal contractual agreements between the University and those entities. These agreements shall take into consideration overarching principles including intellectual property, publication rights, support of students, dispute resolution, and so forth.

4.5 The University may also participate in funded national or provincial centres including, for example, Networks of Centres of Excellence, Centres of Excellence for Commercialization and Research, and so forth. Such centres have separate statutory, governance, compliance, and reporting requirements associated with them and these provincial/national centres are not covered by this Policy. Nonetheless, such centres, when led from the University of Prince Edward Island, will be assigned University of Prince Edward Island Centre status, and will be monitored by the appropriate Committee of Senate (see 4.2). National centres led from elsewhere are not governed by this Policy.

4.6 Normally, two University of Prince Edward Island Centres covering the same focus, resources and/or personnel will not be established/retained. For example, if a University of Prince Edward Island Research Centre were to grow into a nationally funded centre, the original Centre would be disestablished, and the national funded centre superceding it would be assigned University of Prince Edward Island Centre status.

5. Teaching Activities within Centres

5.1 Centres cannot of themselves be responsible for undergraduate and/or graduate teaching activities. Any teaching activities must be based in a School/Faculty.

5.2 Centres may, through arrangements with Schools/Faculties, assist in the coordination and/or delivery of undergraduate and/or graduate teaching programs. Centres may play an active role in the promotion, organization and support of teaching activities.

5.3 At the graduate level, research/scholarly training may be undertaken within Centres. However, final academic responsibility resides with the University through the

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Departments, Faculties and Schools directly responsible to it. Students whose programs are located in a Centre must be enrolled in the University through a School and/or Faculty.

6. Establishment and Recognition of Centres

6.1 The participants in a proposed Research or Outreach Centre may be from: (a) one Faculty/School, or (b) from more than one Faculty/School. As such, Centres may seek approval for recognition and operation: (a) within an individual Faculty/School, or (b) at the University level. In the first case, the Centre will report to the Faculty/School Dean, while in the second case it will normally report to the appropriate Vice-President (Research & Development for Research Centres; Academic Development for Outreach Centres).

6.2 The lead participants should prepare a Proposal to Establish a Centre for submission to the relevant Dean or Vice-President. The Proposal will normally include:

- 6.2.1 The name, objectives and proposed activities of the Centre;
- 6.2.2 The rationale for establishing the Centre;
- 6.2.3 A list of current participants and criteria for expanding the membership;
- 6.2.4 A description of the Centres's organizational structure;
- 6.2.5 A detailed business plan that includes the financial, space and human resource requirements of the Centre, and how those requirements will be financed. There must be an indication of funding required to support the Centre (both initial start-up costs and costs of on-going operations) and of the internal and external sources of that funding. Centres are normally expected to be financially self-sustaining;
- 6.2.6 Letters of support from Chairs and/or Deans of areas involved in work of the proposed Centre;
- 6.2.7 A provision for annual reporting, and for strategic and operational review every five years; and
- 6.2.8 A statement recognizing the Centre's obligation to conduct its activities in accordance with University policies.

6.3 Proposals will be reviewed by the Research Advisory Committee in the case of Research Centres, or by the Academic Review and Planning Committee in the case of Outreach Centres. The Committee shall consider whether the proposal is consistent with the academic mission of the University, and whether the resource requirements and the sources of funding have been appropriately considered. The Committee may ask for further information. If the proposal is endorsed by the Committee reviewing it, it will be recommended to the Senate and the Board of Governors for approval. The proposed

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Centre will be formally established upon receiving the approval of the Board of Governors. Prior to that approval, developing Centres will be designated as “Projects”.

7. Management of Centres

7.1 In all of their operations, Centres must ensure that the reputation of the University is maintained. Centres must properly and prominently acknowledge their relationship with the University in all correspondence and published material. All Centers must comply with the University’s Visual Identity Policy.

7.2 A Centre will have a Director, appointed by the Board of Governors, on the recommendation of a selection committee representing the stakeholders and chaired by the Dean/Vice-President to whom the Centre will report.

7.3 Centres may wish to establish a management committee responsible, with the Director, for the day-to-day operations and fiscal affairs of the Centre.

7.4 A Centre advisory committee may be established on the recommendation of the Dean/Vice President to whom the Centre will report. The role of the advisory committee is to assist and guide the Centre and its director on matters of strategy and policy. The formation of an advisory committee is highly recommended when there is significant active participation of, or engagement with, external stakeholders.

8. Reporting and Periodic Review of Centres

8.1 The Director of a Centre shall prepare an annual report outlining the activities, income and expenditures of the past year as well as plans and budget for the coming year. The report will be reviewed by the relevant Committee (see 4.2). A brief on Centres shall be included in the appropriate Committee’s annual report to Senate.

8.2 A Review of the activities of each Centre shall be periodically conducted, normally at least once every five years. The Dean or Vice-President to whom the Centre reports is responsible for initiating the review. The review should examine the operation of the Centre, having regard to its mandate, the extent to which it continues to serve the strategic interest of the University, and its fiscal viability. The results of the review shall be presented to the relevant Committee (see 4.2). That Committee will forward its recommendation on the Centre’s continuance to the Senate and Board of Governors.

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9. Termination of Centres

9.1 The University reserves the right at any time to terminate the operation of a Centre for demonstrated academic, administrative or financial reasons. Closure of a Centre may also be recommended as a result of the periodic review. In either of the above cases, recommendation for termination shall be made by the applicable Dean or Vice-President to the relevant Committee (see 4.2). This Committee shall review the recommendation and forward that recommendation and its own recommendation, including the rationale for such recommendation, for consideration by the Senate and the Board of Governors.

10. Implementation

10.1 The University may develop guidelines, procedures and/or templates to assist in the administration of this Policy.

10.2 Upon approval by the Board of Governors, this Policy will apply to all entities at the University of Prince Edward Island using the designation Centre or Institute outlined in this Policy. Such entities not currently in compliance with this Policy will have six months from the date of the Policy's approval by the Board of Governors to come into compliance. Entities not in compliance following that date shall not be permitted to continue using the designations "Centre" or "Institute", and shall be required to cease all such usage.

10.3 Entities presently approved under the 2004 Policy on Research Groups, Centres and Institutes will be governed under this revised policy upon its approval by the Board of Governors, and will have one year to institute any required changes in management, reporting and/or review as required by this Policy.

10.4 This policy will be reviewed after five (5) years. The review is to be initiated by the Vice- President, Research & Development.