Royal Roads University (RRU) Policy on the Establishment and Review of Organized Research Centres/Institutes

1. Preamble and Purpose

Research is identified in the Royal Roads University Act (1996) as one of the University’s three stated purposes, i.e., “to maintain teaching excellence and research activities that support the University’s programs in response to labour market needs of British Columbia.” The Board of Governors approved a research policy in 1998 that positions research as fundamental to the mandate of the University. The policy was revised in 2002, emphasizing the integral role research plays in Royal Roads University’s strategic direction, reaffirming the importance of research and its contribution to teaching and learning, and noting the contribution of research to economic and social development. “As with all universities, research is critical in underpinning the scholarship, quality and relevance of academic programs …. At Royal Roads, it is complementary to and integrated with our teaching programs, further enhancing our reputation and underlining our credibility in academic and other circles. As such, our applied research model is highly interdisciplinary and focuses on real world problems with immediate outcomes” (2006-2010 Strategic Plan). As a result, the majority of faculty and student research is action oriented and problem solving, focusing on immediate social and environmental issues in BC, Canada, and internationally.

Through extensive university-wide consultation processes, research clusters have been identified to assist in providing areas of focus for RRU research. As outlined in the 2006-2010 Strategic Plan, these clusters are currently focused around: 1) learning and innovation and 2) sustainable communities and societies. Research is structured in several ways, ranging from individual research projects, to informal groups of researchers with similar interests, to more formal research collaborations.

In order to provide further coherence and organization, as well as to profile and showcase the research conducted at Royal Roads University, specific groups with common research interests may be given institutional status through the establishment of a Centre/Institute. Such status provides a degree of permanence, fosters collaborative research, and reinforces RRU’s interdisciplinary approach. These Research Centres become a focus for external collaboration with industry, communities, government, and educational institutions and provide an institutional framework for responding to the needs and desires of society. All Research Centres at RRU have the goal of fostering vibrant, collaborative and continuing programs of interdisciplinary research that serve the mission of the University.
2. Definitions

2.1. Centre and Institute are interchangeable terms for the purposes of this policy. For convenience, ‘Centre’ is typically used to stand for both.

3. Policy

3.1 Royal Roads University encourages the creation and operation of Research Centres that facilitate the University’s unique mandate, as reflected in the RRU ACT as well as its Academic and Research Plans, in ways not readily achievable by existing administrative units or by more informal research groups.

3.2 An interdisciplinary scope is expected.

3.3 Any Research Centres established after this policy comes into effect shall be established in accordance with the principles and procedures set out by this policy.

3.4 All Research Centres, whether they are established under or pre-date this policy, shall be regularly reviewed by the appropriate approval and review bodies and are subject to this policy’s principles and procedures.

3.5 Ideally, Research Centres will be university-based, but a Centre may be housed in a faculty or school, depending on the nature and scope of the research, or may be aligned with a particular program or established unit. The location of a Research Centre will be determined by the Vice President Academic in consultation with appropriate academic managers. For financial tracking purposes, all Research Centre cost centres will role up to the Office of Research.

3.6 The Director of a Research Centre will hold a faculty appointment and will report to: the Director of the school if the Research Centre is school-based; the Dean if the Research Centre is faculty-based; or the Associate Vice President Research if the Research Centre is university-based (with the normal research approval processes of the Vice President Academic and Associate Vice President Research).

3.7 Any resource-allocation implications for a Research Centre shall be incorporated in the budgetary and other planning processes of the appropriate school or faculty, or the Office of Research if the Research Centre is university-based.

3.8 Research Centres will comply with all University policies and regulations applicable to their activities (e.g., the collective agreement, research ethics, etc.) through consultation with the appropriate Director, Dean, the Associate Vice President Research, and/or Vice President Academic.

3.9 Research Centres will not develop or manage academic programs; degree programs and related certificate programs will only be offered by the appropriate school or faculty.

3.10 Research Centres can offer continuing education/outreach programs, provided they are consistent with the policies and procedures governing continuing education in the University.

