

## **(2) (ii) (b) (1)**

### **Laurentian University**

### **Senate Policy on the Creation, Renewal and Operation of Research Centres and Institutes**

---

#### **1. Scope**

This policy applies to Research Centers and Institutes that report and are accountable to the Office of the Vice-President responsible for Research. It sets out the procedure for their creation, their governance, their reporting and evaluation, and their access to university resources.

#### **2. Definitions**

- 2.1. **Research Centres/Institutes** are non-departmental units, which promote and produce research. They have a directorship, an administrative structure, budget, and possibly some assignment of space within the University. They are neither intended to reflect the work of a single faculty member or research lab, nor be tied to the life of a single project or funding initiative. They may also involve significant research participation, funding, or administrative participation from outside the University.
- 2.2. Only those collaborative research entities that have been approved by the Research, Development and Creativity Council may use these designations.

#### **3. Creation and Renewal of a Research Centre/Institute**

- 3.1. Procedure for creation of Research Centre/Institute
  - 3.1.1. The lead applicants shall submit the proposal to create a Research Centre/Institute to the Departments or Schools of the proposed participating members.
  - 3.1.2. The proposal shall contain the information required as set out in Appendix A as it may be modified from time to time by the Research, Creativity and Development Council.
  - 3.1.3. The Department or School can make a recommendation concerning the creation of a Research Centre / Institute. If it chooses to do so, it shall communicate it within four weeks to the Dean of the Faculty. The recommendations of the Departments, Schools and Faculty Councils shall address the following:
    - 3.1.4.1. the purposes of the Research Centre / Institute,
    - 3.1.4.2. the feasibility of the operation of the Research Centre / Institute,
    - 3.1.4.3. its impact on the unit, and
    - 3.1.4.4. its impact on research at Laurentian University.
  - 3.1.4. The Dean of the Faculty shall convey the proposal to the Faculty Council for its next regularly scheduled meeting for its recommendation to the Research, Development and Creativity Council.
  - 3.1.5. If the RDC Council approves the proposal to create the new Research Centre/Institute, a recommendation to approve the creation of the Research Centre/Institute will be forwarded to Senate.
  - 3.1.6. Research Centres/Institutes are established for a term of 5 years, not counting the academic year when they are created, ending on June 30th.

### 3.2. Renewal of Research Centres/Institutes

- 3.2.1. The Research Centre/Institute shall submit a proposal for renewal at least 5 months prior to the expiry of its five-year term to the office of the Vice-President responsible for Research who shall transmit the proposal to the Research, Development and Creativity Council.
- 3.2.2. The proposal for renewal shall contain the information required as set out in Appendix B, as it may be modified from time to time by the Research, Development and Creativity Council.
- 3.2.3. The Research, Development and Creativity Council may submit the application for renewal to an external academic reviewer.
- 3.2.4. In the absence of an application for renewal, the Research Centre/Institute will cease to exist upon the expiry of its term.
- 3.2.5. The Research, Development and Creativity Council will make a recommendation for renewal, renewal with conditions or denial of renewal.
- 3.2.6. The recommendation of the Research, Development Council will be forwarded to Senate for approval.

### 3.3. Review of a Research Centre/Institute

- 3.3.1. The Vice-President responsible for Research may institute a review of a Research Centre/Institute prior to the end of its term.
- 3.3.2. In such cases, the Vice-President shall inform its Director in writing of the reasons for the review.
- 3.3.3. The review shall follow the procedure for renewal.

## 4. Operation of the Research Centres/Institutes

### 4.1. Research Centres/Institutes may:

- 4.1.1. use the University's name, address, and logos in connection with its activities;
- 4.1.2. solicit external grants and contracts with the approval of the Vice-President responsible for Research;
- 4.1.3. request the maintenance of university budgetary accounts and reports;
- 4.1.4. have the assistance of Human Resources in hiring employees;
- 4.1.5. direct the duties of the staff it supervises; and
- 4.1.6. apply for university support including teaching releases and space

### 4.2. The Director of a Research Centre/Institute shall submit an annual written report to the Vice President responsible for Research on the activities of the Research Centre/Institute. The annual report shall provide the following:

- 4.2.1. a statement of how the Research Center/Institute is achieving its research objectives;
- 4.2.2. a description of activities completed within the last year;
- 4.2.3. a description of ongoing activities;
- 4.2.4. a description of projected future activities;
- 4.2.5. a financial statement for the past year ending April 30, when appropriate;
- 4.2.6. a current membership list;
- 4.2.7. research productivity.

### 4.3 Membership

4.3.1. Faculty members, adjunct professors, sessional lecturers, graduate students, and research associates are eligible for membership in Research Centres/Institutes.

