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MEMORANDUM

ATTENTION: Senate

TEL

FROM: Peter Keller, Vice-President, Academic and Provost, and Chair, SCUP

A handwritten signature in black ink, appearing to read "P. Keller".

RE: Revisions to Policy R40.01 (SCUP 19-20)

DATE: June 6, 2019

TIME

At its June 5, 2019 meeting, SCUP reviewed and approved the revisions to Policy R40.01 (Research Centres and Institutes).

Motion:

That Senate approve and recommend to the Board of Governors the revised Policy R40.01 (Research Centres and Institutes).

c: T. Davis

**Memorandum**

From: Trevor Davis, Executive Director, Research Operations **Date:** 2019-05-21

Re: Updated Policy R40.01

To: Peter Keller, Chair, SCUP.

The Research Centres and Institutes policy (R 40.01) was developed to define Research Centres and Research Institutes, the intended scope of their activities, and the required governance and reporting structures. Review of R40.01 began in late 2017, with feedback from VPs, Deans, Centre and Institute leads, the Senate Committee on University Priorities, and then an open consultation. After a detailed technical review by the University General Counsel, the policy was again revised. The second round involved a more detailed clarification of the differences between the roles of Deans and the VPRI, clear accountability, as well as more extensive and detailed procedures for each type of entity. A further review by Deans Council and an open consultation ensued.

Review History

Aug 2017	Vice-Presidents
Sep 2017	Deans Council, Leads
Oct 2017	Senate Committee on University Priorities
Dec 2017	Open consultation
Apr 2018	General Counsel
Jan 2019	Deans Council
Mar 2019	Open consultation



Research Centres and Research Institutes

SIMON FRASER UNIVERSITY

Date
April 3, 2002

Number
R 40.01

Policies and Procedures

Revision Date

Revision No.
B-2

Policy Authority: Vice-President, Research and International

Associated Procedures: Procedures for Research Centres; Procedures for Research Institutes

1. PREAMBLE

- 1.1. At SFU, much of the work undertaken by Research Centres and Research Institutes is in support of collaborative research that brings together diverse perspectives to confront key scientific and global challenges. Aligned with University and Faculty strategic priorities, these units foster creative interaction and stimulate engagement with students and visiting scholars.

2. PURPOSE

- 2.1. The purpose of this policy is to distinguish between Research Centres and Research Institutes, establish the intended scope of their activities, determine their rights and responsibilities, and outline the procedures for their operation.

3. SCOPE

- 3.1. This policy applies to all researchers undertaking collaborative research at Simon Fraser University, including those that choose to establish themselves formally at the University as Research Centres and Research Institutes, as well as similar collaborative structures such as Research Groups.

4. DEFINITIONS

- 4.1. **Research Groups** are self-designated groups of researchers working together on projects or activities. The term “Research Groups” extends to cover variously termed collaborative structures of researchers at SFU, which may be referred to outside this Policy as, for example, research labs or research teams.
- 4.2. **Research Centres** are formally designated, non-departmental units facilitating collaborative research mainly within a single Faculty. The activities of a Research Centre support the research mission of the home Faculty, and require the endorsement of the Dean. Research Centres may include in their membership SFU researchers from outside of the home Faculty.
- 4.3. **Research Institutes** are formally designated non-departmental units facilitating extensive multi-Faculty collaborative research, often enhanced by research relationships with other universities and/or other stakeholders (e.g., government, community or private sector affiliates) or by shared

resources and infrastructure. The activities of Research Institutes support the strategic research mission of the University. Prior to applying for Research Institute status, members of Research Institutes will normally have a history of collaborative activity as a group (e.g. co-supervision of students, co-publications, or shared research data, funding, and/or projects).

4.4. **The Senate Committee on University Priorities (SCUP)** is the academic body responsible for approving and overseeing Research Centres and Research Institutes on behalf of Senate.

4.5. The **University** refers to Simon Fraser University for the purposes of this policy.

5. **POLICY**

5.1. Research Centres and Research Institutes are created through a Senate-regulated process, as defined in the Procedures.

5.2. Only Research Centres and Research Institutes that are currently in a University-approved term are entitled to identify themselves, respectively, as Research Centres and Research Institutes.

5.2.1. Designated Research Centres and Research Institutes must normally include the words “Research,” and “Centre” or “Institute” in their titles, respectively.

5.2.2. Prior to Senate approval, other research collaboratives (such as Research Groups) may not identify themselves as Research Centres or Research Institutes in the conduct of their activities, unless they clearly identify the organization as “proposed” or “subject to Senate approval.”

5.2.3. Research Groups that share the characteristics of Research Centres or Research Institutes and would benefit from University recognition are encouraged to pursue Senate approval.

