



## INSTITUTES and CENTRES POLICY

**AUTHORITY:** The Board of Regents

**RESPONSIBILITY:** The President

**Effective Date:** January 25, 2016

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**Purpose:** The purpose of this policy is to set forth consistent guidelines for the establishment and operation of Institutes and Centres at the University of Winnipeg.

**Scope:** This policy and the guidelines outlined herein shall apply to University Institutes and Centres and Affiliated Institutes and Centers, as defined in this policy.

**Responsibility:** The President, on behalf of the Board of Regents of the University, is responsible for the development, administration and review of this policy. The Vice President Academic will oversee the operations and reporting of Institutes and Centres with an academic mandate. The Associate Vice President Research and Innovation will oversee the operations and reporting of Institutes and Centres with a research mandate. The determination of research mandate shall be made by the Vice President Academic in consultation with the Associate Vice President Research and Innovation. The Director of the Institute or Centre is responsible for the day-to-day implementation of this Policy and its Procedures.

**Definitions:** For the purposes of this Policy,

**“Director”** means: the person responsible for the academic leadership and administration of an Institute or Centre.

**“Institute or Centre”** means: a formally structured organization established for the pursuit of scholarly or educational objectives including artistic, scientific, or clinical goals that may have an applied nature but that are focused primarily on research activities.

**“University Institute or Centre”** means: an internal Institute, or Centre, which is organizationally part of the University and subject to its management and control.

**“Affiliated Institute or Centre”** means: an Institute or Centre which by contract is affiliated with but legally distinct and separate from the University.



“Scholarly” means: both academic and research endeavours.

## **Principles:**

The University, on its own initiative or in concert with others, may establish Institutes and Centres for the purpose of promoting the academic and research mandate of the University and meeting the needs of the community at large.

Normally, University Institutes or Centres shall provide for the strengthening, coordination or facilitation of scholarly purposes or activities not easily undertaken within the University’s academic structure, For the most part, they shall build upon the expertise, competence and staff interest already in existence at the University and be primarily focused on research.

University Institutes or Centres that are intended to create new or enhanced areas of University activity shall be developed consistent with University priorities. The activities of a University Institute or Centre should include, but not necessarily be limited to, performing basic and/or applied research and the offering of curricular and extra-curricular educational opportunities.

A University Institute or Centre shall conduct its operations in accordance with a mandate determined by the Board and may have an Advisory Committee or Council.


## **Procedures:**

### **Establishment of a University Institute or Centre**

The establishment of a University Institute or Centre shall be subject to the approval of the Board on the recommendation of the President.

The President may make such a recommendation based on:

- (a) advice from the Vice President Academic and the Associate Vice President Research and Innovation as to the academic and research requirements;
- (b) advice from the Vice President Finance and Administration as to the budgetary requirements;
- (c) a recommendation from Senate after a recommendation by the Senate Academic Planning Committee to the Senate;

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## **Proposal Development**

### **Submission to Academic Planning Committee (APC)**

A written proposal to create an Institute or Centre shall be made to the APC and must set out a scholarly mandate and a fiscally responsible funding plan. Space, support and budget requirements (e.g., computing, Library and other such services) shall be considered.

### **Submission to Senate**

Upon recommendation of a proposal from the APC, Senate shall review and may recommend the proposal to the President.

In the review by Senate, Senate will consider:

- a) the scholarly nature of the proposed Institute or Centre, and
- b) the merits of the proposal and its compatibility with the University's academic and research planning objectives and priorities.

### **Submission to the Board**

Upon recommendation from Senate, the President shall review and may recommend the proposal to the Board.

Prior to making a recommendation to the Board, the President shall ensure that the Board Finance Committee has approved the proposal as being financially responsible and viable with core funding derived from university or external sources.

## **Operation of University Institutes and Centres**

### **A. Accountability Structure**

University Institutes and Centres will abide by all University policies and procedures, unless specifically exempted.

University Institutes and Centres shall be under the jurisdiction of the President. The President may delegate the oversight of operations and reporting of a University Institute or Centre's academic mandate to the Vice President Academic. The oversight of operations and reporting of a University Institute or Centre's research mandate may be delegated to the Associate Vice President Research and Innovation. The Vice President Academic or the Associate Vice President Research and Innovation shall then assign responsibilities to the Director of the University Institute or Centre. The Director shall



report to the Vice President Academic or the Associate Vice President Research and Innovation as may be appropriate and shall work closely with the Deans of the Faculties cooperating with the University Institute or Centre. The position of Director of the University Institute or Centre shall normally be filled from within existing academic staff of the University.

A University Institute or Centre shall consult regularly with faculties, departments and other affiliated academic and research entities or groups with whom it is engaged or who are otherwise participating in programs or initiatives occurring within or involving the University Institute or Centre.

### **B. Solicitations for Funding and Applications for Grants**

With the exception of contracts, solicitations for government, community and industry funding must be approved by the President and coordinated through the University of Winnipeg Foundation.

Applications for research grants and contracts must be processed through the office of the Associate Vice President Research and Innovation for administration and monitoring.

### **C. Annual Report**

Annually, the Director shall provide a written report to the Vice President Academic or the Associate Vice President Research and Innovation, as may be appropriate, of the scholarly activity of the University Institute or Centre.


