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## PROCEDURE:

### 1. Establishment

#### 1.1 Proposal

As outlined in Section 2, a proposal shall be submitted to the Provost Council for consideration and further recommendation.

#### 1.2 Approval

The approval for the establishment of a Research Institute is for a provisional year, after which a Progress Review will be conducted to determine continuing status.

### 2. The Proposal

A formal written proposal is submitted to the Provost Council for consideration. If approved, a recommendation is then submitted in the following progression:

- i. recommendation to the Provost and Vice-President Academic (Provost), for approval or rejection;
- ii. recommendation to Senate, for approval or rejection; and,
- iii. recommendation to the Board of Governors for decision.

At each point, it may be recommended for approval or rejected. If at any point in the consideration process the proposal is rejected, reasons will be provided to the proponent. ([See Section 6 – Appeals.](#))

The proposal shall name the Research Institute and shall provide detailed information in the following areas:

### 2.1 Mission Statement

The proposal shall include a concise statement of the mission of the proposed Research Institute.

### 2.2 Purpose

The rationale for the establishment of the proposed Research Institute shall be described and shall include:

- the purpose, role, and goals of the Research Institute;
- the social, academic, and organizational context within which the proposed Research Institute will operate;
- the benefit to the advancement of research, scholarly activity, and practice in the research field; and
- the intended duration of the Research Institute (short-term, long-term, continuing).

### 2.3 Relevance

The proposal shall address how the Research Institute will assist the fulfillment of the institution's mission and goals. The level of detail required shall be appropriate to the level of VIU resources the Institute will require and shall include how the Research Institute will:

- benefit the University's students, faculty and staff;
- assist the Institution to contribute to the social, economic, environmental and cultural development of its community;
- enhance the university's regional, provincial, national and international reputation; and,
- address the Academic Plan and/or the goals and plans of the Faculty(s) involved.

## 2.4 The Research Plan

The plan shall outline the following in relation to the stated objectives of the Research Institute:

- the activities and methods to be used to meet goals and objectives and the relationship of these activities to academic programs and the community,
- intended outcomes and benefits in measurable terms that are intended to result from the Research Institute over a five-year period (or for its full term if less than five years); and,
- projected timelines.

## 2.5 Membership

The proposal shall demonstrate sufficient knowledge and expertise collectively through the initial membership to support the establishment, viability, and effectiveness of the Research Institute. A curriculum vitae for each proposed initial member shall be attached.

Membership may be comprised of faculty, staff, and administration, research fellows, visiting scholars, community experts, and support staff.

The process and criteria used for the selection of future additional members shall be identified.

## 2.6 Governance, Administrative Structure, and Accountability

The proposal shall describe the administrative structure of the proposed Research Institute, outlining how it conforms to the needs, responsibilities and requirements of the Centre in accordance with [Policy 31.11](#).

Reporting and accountability for Research Institutes will be to the Provost and Senate.

### 2.6.1 Directorship

The proposal shall identify a proposed Director, or the process and criteria that will be used to select a Director. The Directorship may be a full-time or part-time administrative appointment or secondment, or volunteer appointment, for a stated, specific term.

The Director will normally be a full-time continuing faculty member of Vancouver Island University.

The proposal shall also identify any other roles and responsibilities and how they will be managed.

### 2.6.2 Advisory Committee

An Advisory Committee shall be established to provide guidance to the Research Institute. The role of the advisory committee shall be outlined in the proposal.

The membership, which shall be identified in the proposal, will be comprised of a minimum of five members, including a minimum of one Dean. The remaining membership may be comprised of members from other Faculties and/or departments, administration, or individuals external to the Institution.

External members shall be chosen for their interest and acumen in the subject field and approved by the Dean.

### 2.6.3 Internally Appointed Management Committee

An Internally Appointed Management Committee (IAMC) may be appointed to help manage the internal affairs of the Research Institute if the entity needs access to considerable VIU resources (facilities, staffing, budget, etc.). This provides the entity with advice related to internal management (HR advice, budget process, and management issues that may arise, etc.) and ensures the entity has a voice in the management of the institution. The Provost shall advise the proponents on the need for an IAMC and recommend members.

The IAMC (comprised of a minimum of three members, including a minimum of one Dean and the Director) may be established in the proposal, and if so, shall outline the membership and roles and responsibilities of each member of the IAMC.

If an IAMC is not required, the proposal shall include a statement that this has been discussed and is not required.

## 2.7 Resource Requirements

Any resource allocation implications shall be incorporated into the budgetary and planning processes of the appropriate Faculty.