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

5.4. Research Centres and Research Institutes are not entitled to physical space by virtue of their designation.

5.5. The Director of a Research Centre reports to the home Faculty Dean or designate, who is responsible for overseeing its governance and budgetary accounts.

5.6. The Director of an SFU-based Research Institute reports to the Vice-President, Research and International (VPRI) in matters related to the Institute.

5.7. Any academic programming offered by Research Centres and Research Institutes must be Senate-approved.

6. **MEMBERSHIP**

6.1. The Director of a Research Centre or Research Institute normally must be a continuing faculty member of the University.

6.2. Research Institutes normally include a minimum of eight faculty members from two or more Faculties.

6.3. University faculty members, postdoctoral fellows, graduate students, and research personnel are eligible for official membership in Research Centres and Research Institutes.

- 6.3.1. Research Centres and Research Institutes are encouraged to collaborate with community and private sector affiliates; however, official membership in the Research Centre or Research Institute is limited to those defined herein. Research Centres and Research Institutes may choose to describe such individuals or entities using other terms, such as 'affiliate' members.

7. COLLABORATIONS AND FUNDING

- 7.1. The University encourages Research Centres and Research Institutes to pursue funding opportunities from external agencies such as government, industry, and the private sector.
- 7.2. Research Centres and Research Institutes do not have independent authority to enter into any research funding agreements; all research funding agreements pursued by Research Centres and Research Institutes must be between external agencies and the University.
 - 7.2.1. All research funding agreements must adhere strictly to the policy and procedures laid out in SFU Policy R10.01, *Research Funding Agreements*.
- 7.3. Where funding is not involved, non-binding symbolic agreements with external organizations, such as MOUs, may be signed after the necessary approval (the Dean or designate, in the case of Research Centres; the Vice-President Research and International, in the case of Research Institutes) has been secured.
- 7.4. In some cases, Research Centres or Research Institutes that involve extensive external collaborations and partnerships may require a hybrid governance model. All modifications to the procedures described herein will require authorization of the policy authority: the Vice-President, Research and International.

8. POLICY REVIEW

- 8.1. This policy will be reviewed every 5 years or as needed.

9. AUTHORITY

- 9.1. This Policy is administered under the authority of the Vice-President, Research and International.

10. INTERPRETATION

- 10.1. Questions of interpretation and application of this policy or its procedures shall be referred to the President, whose decision shall be final.



Procedures for Research Centres

SIMON FRASER UNIVERSITY

Date

Number

April 3, 2002

R 40.01

Policies and Procedures

Revision Date

Revision No.

B-2

Policy Authority: Vice-President, Research and International

Parent Policy: Research Centres and Research Institutes

1. PURPOSE

- 1.1. The purpose of this procedure is to outline responsibility, governance, and reporting structures for Research Centres, as well as the processes for establishing, reviewing, or discontinuing a Research Centre.

2. RIGHTS AND RESPONSIBILITIES

- 2.1. Acting under the authority of its Director, Research Centres have the right to:
 - 2.1.1. use the University's name, address, and symbols in connection with its activities;
 - 2.1.2. solicit external research funding agreements and collaborations in the University's name;
 - 2.1.3. request the maintenance of university budgetary accounts and reports;
 - 2.1.4. use the assistance of Human Resources in hiring personnel; and
 - 2.1.5. direct the duties of its personnel.
- 2.2. The Director of a Research Centre is responsible for:
 - 2.2.1. ensuring that governance documents and constitutions exist, are adhered to, and are amended as necessary;
 - 2.2.2. ensuring that all agreements involving a Research Centre have secured the necessary approvals in accordance with SFU Policy B10.11;
 - 2.2.3. maintaining an up-to-date web/social media presence that includes a list of members and research activities;
 - 2.2.4. maintaining a record of Research Centre meetings and relevant decisions; and

- 2.2.5. ensuring the timely and accurate submission of annual reports and, when applicable, renewal requests.

3. GOVERNANCE AND REPORTING

- 3.1. The Director of a Research Centre (see Policy Section 6.1) is required to submit a written annual report to the responsible Dean on the unit's activities, once annually for the twelve months ending March 31 of each year, by no later than June 30 of each year. During the last year of a Research Centre's term, renewal requests must be submitted alongside the annual report (see Section 5). Failure to submit this report on time will trigger a dissolution process.
- 3.2. The responsible Dean or designate, acting in consultation as appropriate with other university administrators, shall review each Research Centre's activities annually including its financial management, compliance with university policies, and updated communications plan, and shall report the results of that review to the Research Centre's Director and to the Vice-President, Research and International (VPRI) on or before September 15 of each year.
- 3.3. The VPRI shall deliver an annual summary report, for information, to the Senate Committee on University Priorities (SCUP) by October 31 of each year, outlining the activities of all Research Centres and Research Institutes during the preceding year and the results of the annual review. SCUP shall forward this report for information to the Senate and to the Board of Governors.

