

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

A. RESEARCH INSTITUTES & CENTRES

The following information is to be included in a proposal to establish or renew a centre or institute:

1. Purposes and Functions

- a) Proposed name
- b) Faculties/Departments/School or external institutions directly involved (Please provide documentation indicating support for the proposal for each or all as appropriate)
- c) Rationale and justification
- d) Primary objectives
- e) Primary academic and/or non-academic functions
- f) Expected contributions to the University's mission

2. Membership

- a) Sources, proposed period of tenure, categories and criteria for membership
- b) Names, institutional affiliation, qualifications, and expected contribution of principal members
- c) New faculty appointments proposed
- d) Alternative faculty workload arrangements proposed

3. Governance, Administration and Organizational Relationships

- a) Description and membership of governance structure or governing body
- b) Frequency of meetings of governing body
- c) Names, institutional affiliations, qualifications, and responsibilities of all officers of the Centre/Institute
- d) Level of participation of external institutions in governing body, and/or administration of the Centre/Institute. (Provide evidence that necessary agreements between the University and the external institution have been approved by the University's General Counsel or have been submitted for approval and attach copy of agreement or proposed agreement)
- e) If incorporation is sought, set out reasons for incorporation as appropriate for consideration by the Board of Governors of the University

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4. Students and Courses

- a) Level and type of involvement of undergraduate or graduate students in centre/institute activities
- b) If Graduate students are involved, provide documentation as appropriate indicating that consultation has occurred between the centre/institute, the School of Graduate and Postdoctoral Studies and to the Faculties/Departments/Schools involved with respect to: (i) advertizing of positions or opportunities; (ii) admissions; (iii) student support; (iv) student supervision
- c) Contribution to the development of new courses, seminars or other instructional programs (Provide documentation with respect to Faculty/Departmental/School support for new instructional initiatives) (NOTE that any and all proposed course/program additions/changes must be pursued through normal departmental/Faculty/senate channels)

5. Physical Requirements

- a) Space requirements at Western: (i) at start-up; (ii) within 3 years; (iii) within 6 years
- b) Space requirements at other institutions or locations as appropriate (Please provide documentation of any arrangements in place to secure such space)
- c) Demands on library, computing or other University services such as purchasing, accounting, human resources, payroll, and so forth

6. Staffing Requirements

- a) Requirements for administrative, and/or technical personnel support from the University
- b) Details of all proposed support staffing arrangements, as follows: For each support staff member, please indicate: i) proposed employer (e.g. University vs. Centre/Institute); ii) role or duties; iii) source of compensation. For employees of external institutions or corporations, please provide copies of agreements or draft agreements outlining the obligations of the University and the institution/corporation, respectively, vis-à-vis such employees. For employees of Centres/Institutes which are, or intend to become incorporated, please provide copies of agreements or draft agreements outlining the obligations of the University and the Centre/Institute, respectively vis-à-vis such employees

7. Financing and Support

- a) Provide a five-year budget plan. Summary of funding sources, including prospective fundraising, "in-kind" support requested from Faculties/Schools/Departments, central administration of the University, or external sources (at startup and for the first three years of operation). In the case of financial/in-kind support from external institutions, provide evidence that necessary agreements between the University and the external institution have been approved by the University's General Council or have been submitted for approval and attach copy of agreement or proposed agreement.
- b) Estimated total budget of the Centre/Institute (at start-up and for the first five years of operation)
- c) Proposed mechanisms for administration of funds received (including research funds)
- d) Nature and source of proposed remuneration for officers/members of the Centre/Institute, as appropriate

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8. Intellectual Property and Commercialization

- a) Details of proposed arrangements with members (faculty, staff, or students), including members from external institutions, relating to the ownership and/or commercialization of intellectual property created through work undertaken at the Centre/Institute, including a statement recognizing the requirement to follow all guidelines set out by Senate and the UWOFA Collective Agreement.
- b) Details of proposed arrangements for the conduct of private sector contract research

9. Additional Items to be addressed at renewal

- a) Provide documentation of the review process undertaken. Faculty dean should approve process
 - i. Review should consider and address Centre activity, external and self assessment of director, consideration of renewal of director,
 - ii. Renewal should be prepared by the director
- b) The Dean is responsible for reviewing completed application and then makes a recommendation to the Vice President, Research (VPR), regarding Centre renewal and the renewal of the Director. If a change in Centre leadership is anticipated or recommended, the Dean's recommendation must identify a new leader or lay out a clearly defined process and timeline for a change in leadership.
- c) The Centre renewal report/application along with the letter of recommendation from the Dean should be submitted to the Office of the Vice President, Research, three months in advance of the end of the current mandate as indicated in the most recent VPR approval letter. In order to meet this deadline, Centres are advised to begin the review process at least 6 months prior to the end of the current mandate.
- d) For additional information please see page listing "*Items to be included in Submissions and renewals*"

B. RESEARCH GROUPS

A brief description of the proposed Research Group, accompanied by a list of its members and a letter of support from the Dean(s) of the Faculty(ies) involved, must be submitted to the Office of the Vice-President (Research). Research Development Services maintains a record of all Research Groups and should be informed if, at a future date, the Research Group ceases to exist.

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Items to be Included in Submissions and renewals

- 1) Centre purpose and function
 - a. Rationale and justification (description of Centre, function, etc.);
 - i. Description of Centre function
 - ii. Goals and objectives
 - b. Description of governance structure, including
 - i. Names, institutional affiliations, qualifications and responsibilities of officers
 - ii. List of meetings of the governing body since the last review/establishment of Centre;
 - c. Centre membership
 - i. List of Faculties/Departments/Schools or external institutions directly involved (Member or student/postdoc affiliations);
 - ii. List of current active Centre members with indication of affiliation (Western department and faculty or other affiliation);
 - iii. List of external partners, including partner organizations;
 - iv. List of associated undergraduate students, graduate students, and postdocs, indicating Western affiliation (department and faculty) and supervisor /committee members who are Centre members;
 - 2) Report on Activities since the previous renewal
 - a. Description of how Centre has achieved objectives (as above) including
 - i. Overview/highlights of collaborations between and among Centre members, students, and external partners
 - ii. Overview/highlights of research productivity
 - iii. Evidence of impact at the national or international level
 - iv. Overview/highlights of Centre activities
 1. Activities that engage members and students, such as seminar series, reading groups, etc.
 2. Outreach activities (e.g., public lectures)
 - b. Research activity/outputs. Provide details on research activities and outputs that are directly related to Centre purpose. These should generally involve collaboration between at least 2 Centre members, external partners, and/or students; in those cases where only one Centre representative is involved, inclusion should be justified with a brief description. *NOTE: In citations or specific item descriptions indicate **Centre Members in bold**, external partners with underlining, and *students in italic font*.*
 - i. Publications
 - ii. Presentations
 - iii. Other knowledge mobilization activities
 - iv. Collaborative external grant activity including contracts (PI must be a Centre member, and should involve at least 1 additional Centre members, external partners, and/or student; in those cases where the PI is the only Centre-affiliated participate on a grant, provide clear justification for inclusion of the grant as a Centre activity)
 1. Applications submitted, indication of status;
 2. For successful applications, brief statement on the significance of the project and outcomes
- 3) Plans for the *upcoming* term:
 - a. Primary research objectives,
 - b. Primary academic and/or non-academic activities and engagement,
 - c. Expected contributions to the University's mission.