

Research Institutes and Centres Policy

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Approval Authority Board of Governors	
Implementation Authority Vice-President (Research)	
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- 1 Purpose** The purpose of this policy is to define the principles for the establishment, review, renewal, and winding down of research Institutes.
- 2 Scope** This policy applies to Institutes for which research is the primary (though not necessarily the exclusive) mandate. It does not apply to Institutes that serve mainly administrative purposes within the University. It applies to both “University Institutes” and “Partnership Institutes”, as those terms are defined in section 3 below.
- 3 Definitions** In this policy:
- a) “Approval and Review Bodies” means the persons and committees charged with approving the establishment, renewal, or winding down of an Institute, and with periodically reviewing the Institute’s performance and making appropriate recommendations.
- If the Institute’s Supervising Officer is or would be the President or a Vice-President, its approval and review bodies are the:
- i. Research and Scholarship Committee (RSC),
 - ii. Vice-President (Research) or designate, and
 - iii. Provost and Vice-President (Academic) or designate.
- If the Institute’s Supervising Officer is or would be a University administrator below the level of Vice-President, its Approval and Review Bodies are:
- iv. an appropriate committee within the Supervising Officer’s unit,
 - v. the Vice-President (Research) or designate, and
 - vi. the Provost and Vice-President (Academic) or designate.

The unit's committee shall be chaired by the Supervising Officer and must have been previously cleared by and filed with the Vice-President (Research).

- b) "Institute" and "Centre" are interchangeable terms. For convenience "Institute" is typically used to stand for both.
- c) "Partnership Institute" means an Institute constituted as a partnership with legal entities external to the University, including other universities, government agencies, and legally independent Institutes.
- d) "Supervising Officer" means the officer to whom the Institute reports within the University. This must be a University administrator at the level of dean or above, including directors of University-wide administrative units such as Information Resources and directors of University-wide umbrella Institutes.
- e) "University Institute" means an Institute that exists entirely within the administrative structure of the University.
- f) "University" means the University of Calgary.

4 Policy Statement

- 4.1** The University encourages research Institutes that facilitate the University's Academic Plan in ways not readily achievable by existing administrative units or by more informal research groups. Multi-disciplinary scope is expected. At the time of establishment and/or renewal, Institutes must set targets against which their success in 'adding value' can be periodically assessed by rigorous external review.
- 4.2** Institutes launched after this policy comes into effect shall be established in accordance with the principles and procedures set out by this policy.
- 4.3** All research Institutes, whether they are established under or pre-date this policy, shall be regularly reviewed by the appropriate Approval and Review Bodies (based on rigorous external assessment), and are subject to this policy's principles and procedures, including those for the renewal or winding down of Institutes. A schedule for review shall be set at the establishment and renewal of an Institute, or, in the case of Institutes that pre-date this policy, at an initial review organized by the Supervising Officer.
- 4.4** University Institutes and the University's involvement in Partnership Institutes are established for limited terms, but may be renewed by their Approval and Review Bodies for additional limited terms upon favourable external review. If an Institute that pre-dates this policy does not have a limited term, the appropriate Approval and Review Bodies shall establish such a term upon their next review of the Institute.
- 4.5** The governance structure and administrative overheads of Institutes should be appropriate to their scope and activities, and should be no more complex or costly than necessary.
- 4.6** Institutes shall report to the University through the most appropriate and convenient Supervising Officer (e.g., Dean, Director, Vice-President, President.). The level of Supervising Officer may change from time to time if so recommended by both the originating and receiving Approval and Review Bodies.
- 4.7** An Institute's resource-allocation implications for the University shall be incorporated in the budgetary and other planning processes of the Supervising Officer's unit.

4.8 Institutes are governed by all other University policies and regulations applicable to their activities (e.g. the collective agreement and policies governing research ethics or the establishment of new academic programs).

5 Responsibilities

5.1 Approval Authority (Board of Governors)

a) ensure appropriate rigor and due diligence in the development or revision of this policy and its related procedures.

5.2 Approval and Review Bodies

a) assess proposals to establish or renew Institutes. Undertake the periodic review of Institutes, based on rigorous external assessment. Make appropriate recommendations regarding the establishment or renewal of an Institute, changes in its goals or reporting lines, possible wind down, etc.

5.3 Implementation Authority – Vice-President (Research)

a) ensure that University staff are aware of this policy and related procedures. Monitor compliance. Sponsor revision of the policy when necessary.

5.4 Institutes

a) implement the mission and goals agreed to during the establishment or most recent renewal process, with accountability within the University to the Supervising Officer and the Vice-President (Research).

5.5 Supervising Officer

a) oversee an Institute’s activities and performance on behalf of the University, and ensure that the Institute is complying with other University policies relevant to its activities. Organize the approval, review, renewal, and wind down procedures linked in section 6 below. Ensure that appropriate memoranda of understanding and/or legal agreements for Partnership Institutes are in place and have been cleared by the University General Counsel.

6 Related Procedures

[Research Institutes and Centres Procedure](#)

7 History

June 23, 2000	Effective.
April 22, 2005	Revised.
January 1, 2020	Editorial Revision. Updated format and links. Also updated position titles and GFC committee names, as appropriate.