4. PROCEDURE FOR ESTABLISHING RESEARCH CENTRES

- 4.1. With the application for the establishment of a Research Centre, a Constitution must be submitted that specifies the following:
 - 4.1.1. a statement of its special purpose;
 - 4.1.2. a statement of how the work of the proposed Research Centre aligns with Faculty priorities;
 - 4.1.3. a declaration that the objectives of the proposed Research Centre do not significantly overlap with other SFU Research Centres or Research Institutes;
 - 4.1.4. a statement of the Faculty resources (if any) required to support the proposed Research Centre;
 - 4.1.5. a provision for the appointment of a Director (normally, the Director is not entitled to teaching relief or financial compensation);
 - 4.1.6. a statement recognizing the obligation to conduct its activities in accordance with University policies; and
 - 4.1.7. a statement of its internal governing processes.
- 4.2. In addition, the application must include:
 - 4.2.1. a description of a communication plan that is aligned with University Communication policies (including plans for maintaining an up-to-date web/social media presence); and
 - 4.2.2. evidence that the application has been approved by the appropriate Faculty Dean or designate.

- 4.3. Applications will be evaluated against the following criteria:
 - 4.3.1. alignment in scope and composition with the University's definition of a Research Centre;
 - 4.3.2. value to the researchers and to the Faculty in receiving the designation;
 - 4.3.3. strength of stated goals, and feasibility of pathway to reaching them (relative to any associated resource requirements and/or risks to the University);
 - 4.3.4. potential impact (beyond what would be accomplished by individual faculty members); and
 - 4.3.5. alignment with evolving Faculty strategic priorities.
- 4.4. Any Research Groups considering applying for Research Centre status should consult with their Faculty Dean or designate prior to submitting an application.
- 4.5. Applications shall be submitted through the Faculty Dean or designate, who will forward supported applications to Senate (through SCUP) for approval.
- 4.6. Research Centres will normally be established for an initial term of 5 years.

5. PROCEDURE FOR RENEWING AND DISCONTINUING RESEARCH CENTRES

- 5.1. Requests for renewal require an application to SCUP, through the responsible Dean or designate and will be contingent on past performance and, as appropriate, the development of refreshed and relevant purpose and objectives.
- 5.2. At the period of renewal, the designation process outlined in Policy R40.01 Section 5.2.1 (requirement for naming) will normally apply.
- 5.3. Renewal applications must be submitted during the last year of the term, alongside the annual report (no less than 3 months prior to the end of the term). Failure to submit this report by the specified date will trigger a dissolution process.
 - 5.3.1. Renewal requests are evaluated by:
 - a) accomplishments of Research Centres, measured against their stated initial goals and plans;
 - b) alignment in scope and composition with the University's definition of a Research Centre;
 - c) demonstrated impact beyond what would have been accomplished by individual faculty members; and
 - d) continued alignment with evolving Faculty priorities.
- 5.4. The Dean(s) of the Faculties involved will comment on the report and recommend renewal or termination.
 - 5.4.1. If the recommendation is for renewal, the proposal will then be forwarded to SCUP, which will vote on the renewal application and report its decision to Senate. Normally,

SCUP will recommend a renewal term of 5 years.

- 5.4.2. If the Dean(s) of the Faculties involved recommend termination of a Research Centre prior to the end of the term, the Dean will report this recommendation to SCUP. SCUP will vote, and report its final decision to Senate.



Procedures for Research Institutes

SIMON FRASER UNIVERSITY

Date

Number

April 3, 2002

R 40.01

Policies and Procedures

Revision Date

Revision No.

B-2

Policy Authority: Vice-President, Research and International

Parent Policy: Research Centres and Research Institutes

1. PURPOSE

- 1.1. The purpose of this procedure is to outline responsibility, governance, and reporting structures for Research Institutes, as well as the process for establishing, reviewing, or discontinuing a Research Institute.

2. RIGHTS AND RESPONSIBILITIES

- 2.1. Acting under the authority of its Director, Research Institutes have the right to:
 - 2.1.1. use the University's name, address, and symbols in connection with its activities;
 - 2.1.2. solicit external research funding agreements and collaborations in the University's name;
 - 2.1.3. request the maintenance of university budgetary accounts and reports;
 - 2.1.4. use the assistance of Human Resources in hiring personnel; and
 - 2.1.5. direct the duties of its personnel.
- 2.2. The Director of a Research Institute is responsible for:
 - 2.2.1. ensuring that governance documents and constitutions exist, are adhered to, and are amended as necessary;
 - 2.2.2. ensuring that all agreements involving a Research Institute have secured the necessary approvals in accordance with SFU Policy B10.11;
 - 2.2.3. maintaining an up-to-date web/social media presence that includes a list of members and research activities;
 - 2.2.4. maintaining a record of Research Institute meetings and relevant decisions; and

- 2.2.5. ensuring the timely and accurate submission of annual reports and, when applicable, renewal requests.