3.11 Each Research Centre will be established initially for a period of five years. A review will be conducted, under the authority of the Vice President Academic, one year prior to the end date. A recommendation will be made to the Vice President Academic either to:

3.11.1 Continue the Research Centre for a further five years; or

3.11.2 Disestablish the Research Centre and phase it out during its final year.

Royal Roads University Policy on the Establishment and Review of Organized Research Centres/Institutes … /2
4. Procedures

4.1 Establishment of Research Centres

4.1.1 A proposal for a new Research Centre will be submitted to the appropriate school Director (if school-based), Dean (if faculty-based), or the Associate Vice President Research (if university-based) using the guidelines provided in Appendix A.

4.1.2 Following consultation with, and approval by, the appropriate individual in section 4.1.1, the proposal will be submitted to the Program and Research Council for consultation as well as to the Vice President Academic, the Vice President Finance, and the Associate Vice President Research.

4.1.3 Following consultation with, and approval by, the parties identified in section 4.1.2, the proposal will be sent to the Finance & Audit Committee and to the Program & Research Council, who will each provide feedback to the President. The Vice President Academic will also submit the proposal to Academic Council, which will review the proposal and advise the President on its feasibility. The President will provide a recommendation to the Board of Governors regarding the establishment of the Research Centre.

4.1.4 On an annual basis, the Research Centre will provide a report to the appropriate school Director (if school-based), Dean (if faculty-based), or the Associate Vice President Research (if university-based) regarding its activities for the year. The school Director shall also submit the report to the Dean, Associate Vice President Research, and Vice President Academic. Similarly, for faculty-based Centres, the Dean shall submit the report to the Associate Vice President Research and Vice President Academic; and, for university-based Centres, the Associate Vice President Research shall submit the report to the Vice President Academic.

The report will include: the activities for the year and how they relate to the activities originally outlined; the planned activities for the upcoming three years including a detailed timeline; an updated list of members of the Research Centre and their roles; details regarding the governance of the Research Centre; details on all research activities including publications, presentations, grants, consulting, etc.; financial information on all activities; and financial projections and resource implications for the next year. The school Director, Dean or Associate Vice President Research will include this report in their annual reports.

4.2 Review of Research Centres

4.2.1 A formal review will begin at the end of the fourth year the Research Centre has been in operation and will assess:

a. the effectiveness of the Research Centre in carrying out its stated goals;
b. the strength of the Research Centre’s research program and its contributions internally and externally;
c. the financial viability of the Research Centre; and
d. the Research Centre’s on-going consistency and fit with the Academic and Research Plans as well as the University’s Strategic Plan and unique mandate as reflected in the RRU Act.

4.2.2 The Vice President Academic will assign a Committee to undertake the review and may assign an external or internal ‘lead’ (see Appendix B).

4.3 Closure of Research Centres

4.3.1 The University reserves the right to close a Research Centre during its approved period for financial exigency or other reasons, with due regard to human resources policies and employment standards legislation.

4.3.2 In the event that a Research Centre is not recommended for renewal during its scheduled review, the following procedure will be followed:

a. Any staffing implications will be dealt with through the appropriate collective agreement(s) or appointment contract provisions.

b. All assets held by the Centre will revert to the University.
APPENDIX A

Guidelines for Establishing Research Centres/Institutes at Royal Roads University

1. Name of the proposed Research Centre.

2. Purpose/Rationale
   Proposals should provide a full rationale and should include the following:
   ➢ the area(s) of research which are currently not adequately or readily covered within a program or group of programs, school or faculty and how this proposal addresses that gap;
   ➢ how the Research Centre fits/links to the University’s Strategic Plan and the unique mission of the University as reflected in the RRU Act;
   ➢ how the proposed Research Centre fits within the Academic and Research Plans of the University;
   ➢ how the proposed Research Centre fits within the plans of the school, faculty, or the University as a whole, depending on where it is proposed to be based.
   ➢ clear identification of the benefits to RRU for establishing the Research Centre;
   ➢ clear identification of the costs to RRU for establishing the Research Centre;
   ➢ clear identification of the benefits to the wider community/society for establishing the Research Centre;
   ➢ how the proposed Research Centre differs from, or what contribution it will make with reference to, other Research Centres regionally, nationally and internationally.