4.4 Directorship

4.4.1. The Director of a Research Centre/Institute will normally be a faculty member of Laurentian University.

4.5 Dispute resolution

4.5.1. Disputes pertaining to the operation of a Research Centre/Institute shall be referred to the Vice President responsible for Research.

4.5.2. The Vice-President may designate someone as a facilitator/mediator who will work with the parties in order to find a mutually agreeable solution. The facilitator/mediator will inform the Vice-President as to whether the parties came to a solution.

4.5.3. The Vice-President may decide that a committee composed of three persons shall hear the matter.

4.5.3.1 Composition of the committee:

4.5.3.1.1. The Director of another Research Centre named by the Research, Development and Creativity Council,

4.5.3.1.2. The Director of Research, Development and Creativity, and

4.5.3.1.3. A past or current holder of the Laurentian University Research Excellence Award or a Research Chair named by the Vice-President responsible for Research.

4.5.3.2. The decision of the committee shall be final and binding upon the parties.

## Appendix A

### Proposal for creation of a Research Centre or Institute

**Centre or Institute:** Applicants seeking designation as a Laurentian University Research Centre/Institute must submit a proposal to the Office of the Vice-President responsible for Research. The proposal must contain the following elements:

#### 1. Purposes and Functions

- 1.1. Proposed name
- 1.2. Faculties/Departments/School or external institutions directly involved. (Please provide documentation indicating support for the proposal from each or all as appropriate).
- 1.3. Rationale and justification
- 1.4. Primary objectives
- 1.5. Expected contributions to the University's mission

Changes to the objectives, administration, operation, and/or funding of the Research Centre/Institute prior to the end of its term must be approved by the Vice-President responsible for Research and, as appropriate, by the RDC Council.

#### 2. Membership

- 2.1. Criteria for membership
- 2.2. Names, institutional affiliation, qualifications, and expected contribution of principal members
- 2.3. Alternative faculty workload arrangements proposed

#### 3. Governance, Administration and Organizational Relationships

- 3.1. Description and membership of governance structure or governing body
- 3.2. Frequency of meetings of governing body
- 3.3. Names, institutional affiliations, qualifications, and responsibilities of all officers of the Centre/Institute
- 3.4. 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 or have been submitted.

#### 4. Students and Courses

- 4.1. Level and type of involvement of undergraduate or graduate students in Centre/Institute activities
- 4.2. If Graduate students are involved, provide documentation as appropriate indicating that consultation has occurred between the Research Centre/Institute and the School of Graduate Studies with respect to: (i) admissions; (ii) student support; (iii) student supervision

## **5. Physical Requirements**

- 5.1. Space requirements at Laurentian: (i) at start-up; (ii) within 3 years; (iii) within 5 years.
- 5.2. Space requirements at other institutions or locations as appropriate (please provide documentation of any arrangements in place to secure such space)

## **6. Staffing Requirements**

- 6.1. Requirements for administrative, and/or technical personnel support from the University
- 6.2. Details of all proposed support staffing arrangements. For each support staff member, please indicate:
  - (i) role or duties;
  - (ii) sources of compensation. For employees of external institutions, please provide copies of agreements or draft agreements outlining the obligations of the University and the institution/corporation, respectively, vis-à-vis such employees.

## **7. Financing and Support**

- 7.1. Summary of funding sources, including prospective fundraising, “in-kind” support requested from Faculties/Schools/Departments, central administration of the University, or external sources (at start-up 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 or have been submitted for approval and attach copy of agreement or proposed agreement.
- 7.2. Estimated total budget of the Centre/Institute (at start-up and for the first three years of operation)
- 7.3. Proposed mechanisms for the administration of funds received (including research funds)
- 7.4. Nature and source of proposed remuneration for officers/members of the Centre/Institute, as appropriate
- 7.5. If teaching relief or financial compensation are required, they must be included in the budget.

## **8. Intellectual Property and Commercialization**

- 8.1. 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. Such arrangements must be consistent with the relevant collective agreements and university policies.
- 8.2. Details of proposed arrangements for the conduct of private sector contract research.

## **Appendix B**

### **Information required in support of a proposal for renewal of a Research Centre/Institute**

A proposal for renewal includes:

1. a statement as to how the Research Center/Institute has achieved its original research objectives;
2. a current membership list;
3. a 5-year plan identifying objectives, research directions and outreach activities;
4. a 5-year financial plan identifying continued financial commitments and expenditures and potential source of revenue;
5. research productivity; and
6. letters indicating continued resource commitments to the Research Center/Institute from appropriate Chairs/Deans if resources are requested.