3. GOVERNANCE AND REPORTING

- 3.1. The Director of a Research Institute is required to submit a written annual report to the VPRI on the unit's activities, once annually for the twelve months ending March 31 of each year, by no later than June 30 of each year. During the last year of a Research Institute's term, renewal requests must be submitted alongside the annual report (see Section 5). Failure to submit this report on time will trigger a dissolution process.
- 3.2. The VPRI or designate shall review the activities of each Research Institute annually, including financial management, compliance with university policies, and updated communications plan.
- 3.3. The VPRI shall deliver an annual summary report to the Senate Committee on University Priorities (SCUP) by October 31 of each year, outlining the activities of all Research Centres and Research Institutes during the preceding year and the results of the annual review. SCUP shall forward this report for information to the Senate and to the Board of Governors. Annual summary reports are public documents and shall normally be posted openly.

4. PROCEDURE FOR ESTABLISHING RESEARCH INSTITUTES

- 4.1. With the application for the establishment of a Research Institute, a Constitution must be submitted that specifies the following:
 - 4.1.1. a statement of its special purpose;
 - 4.1.2. a statement of how the work of the proposed Research Institute aligns with University priorities;
 - 4.1.3. details of proposed training and mentorship opportunities for students;
 - 4.1.4. a declaration that the objectives of the proposed Research Institute do not significantly overlap with other SFU Research Centres or Research Institutes, as well as evidence that consultation has taken place where a potential conflict has been identified;
 - 4.1.5. a provision for the appointment of a Director;
 - 4.1.6. a statement of the resources (if any) required to support the proposed Research Institute, including any extenuating circumstances that may warrant a Director's partial teaching relief;
 - 4.1.7. a statement recognizing the obligation to conduct its activities in accordance with University policies; and
 - 4.1.8. a statement of its internal governing processes.
- 4.2. In addition, the application must include:
 - 4.2.1. a description of a communication plan that is aligned with University Communication policies (including plans for maintaining an up-to-date web/social media presence); and
 - 4.2.2. evidence that appropriate consultation has taken place with the relevant Faculty Deans.

- 4.3. Applications will be evaluated against the following criteria:
 - 4.3.1. alignment in scope and composition with the University's definition of a Research Institute (normally, Research Institute members will have a history of collaborative activity together);
 - 4.3.2. value to the research collaborative and to the University in receiving the designation;
 - 4.3.3. strength of stated goals, and feasibility of pathway to reaching them (relative to any associated resource requirements and/or risks to the University);
 - 4.3.4. potential societal impact (beyond what would be accomplished by individual faculty members); and
 - 4.3.5. alignment with evolving disciplinary and University strategic priorities.
- 4.4. Any Research Centre or Research Group considering applying for Research Institute status should consult with the VPRI prior to submitting an application.
- 4.5. Applications shall be submitted to the VPRI, who will forward supported applications to Senate (through SCUP) for approval.
- 4.6. Research Institutes will normally be established for an initial term of 5 years.

5. PROCEDURE FOR RENEWING AND DISCONTINUING RESEARCH INSTITUTES

- 5.1. Requests for renewal require an application to SCUP, through the VPRI, and will be contingent on past performance and, as appropriate, the development of refreshed and relevant purpose and objectives.
- 5.2. At the period of renewal, the designation process outlined in Policy R40.01 Section 5.2.1 (requirement for naming) will normally apply.
- 5.3. Renewal applications must be submitted during the last year of the term, alongside the annual report (no less than 3 months prior to the end of the term). Failure to submit this report by the specified date will trigger a dissolution process.
 - 5.3.1. Renewal will be evaluated by:
 - a) accomplishments of Research Institute, measured against their stated initial goals and plans;
 - b) alignment in scope and composition with the University's definition of a Research Institute;
 - c) demonstrated impact beyond what would have been accomplished by individual faculty members; and
 - d) continued alignment with evolving Faculty and University strategic priorities.
- 5.4. The VPRI will comment on the report and recommend renewal or termination.
 - 5.4.1. If the recommendation is for renewal, the proposal will then be forwarded to SCUP, which will vote on the renewal application and report its decision to Senate. Normally, SCUP will recommend a renewal term of 5 years.

5.4.2. If the VPRI recommends termination of a Research Institute prior to the end of the term, they will report this recommendation to SCUP. SCUP will vote, and report its final decision to Senate.