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SFU OFFICE OF THE VICE-PRESIDENT, ACADEMIC AND PROVOST

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MEMORANDUM

ATTENTION	Senate	**DATE**	November 13, 2009
FROM	Jon Driver, Vice-President, Academic and Provost, and Chair, SCUP	**PAGES**	1/1
RE:	Revision of Policy R 40.01 Research Centres and Institutes (SCUP 09-52)		

At its October 21, 2009 meeting SCUP reviewed and approved the revision of Policy R 40.01 – Research and Institutes.

Motion

That Senate approve and recommend to the Board of Governors the revision of Policy R 40.01 – Research Centres and Institutes.

encl.

c: N. Haunerland

OFFICE OF THE VICE-PRESIDENT, RESEARCH

Norbert H. Haunerland. Ph.D.

Associate Vice-President, Research
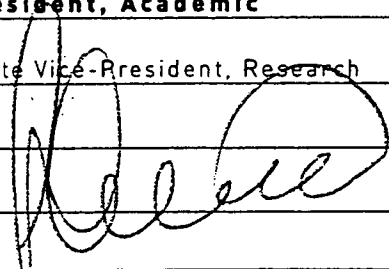Professor of Biological Sciences

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ATTENTION	Jon Driver, Vice-President, Academic
FROM	Norbert Haunerland, Associate Vice-President, Research
Re	Revision of Policy R 40.01
cc	
DATE	October 9, 2009

Attached please find the draft of the revised Policy R 40.01 – Research Centres and Institutes, for consideration by SCUP and approval by Senate. As outlined in the enclosed rationale, the revision was initiated in response to a recommendation by the Task Force on Academic Structure. The draft policy was endorsed by the Faculty Deans, and circulated to the community for comments on August 24, 2009. By the deadline of September 18, feedback was received from thirteen individuals, resulting in several minor changes (typographical error corrections and clarifications).

Three individuals questioned why we did not incorporate two key recommendations of the task force, namely the provision of funds for the operation of Centres, and the establishment of mechanisms for academic appointments into Centres or Institutes. As discussed in detail in the attached rationale, the recommendations were considered but rejected in favor of the research focus on Centres and Institutes. Moreover, in the current budget situation a commitment of substantial resources for operations cannot be justified, nor can the establishment of an additional administrative body to promote interdisciplinary research.

I believe that the revised policy provides greater clarity of the mandate and operation of Research Centres and Research Institutes, improves accountability, and should result in an increase in quality and impact.

2.

Proposed Revisions to the Centres and Institutes Policy
Norbert H. Haunerland, Associate Vice President, Research

The report of the Faculty restructuring task force "Removing the barriers: A design for the future of SFU" (presented to Senate March 3, 2008) made a series of recommendations regarding Centres and Institutes. At a subsequent SCUP meeting, the Vice President, Research office was asked to consider these recommendations and work on a revision of the existing policy.

Currently, the terms "Centre" and "Institute" are used for a wide variety of different structures, only some of which are currently covered under the existing policy. For example, the "Morris Wosk Centre for Dialogue" refers to a physical structure, while the "Centre for Dialogue" offers an independent academic program, the "Semester in Dialogue". The task force report correctly notes that over the years the definition of Centres and Institutes, and of their primary purpose and mandate, has become increasingly unclear, as these structures were used wherever a formal aggregation of faculty was desired. While most remain primarily focused on the research mission, at times Institutes have been used as homes for graduate programs, precursors for new Departments or Faculties, or for the administration of undergraduate courses and certificates.

We recommend that SFU return to the original intent of Centres and Institutes as entities that exist for the purpose of enhancing research, and de-couple instructional activities from these structures. In recognition of the importance of focused, research-intensive experiences in graduate studies, we recommend that membership in Centres and Institutes be broadened to include graduate students where appropriate.

