

UNIVERSITY OF MANITOBA PROCEDURE

Procedure:	RESEARCH CENTRES, INSTITUTES AND GROUPS
Parent Policy:	Research Centres, Institutes and Groups Policy
Effective Date:	November 17, 2009
Revised Date:	July 2, 2013
Review Date:	November 17, 2019
Approving Body:	Senate
Authority:	
Responsible Executive Officer:	Vice-President (Research and International)
Delegate:	
Contact:	Vice-President (Research and International)
Application:	Employees: All Academic and Administrative Staff

Part I Reason for Procedure

- 1.1 To set out the procedures secondary to the policy: Research Centres, Institutes and Groups.

Part II Procedural Content

Approval Process

- 2.1 The authority to establish research centres/institutes resides with the Board of Governors, normally on the recommendation of the Senate of the University. Proposals for research centres/institutes are transmitted from SCUR to the Chair of the Senate Planning and Priorities Committee to determine if SPPC review is required, and to Senate through its Executive Committee. Prior to their transmittal to SCUR, proposals for the establishment of research centres/institutes are normally supported by departmental and faculty councils, as appropriate.
- 2.2 It is expected that a group of researchers will already have discovered the advantages of collaborative work and academic interchange before proposing the formal establishment of a research centre/institute. Researchers should have

an established record of research and publication in their fields, as well as, success in securing external support for their research.

Contents of Proposal

- 2.3 Proposals must be comprehensive enough to allow the merits and feasibility of establishing a research centre/institute to be assessed, and shall include the following:
- (a) Name of Research Centre/Institute.
 - (b) Description and Justification. This shall include:
 - (i) concise statement of the mission and objectives of the proposed research centre/institute and their relationship to the strategic plan of the University;
 - (ii) an identification of the scope of activities envisaged; and
 - (iii) a description of the research benefits and opportunities likely to result from the establishment of the research centre/institute, including an indication of how the proposed research centre/institute would facilitate research among scholars within the University and in the wider community.
 - (c) Constitution. This shall include a description of:
 - (i) the organization structure of the proposed research centre/institute, including the roles and responsibilities of its various committees;
 - (ii) the categories of membership and the criteria of each of these categories;
 - (iii) procedures whereby appointments will be made for each membership category; and
 - (iv) the privileges and responsibilities of membership.
 - (d) Management. This should identify the University officer to whom the proposed research centre/institute reports and in whom financial responsibility is vested.
 - (e) Proposed Membership. This shall include a listing of the proposed membership of the research centre/institute broken down by the various membership categories, where applicable. For each proposed member, an abbreviated curriculum vitae shall be provided which details the following information: degree held, employment experience, professional

activities, research interests, research funding record (last five years), and record of research achievements (last five years).

- (f) Physical Resources. This shall include:
 - (i) a listing of available research facilities (e.g. library holdings, laboratories, space, equipment), including an indication of current strengths and weaknesses; and
 - (ii) an indication of future requirements, including a proposed strategy for obtaining these resources.
- (g) Financial Resources. This shall include a detailed budget proposal for the first three to five years which includes the anticipated revenue from all sources (i.e. University, government, industry, recovery of indirect costs, royalties, etc.) and proposed annual operation costs, as well as plans for seeking external funding.
- (h) Statements of Support and Commitment. Letters of support and commitment should be signed by the appropriate University officer(s) (i.e. department head, dean/director, the Vice-President (Research and International)). Any commitments or agreements to provide space, teaching release time or other resources, including the recovery of indirect costs from contract research, should be documented and signed by those authorized to make such commitments. In the absence of such statements, it will be assumed that no such commitments or agreements have been made.

Review of Proposal

- 2.4 On the receipt of a proposal to create a new research centre/institute, SCUR will appoint an Ad Hoc Review Committee, normally consisting of not more than four members, at least two of whom shall be members of SCUR. This Ad Hoc Review Committee will submit a summary report and recommendation to SCUR which, in turn, will forward its recommendation in accordance with the approvals process previously described. In favourable cases, the Senate will recommend to the Board of Governors the establishment of the research centre/institute for a period of three to five years, with continuation subject to a review process.

Annual Reporting Requirements

- 2.5 To facilitate the conduct of periodic review of research centres/institutes, the director of each research centre/institute shall provide an annual report to the University officer to whom he/she reports as well as to the chair of SCUR. This report should detail: the activities of the centre and its personnel, including research accomplishments, graduate training and other research-related activities (e.g. conferences, workshops, seminars, etc.); and its financial status.

For Reviewing Research Centres/Institutes

- 2.6 In order to ensure that all research is consistent with the goals of the University and that research centres/institutes reflect positively on the general reputation of the University, all research centres/institutes shall be reviewed by SCUR on a periodic basis but not less often than every five years.