3. Structure
   Proposals should identify the structure of the Research Centre, including:
   ➢ whether the Research Centre will be school-, faculty- or university-based and the rationale for that recommendation;
   ➢ how the Research Centre will link with the Office of Research for the management of its day-to-day affairs;
   ➢ how the Research Centre will be managed (e.g., will there be a Director, Assistant Director, etc.? who will serve in those capacities?);
   ➢ the governance structure of the Research Centre (i.e., will the Research Centre operate with a management committee and, if so, who will be a part of that? is there an opportunity to include external individuals in the governance, and under what conditions? etc.);
   ➢ all the individuals who will be part of the Research Centre and their role(s), including criteria and procedures for appointing members;
   ➢ interdisciplinary areas that will be brought together; and
   ➢ the life expectancy of the Research Centre (i.e., for a limited term or indefinite).

4. Resources
   Proposals should provide details regarding any and all resource implications for the Research Centre (space, technology, staff, etc.). This must include a detailed three-year operating budget which clearly indicates how the Centre is to be funded and identifies all operating costs.
5. Activities & Outcomes
Proposals should identify the activities expected to be undertaken, including their respective timelines, and the scope of research planned. Activities may include:

- incorporating an endowed or funded chair
- establishing a joint centre with another institution
- training researchers
- supporting research seminars and conferences
- supporting non-academic executive education, continuing education/outreach programs
- providing policy consultation
- disseminating research findings
- publishing articles, reports, etc.

Proposals must identify measurable targets for the Research Centre. For example:

- dollars in grants expected
- number of proposals to be submitted
- number of contracts to be undertaken
- number of articles, presentations, workshops to be written, organized, attended, etc.

Proposals should provide information regarding potential external partnerships and collaborative activities (note: this may involve core faculty, associate faculty, adjunct faculty, visiting scholars, graduate and undergraduate learners, research associates and research assistants).
APPENDIX B

Process for Reviewing Research Centres/Institutes

A formal review will begin at the end of the fourth year the Research Centre has been in operation and will assess:

a. the effectiveness of the Research Centre in carrying out its stated goals;
b. the strength of the Research Centre’s research program and its contributions internally and externally;
c. the financial viability of the Research Centre; and
d. the on-going consistency of the Research Centre with the Academic and Research Plans as well as the University’s Strategic Plan and unique mandate, as reflected in the RRU Act.

The Vice President Academic will establish a Review Committee for the Research Centre. The Review Committee will normally include at least one external individual.

The Research Centre will undertake a self-study which will include:

➢ details on how the Research Centre has met or exceeded its original goals;
➢ details regarding the activities of each member over the four years (publications, presentations, contracts, grants received, grants applied for, etc.);
➢ copies of the annual reports submitted; and
➢ summary of the annual budgets/financial information for the Research Centre.

The self-study will be provided to the Review Committee along with all other materials related to the Research Centre.

The Review Committee will undertake additional activities to verify the Centre’s outcomes and activities. Upon completion, the Review Committee will provide a full report, including the self-study and all information gathered and submitted, for review to the appropriate school Director, Dean or Associate Vice President Research, depending on where the Research Centre is based. A copy of the full report, along with recommendations from the appropriate school Director or Dean or Associate Vice President Research, will be submitted to the Vice President Academic, Vice President Finance and Associate Vice President Research (if school- and faculty-based) and Dean (if school-based).

The Vice President Academic, Vice President Finance, Associate Vice President Research and Dean will review the report and the Vice President Academic will submit it, along with recommendations, to the Program and Research Council, to Academic Council, and to the Finance & Audit Committee. Academic Council, Program and Research Council, and Finance & Audit Committee will each provide feedback and recommendations to the President. The President will provide a recommendation to the Board of Governors to either:

➢ Continue the Research Centre for a further five years; or
➢ Disestablish the Research Centre and phase it out during its final year.