The ultimate purpose of both Centres and Institutes is to bring researchers together and to benefit from the synergy of different expertise, and thus all Centres and Institutes have an "interdisciplinary" mandate. It is apparent, however, that some of these have a relatively narrow focus, with the involved disciplines all contained in one Faculty, while others are spanning a range of very different disciplines. In the past, these differences were reflected in the designation as Schedule A and Schedule B Centres, but in the absence of clear definitions the assignments were sometimes arbitrary. Following the task force recommendation, we propose to distinguish between "Research Centres" that are primarily focused on research topics that are central to a single faculty, and "Research Institutes" that represent interdisciplinary themes that are embedded in two or more Faculties, or involve institutions other than SFU.

The presence of research strength in interdisciplinary areas may support and enrich interdisciplinary instruction as well, but teaching should be done within existing SFU Faculties and programs, and governed by current policies. This is straightforward for Centres that are embedded in a single Faculty, where the Dean can administer programs and courses, and assign faculty to teach courses. Independent programs have been used selectively in the past for cross-Faculty themes, and there is no evidence to suggest (nor policy to prevent) that similar arrangements cannot be made by mutual agreements among the Deans. Given the relatively small number of such programs, and their diverse nature, is may be counterproductive to develop a comprehensive policy that most likely will still

require numerous individual accommodations. While we believe that all existing teaching functions of current Centres or Institutes can be easily accommodated through existing policies, the concept of a "College of Lifelong and Experiential Learning" with the purpose of offering such programs remains under discussion. Whether or not SFU decides to create a new administrative structure, formal involvement of Research Centres and Research Institutes is neither necessary nor desired.

Policy and Procedures

Under the revised policy, new Research Centres or Research Institutes will be established essentially as has been practice under the current policy. Proposals developed by faculty members and approved by their Dean will be submitted to the Vice President, Research, who will evaluate the proposal based on the criteria set out in the policy, and make sure that all requirements for their establishment have been addressed. The proposal then will be submitted to the Vice President, Academic, who in turn will seek approval by SCUP and Senate. The term for each Research Centre or Research Institute will be 5 years.

Each Research Centre or Research Institute will be required to submit an annual report that summarizes its activities, updates on membership and an account for its financial transactions. The report, in a web-based format, will need to be approved with comments by the Dean of the Faculty, and, in the case of Research Institutes only, the Vice President, Research. The Vice President, Research will report annually to SCUP about the activities of all Research Centres and Institutes, based on their annual reports.

In the final year of the term, a renewal application must be submitted instead of the annual report if a Research Centre or Institute wishes to continue. The renewal application, also in a web-based format, must include a rationale for the continuation, provide a detailed report on the accomplishments of the Centre in the past, and outline its mission for the future. A summary of financial resources attracted and used, both from University and external sources, will be required.

In considering applications for renewal, the accomplishments of Research Centres and Institutes will be measured against their initial goals and plans. Specifically, the impact of a Research Centre or Institute in enhancing research over and above what would have been accomplished by individual faculty members will need to be demonstrated. Both, the Dean(s) of the Faculties involved and the Vice President, Research will comment on the report and recommend renewal or termination of the Research Centre or Institute. The proposal and its evaluation will then be forwarded to SCUP, which will vote on the renewal application and report its decision to Senate.

While Research Centres and Institutes established under the current policy have served a variety of different purposes, the overwhelming majority can be readily re-classified under the new policy. It is important to note that some entities, although currently named as "Centres", will become Research Institutes, and some Institutes will be re-classified as Research Centres. While it may be desirable to have the name reflect the organizational classification, it is recognized that units may choose to retain their existing name and acronym, at least for the immediate future.

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With the approval of the new Policy, all existing Centres and Institutes will be extended for a time period between 1 and 5 years, before their renewal application is due. Appended is a list of the proposed Research Centres and Institutes, with their future classification, and the suggested date of renewal (staggered to spread the renewal process through several years).

Two of the existing Centres and Institutes do not fit into the proposed policy, in that their purpose includes no or only minimal research. Their operations can be fulfilled within the context of existing university policies, either as independent programs or as programs within individual Faculties. In our opinion, the creation of a separate category for these entities is unnecessary.

RESEARCH CENTRES   Renewal date

The purposes of Research Centres encompass, but are not limited to, collaborative research focused on topics that are central to a single Faculty.

