

7.9 GUIDELINES FOR COLLABORATIVE RESEARCH

Classification: Research

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GENERAL

- 1.00 The University is committed to research excellence and innovation. To date, the University's strengths as a research-intensive institution have derived in good measure from the efforts of individual scholars within the established scholarly disciplines. Increasingly, however, such areas are expanding to include a wide array of topics of investigation posing challenges best met through the development of more complex models of research. To meet this challenge, the University encourages the formation of collaborative research entities, both within and across traditional disciplinary boundaries. To enhance the functionality of such groups, ensure coordination with the administration of the University, and to minimize possible liabilities to both the entities themselves and the University, it is imperative that collaborative research groups operate under a clear set of guidelines. The purpose of this document is to set out the policy and procedure for recognition of collaborative research entities at the University.

POLICY

- 2.00 The University recognizes three types of collaborative research entities:

A **Research Group** or **Research Unit** consists of a number of investigators informally organized within—and recognized by—a Department, School and/or Faculty (or in two or more Departments, Schools, or Faculties) with shared research objectives, and possibly shared facilities and funds.

A **Centre** is a collaborative research venture, possibly involving some research participation and/or funding from outside the University, with a directorship, an administrative structure, a budget, and possibly some assignment of space.

An **Institute** is a collaborative research venture which satisfies the criteria for a Centre (as above), and which also involves significant research participation, or funding, or administrative participation from outside the University.

APPLICATION AND APPROVAL PROCEDURE

- 3.00 Collaborative research entities are not to use any of the denominations listed above until such time as they have been formally approved by the University. Applicants wishing to establish a collaborative research entity formally recognized by the University must make application to the Office of the Vice-President (Research & International Relations). Proposals must be forwarded through the Office of the Dean or Deans of the Faculties involved, and will be reviewed by the Vice-President (Research & International Relations) and the Provost & Vice-President (Academic). Before the application is submitted to the Office of the Vice-President (Research), the University General Counsel must review and approve all proposals that involve third parties, including any proposed agreements with third parties. It is expected that collaborative research entities will operate within the current Faculty structure of the University, and not as separately incorporated entities. Any and all requests for the incorporation of research entities at the University must be approved by the Board of Governors (See also Section 8, below). Application procedures for the three types of collaborative research entities cited above are listed below.
- 4.00 **Research Group or Research Unit:** Applicants seeking to establish a University Research Group or Research Unit must submit a brief description of the Group or Unit and a list of its members to the Office of the Vice-President (Research) for information. This description must be accompanied by a letter of support from the Dean or Deans of the Faculties involved. This document will be forwarded to the University Secretariat which shall maintain a record of all such Groups and Units.
- 5.00 **Centre or Institute:** Designation as a University Centre or Institute requires a more rigorous

procedure of assessment and evaluation. Applicants seeking designation as a University Centre or Institute must submit, through the Office of the Dean or Deans of the Faculties involved, a formal proposal to the Office of the Vice-President (Research). The formal proposal must follow the criteria set out in “[Items To Be Addressed In Preparing Proposals For University Centres or Institutes](#)” which is available from the Office of the Vice-President (Research).

- 5.01 Proposals must be developed in consultation with the Vice-President (Research), the Dean or Deans of the Faculties involved, the Chairs of relevant Departments, Directors of Schools, and others within the Faculty or Faculties whose expertise might contribute to the Proposal.
- 5.02 Upon approval by the Vice-President (Research), the Provost & Vice-President (Academic) and, as appropriate, the University General Counsel, the Vice-President (Research) will notify the Senate Committee on University Planning, and this information will be conveyed to the Senate and the Board of Governors for information. The University Secretariat will maintain an up-to-date record of all Centres and Institutes in operation at the University.

CONDITIONS

- 6.00 In those cases where the Centre or Institute maintains a formal governing body or board, the Dean or Deans of the relevant Faculties shall be appointed as ex officio members of such governing bodies.
- 7.00 On an annual basis, the Centre or Institute shall provide to the Dean or Deans of the Faculties involved an annual report of its activities including budgetary information. In no case shall a Centre or Institute be permitted to operate in a deficit position or to incur debt.
- 8.00 Requests for incorporation by Centres or Institutes will be entertained only in the most exceptional circumstances, and must be approved by the Board of Governors of the University. Should such approval be granted, a formal Affiliation Agreement shall be established between the Centre or Institute and the University, the terms of which are subject to the approval of the Board of Governors. It is expected that in any incorporated entity, the members of the governing board of the Centre or Institute shall be approved by the University’s Board of Governors, and/or that a majority of the members of the governing board of the Centre or Institute shall be appointed by the University.
- 9.00 All fundraising activities proposed by Centres or Institutes shall be undertaken in consultation with, and subject to the approval of the Vice-President (External) of the University. All charitable income tax receipts will be issued in the name of the University and by the University.
- 10.00 The University shall be solely responsible for the negotiation and approval of research contracts involving the Centre or Institute or its members, unless stipulated otherwise under the terms of existing Affiliation Agreements.