The Annual Report will include, but is not limited to, reporting on:

- (i) the University Institute's or Centre's contribution to the University's academic and research planning objectives and priorities,
- (ii) financial status, including the continued financial viability of the University Institute or Centre,
- (iii) such other criteria that may have been established by the Board and the Senate at the time that the University Institute or Centre was established.

This Annual Report will be shared by the President at the June meeting of the Board and the Senate for the academic year.

### **Performance Evaluation**

Every five (5) years a performance evaluation will be conducted by the Vice President Academic or the Associate Vice President Research and Innovation as may be appropriate, to ensure the ongoing relevance and viability of the University Institute or Centre.

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The results of the performance evaluation will be transmitted to the Director of the University Institute or Centre, who will have an opportunity to respond in writing before the results are finalized.

The results of the performance evaluation together with the comments of the Director of the University Institute or Centre, if any, and recommendations of the Vice President Academic or the Associate Vice President Research and Innovation will be submitted to the President with recommendations for appropriate action.

### **Dissolution of a University Institute or Centre**

The Board may terminate and dissolve a University Institute or Centre on recommendation of the President, on behalf of the University Administration, after consultation with the Senate.

## **AFFILIATED INSTITUTES AND CENTRES**

### **Affiliation with University and Principles**

- a) Where the activities of a proposed or existing Institute or Centre may enhance or complement the mandate of the University, the University may assist with the establishment of, or the granting of affiliation to, such Institute or Centre. Where the University has determined to assist in the establishment of, or the granting of affiliation to an Institute or Centre, the Institute or Centre shall become an Affiliated Institute or Centre within the meaning of this Policy.
- b) A request to assist in the establishment of or affiliation with an Institute or Centre may be made by providing the President with a proposal detailing current and proposed future activities of the Institute or Centre, the mutual benefits of establishment or affiliation, and the financial viability of the Institutes and Centres. Where the Institute or Centre proposes to become closely associated with one or more Departments/ Faculties of the University, letters of support from the Department Chairs/ Deans shall accompany the proposal.
- c) The President will consult with the Vice President Academic or the Associate Vice President Research and Innovation depending on whether the Institute or Centre has an academic or research mandate. Upon determination of the appropriateness for the University's mandate, the President may approve assisting in the establishment of or affiliation with an Institute or Centre and thereupon it shall become an Affiliated Institute or Centre pursuant to this Policy.



- d) The degree of University participation in, or contribution to, the establishment and operation of Affiliated Institutes and Centres, shall be determined by the contribution made to the mandate of the University and by the availability of resources.
- e) There shall be a written operating agreement between the University and the Affiliated Institutes and Centres which may include, for example, such matters as rental of space or equipment, contracting for services, sharing or pooling of resources or alternatively such matters may be dealt with by separate agreement e.g. a lease of space or facilities.
- f) There shall be University representation on any planning, advisory or governing body of Affiliated Institutes and Centres.
- g) Although the University may make a financial contribution to accommodate, or provide services for an Affiliated Institute and Centre , the University shall not be required to assume financial responsibility or any other liability should other sponsors withdraw their support.
- h) Affiliated Institutes and Centres shall submit reports to the President on an annual basis, or as otherwise requested.
- i) The President shall report to the Board and the Senate:
  - i. On approving affiliation with an Institute or Centre,
  - ii. Annually,
  - iii. Disaffiliation or Dissolution.

#### **A. Structure and Organization**

- a) The relationship between the University and Affiliated Institutes and Centres may be either a cooperative relationship involving amongst other things the mutual sharing of human and physical resources, or a landlord-tenant relationship but which nonetheless reflects the scholarly interest of the University in the activities of the Institutes and Centres and recognizes the University's obligation to promote the greatest community use of its facilities and resources.
- b) Professional and technical staff hired by Affiliated Institutes and Centres shall be employees of the Affiliated Institutes and Centres and not of the University. Joint or honorary appointments with the University may be considered provided that such appointments are for a limited term.



- c) The appointment or secondment of University staff to an Affiliated Institute or Centre may be possible where such arrangements would be of mutual benefit. These arrangements are subject to the approval of the appointee's Department, the Dean of the Faculty, and either the Vice President Academic where the Affiliated Institute or Centre has an academic mandate or the Associate Vice President Research and Innovation where the Affiliated Institute or Centre has a research mandate.

### **B. Finances**

- a) The financing of an Affiliated Institute or Centre, will normally be based on a combination of core funding, grants or contracts from community, industry, or government sources, The University may make a financial contribution, but shall not be the major funder.

### **C. Evaluation of Performance and Affiliated Status**

- a) Every five (5) years a performance evaluation will be conducted by the Vice President Academic or the Associate Vice President Research and Innovation, as may be appropriate.
- b) Criteria used in the review will include:
- i. contribution to the mandate of the University;
  - ii. continued financial viability; and,
  - iii. such other criteria as may have been determined at the time affiliated status was granted to the Affiliated Institute or Centre.
- c) The results of the performance evaluation will be transmitted to the President with recommendations for appropriate action.
- d) The President may revoke the affiliation of an Affiliated Institute or Centre based on the recommendation of the Vice President Academic and or the Associate Vice President Research and Innovation, as may be appropriate.

### **Review:**

This policy shall be reviewed at least once every five years.