Faculty of Applied Sciences

Institute of Micromachine and Microfabrication Research	2011
Logic and Functional Programming Group	2010

Faculty of Arts and Social Sciences

Bill Reid Centre for Northwest Coast Art Studies	2013
Centre d'etudes francophones Quebec-Pacifique	2012
Centre for Comparative Study of Muslim Societies and Cultures	2013
Centre for Forensic Research	2013
Centre for Global Political Economy	2012
Centre for Labour Studies	2011
Centre for Public Policy Research	2010
Centre for Research on Adaptive Behaviour in Economics (CRABE)	2013
Centre for Research on Sexual Violence	2014
Centre for the Reduction of Violence Among Children and Youth	2013
Centre for Restorative Justice	2012
Centre for Scottish Studies	2010
Criminology Research Centre	2012
David See-Chai Lam Centre for International Communication	2012
Feminist Institute for Studies on Law and Society	2010
Gerontology Research Centre	2010
Institute of Governance Studies	2011
Institute for the Humanities	2011
Institute for Studies in Criminal Justice Policy	2010
Mental Health, Law and Policy Institute	2011

Faculty of Business Administration

CIBC Centre for Corporate Governance and Risk Management	2012
Centre for Global Workforce Strategy	2014
Centre for Studies in Global Asset and Wealth Management	2013
CMA Centre for Strategic Change and Performance Measurement	2012
W.J. VanDusen B.C. Business Studies Institute	2010

Faculty of Communication, Art and Design
Centre for Policy Research on Science and Technology	2010
Centre for Policy Studies on Culture and Communities	2012

Faculty of Education
Centre for Education, Law and Society	2011
David Wheeler Institute for Research in Mathematics Education	2013
Institute for Research on Early Education and Child Health	2012
Institute for Studies in Teacher Education	2010
Centre for the Study of Educational Leadership and Policy	2013

Faculty of Environment
Centre for Tourism Policy and Research	2011
Cooperative Resource Management Institute	2011
Centre for Coastal Studies	2012
Centre for Sustainable Community Development	2010

Faculty of Health Sciences
Centre for Applied Research in Mental Health and Addiction	2013
Children's Health Policy Centre	2013

Faculty of Science
Centre for Experimental and Constructive Mathematics	2011
Centre for Natural Hazards Research	2012
Centre for Wildlife Ecology	2012
Chemical Ecology Research Group	2010
Evolutionary and Behavioural Ecology Research Group	2010

RESEARCH INSTITUTES

The purposes of Research Institutes encompass, but are not limited to the following: collaborative multi-disciplinary research between different faculties; multi-university initiatives; and research-related types of services to the community.

4D LABS	2012
Behavioural and Cognitive Neuroscience Institute	2012
Canadian Centre for Studies in Publishing	2010
Centre for Disability Independence Research and Education	2013
Centre for Education Research and Policy (CERP)	2013
Centre for Imaginative Education	2013
Centre for Operations Research and Decision Sciences (CORDS)	2012
Centre for Scientific Computing	2011
Centre for the Study in Print and Media Cultures	2012
International Centre of Art for Social Change	2013
International Centre for Criminal Law Reform & Criminal Justice Policy	2010
International Cybercrime Research Centre (ICRC)	2012

Interdisciplinary Research in the Mathematical and Computational Sciences (IRMACS) 2012
Nanomed Canada Research Network 2013
Pacific Institute for the Mathematical Sciences (PIMS) 2011
TRIUMF 2011
Western Canadian Universities Marine Sciences Society (Bamfield) 2011
Institute for Canadian Urban Research Studies 2010
Institute for Critical Studies in Gender and Health 2012

No longer administered under this policy will be:

Institute for the Study of Teaching and Learning in the Disciplines
Centre for Dialogue

SIMON FRASER UNIVERSITY	Date	Number
Policies and Procedures	April 3, 2002	R 40.01
	Revision Date	Revision No.
	October 2009	A

Subject: Research Centres and Institutes

1.0 Purpose:

The purpose of this policy is to define Research Centres and Research Institutes, the intended scope of their activities, and their required governance and reporting structures.

2.0 Definitions

Research Centres are non-departmental academic or administrative units established for the purposes of facilitating collaborative research mainly within a Faculty.