## 2.8 Financial

The proposal shall outline the Research Institute's ability to operate self-sufficiently and on a cost-recovery or cost-neutral basis in accordance with the Policy.

The proposal shall provide a projected budget, describing anticipated expenditures and expected revenues for the Research Institute. The budget projection shall be provided for a five-year period (or for the full term, if less than five years). The description of revenues shall identify all sources. In-kind contributions that have an impact on a department, Faculty or the institution (e.g. a dedicated space, clerical support) shall be identified.

Any fundraising activities expected to be undertaken shall be identified to ensure no duplication of other institutional fundraising activities and shall be discussed with the Advancement and Alumni Relations Office prior to implementation.

#### 2.8.1 Expenditures

The description of expenditures shall provide estimates for all projected expenditures, including support service requirements such as accounting, human resources, computing, library, space, furniture and equipment.

#### 2.8.2 Revenues and Institutional Funding

Any request for institutional funding shall be included. Any sources of funding already secured shall be identified, as well as any potential or projected funding sources.

#### 2.9 Human Resources

Special attention shall be given to the identification of all human resources required for the operation of the research entity and their status within the institution. Any employment opportunities for faculty, staff, and students through the research entity shall be identified.

### 3. Annual Report

Research Institutes shall prepare a detailed Annual Report by the end of each fiscal year. The Annual Report is to be submitted by the Director to the Provost.

The content of the Annual Report shall include, but is not limited to, the following:

#### 3.1 Business of Reported Year

- i. an executive summary;
- ii. the history of the Research Institute;
- iii. the research plan, membership and administrative structure, noting any changes that occurred during the year reported;
- iv. objectives and achievements for the year;
- v. activities for the year;
- vi. contributions made to the research experiences of students and the community; and,
- vii. a statement of revenues and expenditures derived from the financial statements of the institution and an analysis of the Research Institutes' financial performance.

### 3.2 Projected Planning

- i. the continuing research plan and continued objectives going forward;
- ii. any changes planned with regard to membership or administrative structure; and
- iii. a financial statement that includes projected revenues and expenditures, sources of funding and budget for the following year.

## 4. One-Year Progress Review

### 4.1 The Review

A Progress Review will be conducted by a Review Panel, at the conclusion of the first year's operation, to examine the achievement of goals and objectives and financial performance. The Annual Report will be the primary source document for the review.

#### 4.1.1 Review Panel

The Review Panel will be comprised of three persons appointed by the Provost with at least one Faculty member from outside the Faculty (the Chair). Review Panel members will normally be selected from two lists as follows:

- i. the Director will recommend a list of two names to the Provost from which one name will be chosen.
- ii. the Provost will submit a list of four names to the Director, from which two names will be chosen.

No Review Panel member will be directly associated with the research entity under review.

A Chair of the Review Panel will be appointed by the Provost from the three members of the panel and will normally be an external Faculty member (from outside the Faculty).

#### 4.1.2 Consultation

The Progress Review will involve consultation with the Advisory Committee, the IAMC (if applicable), the Director, students, faculty, clients, funding agencies and other stakeholders, as deemed necessary and desirable. The Review Panel may also consult with external experts in the subject field or Research Institute administration, at its discretion.

### 4.2 Report

A detailed Progress Review Reports will be provided to the Provost with a recommendation to:

- grant continuing status to the Research Institute; or

- extend the term of the Research Institute for one year to enable achievement of specified performance objectives; or
- closure of the Research Institute.

A copy of the Report will be provided to the Advisory Committee and the Director, who may provide a response.

4.2.1 The Provost will consider the Progress Review Report and any commentary on the report provided by the Director and Advisory Committee. The Provost will make a recommendation to the Senate which, in turn will submit a recommendation to the VIU Board for decision.

## 5. Renewal Review

A Renewal Review will be conducted every five years (where the Research Institute is ongoing). This will be a formal summative review of the performance of the Research Institute for the preceding five-year period.

The Renewal Review will be conducted using the same process as the One-Year Progress review. The Annual Reports for the five-year period will be the primary source documents for the review.

A Renewal Review Report will be submitted to the Provost and processed as follows:

- i. the Provost will submit his/her recommendation to the Senate for continuance, modification, or closure of the Research Institute; and,
- ii. Senate will submit its recommendation to the Board for decision.

## 6. Appeals

Appeal of decisions relating to approval of the proposal to establish a Research Institute or the Renewal Review will be to the Senate, for recommendation to the Board for a final decision.

Appeals of decisions relating to the One-Year Progress Review will be to Senate for recommendation to the Board, whose decision will be final.

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