Review Process

- 2.7 Notice of the review will be communicated to the director of the research centre/institute by the Chair of SCUR at least nine (9) months prior to the end of the mandate of the research centre/institute.
- 2.8 In response to this notification, the director of the research centre/institute shall submit to the Chair of SCUR a report, as per schedule A, which contains the following:
- (a) a description of how and why the centre/institute has achieved or revised its original objectives; a detailed listing of its research training accomplishments; a current membership list; and a detailed financial statement;
 - (b) a five-year plan which identifies future research directions and development strategies;
 - (c) letters indicating continued support for the research centre/institute from appropriate department heads and faculty/school deans/directors; and
 - (d) the names of individuals who could provide external assessments of the research centre/institute.
- 2.9 On the basis of this report as well as a review of annual reports, SCUR shall determine whether a formal, independent review committee should be struck to conduct a full review of the research centre/institute. If a full review of the research centre/institute is not warranted, in that it is clear that the research centre/institute either qualifies for continuation or that it does not, SCUR will recommend to Senate that the research centre/institute continue for a period of three to five years, or that it be terminated, without further review. Any legal agreements that affect the status of the research centre/institute must be taken into consideration in the formal recommendation.
- 2.10 In the event that a full review is required, a Review Committee will be appointed by the Chair of SCUR in consultation with SCUR at least six (6) months prior to the end of the mandate of the Centre. The membership of the Review Committee shall normally include: a senior researcher with administrative experience and no direct involvement in the research centre/institute (preferably a former dean or department head) who shall act as Chair of the committee; the director of another research centre/institute; a researcher who is not affiliated with the research

centre/institute but is knowledgeable in the field of its research activity; the Chair of SCUR or his/her designate to assess financial and institutional concerns; and other members as deemed appropriate.

- 2.11 The mechanism by which the Review Committee elects to conduct the review shall be at the discretion of the committee in consultation with the Chair of SCUR. Notwithstanding, the primary focus of the review shall be an assessment of: the extent to which the research centre/institute has fulfilled its objectives; the appropriateness of its future goals; and its current and projected financial viability. The review process should involve meetings with the director and members and should also include the solicitation of external assessments as well as discussion with non-members of the research centre/institute from related departments/fields.
- 2.12 The Review Committee shall provide a written report to the Chair of SCUR within four months of being established. Before submitting this report, the Chair of the Review Committee shall provide a copy of the report to the director of the research centre/institute under review to ensure that the report contains no factual errors. The director may submit a written commentary on the report to the Chair of SCUR.
- 2.13 SCUR will consider the report of the Review Committee, consulting with the Committee and director of the research centre/institute as necessary before making a recommendation to Senate concerning the future of the centre/institute. The recommendation may be: continuation with review in 5 years; continuation with review in 1, 2, or 3 years; or termination. Any legal agreements that affect status of the research centre/institute must be taken into consideration in the formal recommendation.

For Establishing Research Groups (2)

Approval Process

- 2.14 The official recognition and designation of a research group is at the approval of the Vice-President (Research and International), normally on the recommendation of the department head (where applicable) and dean/director.
- 2.15 A designated research group has the privileges of: identification as a separate unit for University publication purposes as well as use of University letterhead with the group designation; and, if needed, a separate set of accounts for the group's use.

Contents of the Proposal

- 2.16 Recommendations to establish research groups should be forwarded by the department head (where applicable) and dean/director to the Vice-President (Research and International) for consideration. Such recommendations should be accompanied by the following information:

- (a) Name of Research Group
- (b) Objectives and Rationale for Formation of the Research Group (including confirmation that its establishment will not detract from existing academic programs).
- (c) Description of the Constitution of the Research Group in terms of:
 - (i) its organization structure;
 - (ii) conditions of membership;
 - (iii) reporting procedures; and
 - (iv) mechanisms for regular review and assessment (which should include a brief annual report to the Vice-President (Research and International)).
- (d) List of Members and Abbreviated Curriculum Vitae.
- (e) Statement signed by the director of the research group, department head (where applicable) and dean/director detailing any understandings among the research group, department head (where applicable) and dean/director (including the provision of space, teaching release, sharing of the recovery of indirect costs on contract research, other resources, etc).

Notification

- 2.17 Upon approval, the Vice-President (Research and International) will notify SCUR of the formation of the research group, which, in turn, will inform Senate.

Part III Accountability

- 3.1 The Office of Legal Counsel is responsible for advising the Vice-President (Research and International) that a formal review of this Procedure is required.
- 3.2 The Vice-President (Research and International) is responsible for the implementation, administration and review of this Procedure.
- 3.3 All Academic and Administrative staff are responsible for complying with this Procedure.

Part IV Review

- 4.1 Governing Document reviews shall be conducted every ten (10) years. The next scheduled review date for this Procedure is November 17, 2019.
- 4.2 In the interim, this Procedure may be revised or repealed if:
- (a) the Vice-President (Research and International) or Approving Body deems it necessary or desirable to do so;
 - (b) this Procedure is no longer legislatively or statutorily compliant;
 - (c) this Procedure is now in conflict with another Governing Document; and/or
 - (d) the Parent Policy is revised or repealed.

Part V Effect on Previous Statements

- 5.1 This Procedure supersedes all of the following:
- (a) Research Centres, Institutes and Groups, 1996
 - (b) all previous Board of Governors/Senate Governing Documents on the subject matter contained herein; and
 - (c) all previous Administration Governing Documents on the subject matter contained herein.

Part VI Cross References

- 6.1 This Procedure should be cross referenced to the following relevant Governing Documents, legislation and/or forms:
- (a) [Policy: Research Centres, Institutes and Groups](#)