Research Institutes are created to facilitate collaborative multi-disciplinary research between different Faculties and/or multi-university initiatives and to provide research-related services to the community.

SCUP is the Senate Committee on University Priorities, the academic body responsible for overseeing Research Centres and Institutes on behalf of Senate.

3.0 Policy:

3.1 The purposes of Research Centres and Research Institutes encompass, but are not limited to facilitating collaborative research, especially multi-disciplinary research, and facilitating multi-university initiatives.

3.2 Each Research Centre and Research Institute is subject to all applicable University policies.

3.3 A Research Centre or a Research Institute is entitled to identify itself as a part of Simon Fraser University and to use the University's name and address in the conduct of its activities.

3.4 These rights are granted at the discretion of Senate for fixed, renewable terms.

3.5 Governance and Reporting

3.5.1 The Director of a Research Centre reports to a Faculty Dean, who is responsible for overseeing its governance and budgetary accounts. A list of all Research Centres under the authority of a Dean appears in Appendix I.

3.5.2 The responsible Dean, acting in consultation as appropriate with other university administrators, shall review each Research Centre's activities annually including its financial management and compliance with university policies, and shall report the results of that review to the Research Centre's Director and to the Vice President, Research by August 31 of each year.

3.5.3 The Director of a Research Institute reports to the Vice President, Research. The Vice President, Research shall be responsible for overseeing all Research Institutes in which Simon Fraser University participates as a part of a multi-university consortium. The activities of Research Institutes shall be reviewed directly by the Vice President, Research. A list of all Research Institutes with a University-wide mandate appears in Appendix II.

3.5.4 The Vice President, Research shall deliver to the Senate Committee on University Priorities (SCUP) by October 31 of each year a summary report dealing with the activities of all Research Centres and Research Institutes during the preceding year. SCUP shall forward this report for information to the Senate and to the Board of Governors.

3.6   Establishing, Reviewing and Discontinuing Research Centres and Research Institutes

3.6.1 With the application for the establishment of a Research Centre or Institute, a Constitution must be submitted that specifies the following:
  a.   a statement of its special purpose;
  b.   a provision for the appointment of a Director;
  c.   a statement recognizing the obligation to conduct its activities in accordance with University policies; and
  d.   a statement of its internal governing procedure.
  e.   For Research Centres, the application must be approved by the appropriate Faculty Dean.

3.6.2 Applications shall be submitted to the Vice President, Research, who will forward supported applications to Senate (through SCUP) for approval.

3.6.3 Research Centres and Research Institutes will normally be established for a term of 5 years.

3.6.4 Renewal will be upon application *via* the Dean and the Vice President, Research, to SCUP, and will be contingent on past performance, financial sustainability, and its continuing purpose.

3.6.5 In considering applications for renewal, the accomplishments of Research Centres and Research Institutes will be measured against their stated initial goals and plans. Specifically, the impact must be demonstrated of a Research Centre or Institute in enhancing research over and above what would have been accomplished by individual faculty members.

3.6.6 The Dean(s) of the Faculties involved and the Vice President, Research will comment on the report and recommend renewal or termination. The proposal will then be forwarded to SCUP, which will vote on the renewal application and report its decision to Senate.

3.6 7 The Vice President, Research may recommend to the President termination prior to the end of the term of a Research Centre or Institute. In such cases, the Director shall have an opportunity to appeal the recommendation before the President makes a final decision.

3.7 Rights and Obligations of Research Centres and Research Institutes

3.7.1 Acting under the authority of its Director, and subject to section 3.4.1c, Research Centres and Research Institutes have the right to:
   a. use the University's name, address, and symbols in connection with its activities;
   b. solicit external grants and contracts in the University's name;
   c. request the maintenance of university budgetary accounts and reports;
   d. use the assistance of Human Resources in hiring employees;
   e. direct the duties of its employees; and
   f. apply for university support.

3.7.2 The Director of a Research Centre and Research Institute has the obligation to:
   a. approve all contracts to be undertaken by or on behalf of the Research Centre and Research Institute, and further obtain the approval of the responsible Dean and the Vice President, Research for any contract;
   b. submit a written report to the responsible Dean or Vice President, Research on the units' activities, including all contractual obligations entered into by or on behalf of the unit, once annually for the twelve months ending March 31 of each year, by no later than June 30 of each year;
   c. submit an annual financial statement showing revenues and expenditures for the twelve months ending March 31 of each year, by no later than June 30 of each year.
   d. Normally, the Director is not entitled to teaching relief or financial compensation.

3.8 Membership

3.8.1 The Director of a Research Centre or an SFU-based Research Institute normally must be a continuing faculty member of the University.

3.8.2 Faculty, graduate students, and research associates are eligible for membership in Research Centres and Research Institutes.

4.0 Scope:

4.1 This policy encompasses all Research Centres, Research Institutes, and similar organizations at Simon Fraser University that are not parts of established administrative units.

5.0 Authority:

This Policy is administered under the authority of the Vice President, Research.

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Appendix I: Research Centres

The purposes of Research Centres encompass, but are not limited to, collaborative research focused on topics that are central to a single Faculty.

Faculty of Applied Sciences

- Institute of Micromachine and Microfabrication Research
- Logic and Functional Programming Group

Faculty of Arts and Social Sciences

- Bill Reid Centre for Northwest Coast Art Studies
- Centre d'etudes francophones Quebec-Pacifique
- Centre for Comparative Study of Muslim Societies and Cultures
- Centre for Forensic Research
- Centre for Global Political Economy
- Centre for Labour Studies
- Centre for Public Policy Research
- Centre for Research on Adaptive Behaviour in Economics (CRABE)
- Centre for Research on Sexual Violence
- Centre for the Reduction of Violence Among Children and Youth
- Centre for Restorative Justice
- Centre for Scottish Studies
- Criminology Research Centre
- David See-Chai Lam Centre for International Communication
- Feminist Institute for Studies on Law and Society
- Gerontology Research Centre
- Institute of Governance Studies
- Institute for the Humanities
- Institute for Studies in Criminal Justice Policy
- Mental Health, Law and Policy Institute

Faculty of Business Administration

- CIBC Centre for Corporate Governance and Risk Management
- Centre for Global Workforce Strategy
- Centre for Studies in Global Asset and Wealth Management
- CMA Centre for Strategic Change and Performance Measurement
- W.J. VanDusen B.C. Business Studies Institute

Faculty of Communication, Art and Technology

- Centre for Policy Research on Science and Technology
- Centre for Policy Studies on Culture and Communities

Faculty of Education

- Centre for Education, Law and Society
- David Wheeler Institute for Research in Mathematics Education
- Institute for Research on Early Education and Child Health
- Institute for Studies in Teacher Education
- Centre for the Study of Educational Leadership and Policy

Faculty of Environment

- Centre for Tourism Policy and Research .
- Cooperative Resource Management Institute
- Centre for Coastal Studies
- Centre for Sustainable Community Development

Faculty of Health Sciences

- Centre for Applied Research in Mental Health and Addiction
- Children's Health Policy Centre

Faculty of Science

- Centre for Experimental and Constructive Mathematics
- Centre for Natural Hazards Research
- Centre for Wildlife Ecology
- Chemical Ecology Research Group
- Evolutionary and Behavioural Ecology Research Group

Appendix II: Research Institutes

The purposes of Research Institutes encompass, but are not limited to the following: collaborative multi-disciplinary research; multi-university initiatives; and research-related types of services to the community.

- 4D LABS
- Behavioural and Cognitive Neuroscience Institute
- Canadian Centre for Studies in Publishing
- Centre for Disability Independence Research and Education
- Centre for Education Research and Policy (CERP)
- Centre for Imaginative Education
- Centre for Operations Research and Decision Sciences (CORDS)
- Centre for Scientific Computing
- Centre for the Study in Print and Media Cultures
- International Centre of Art for Social Change
- International Centre for Criminal Law Reform & Criminal Justice Policy
- International Cybercrime Research Centre (ICRC)
- Interdisciplinary Research in the Mathematical and Computational Sciences (IRMACS)
- Nanomed Canada Research Network
- Pacific Institute for the Mathematical Sciences (PIMS)
- TRIUMF
- Western Canadian Universities Marine Sciences Society (Bamfield)