TERM

- 11.00 The initial term of a Centre or Institute shall not exceed three years. Additional terms, each not exceeding three years in duration, may be granted by the Vice-President (Research) in consultation with the Provost & Vice-President (Academic), and the relevant Dean or Deans, and subject to the satisfactory review of the objectives, operation and budget of the Centre or Institute. The Vice-President (Research) will notify the Senate Committee on University Planning of any renewal or expiration of the term of a Centre or Institute.

REQUESTS FOR MODIFICATIONS

- 12.00 Changes to the objectives, administration, operation, and/or funding of the Centre or Institute prior to the end of its term must be approved by the Vice-President (Research), the Provost & Vice-President (Academic) and, as appropriate, the University General Counsel.

Contact the Office of the Vice-President (Research) to obtain a copy of the most recent version of this document. (Last updated 30JAN03)

Office of the Vice-President (Research)

**ITEMS TO BE ADDRESSED IN PREPARING PROPOSALS FOR
RECOGNITION OF CENTRES AND INSTITUTES**

1. Purposes and Functions

- a) Proposed name
- b) Faculties/Departments/School or external institutions directly involved (Please provide documentation indicating support for the proposal for each or all as appropriate)
- c) Rationale and justification
- d) Primary objectives
- e) Primary academic and/or non-academic functions
- f) Expected contributions to the University's mission

2. Membership

- a) Sources, proposed period of tenure, and criteria for membership
- b) Names, institutional affiliation, qualifications, and expected contribution of principal members
- c) New faculty appointments proposed
- d) Alternative faculty workload arrangements proposed

3. Governance, Administration and Organizational Relationships

- a) Description and membership of governance structure or governing body (Note especially the CONDITIONS section in the policy dealing with respect to University representation)
- b) Frequency of meetings of governing body
- c) Names, institutional affiliations, qualifications, and responsibilities of all officers of the Centre/Institute
- d) Level of participation of external institutions in governing body, and/or administration of the Centre/Institute. (Provide evidence that necessary agreements between the University and the external institution have been approved by the University's General Counsel or have been submitted for approval and attach copy of agreement or proposed agreement)
- e) If incorporation is sought, set out reasons for incorporation as appropriate for consideration by the Board of Governors of the University

4. Students and Courses

- a) Level and type of involvement of undergraduate or graduate students in centre/institute activities
- b) If Graduate students are involved, provide documentation as appropriate indicating that consultation has occurred between the centre/institute, the School of Graduate and Postdoctoral Studies and to the Faculties/Departments/Schools involved with respect to: (i) advertizing of positions or opportunities; (ii) admissions; (iii) student support; (iv) student supervision

- c) Contribution to the development of new courses, seminars or other instructional programs (Provide documentation with respect to Faculty/Departmental/School support for new instructional initiatives) (NOTE that any and all proposed course/program additions/changes must be pursued through normal departmental/Faculty/senate channels)

5. **Physical Requirements**

- a) Space requirements at Western: (i) at start-up; (ii) within 3 years; (iii) within 6 years
- b) Space requirements at other institutions or locations as appropriate (Please provide documentation of any arrangements in place to secure such space)
- c) Demands on library, computing or other University services such as purchasing, accounting, human resources, payroll, and so forth

6. **Staffing Requirements**

- a) Requirements for administrative, and/or technical personnel support from the University
- b) Details of all proposed support staffing arrangements, as follows: For each support staff member, please indicate: i) proposed employer (e.g. University vs. Centre/Institute); ii) role or duties; iii) source of compensation. For employees of external institutions or corporations, please provide copies of agreements or draft agreements outlining the obligations of the University and the institution/corporation, respectively, vis-à-vis such employees. For employees of Centres/Institutes which are, or intend to become incorporated, please provide copies of agreements or draft agreements outlining the obligations of the University and the Centre/Institute, respectively vis-à-vis such employees

7. **Financing and Support**

- a) Summary of funding sources, including prospective fundraising, "in-kind" support requested from Faculties/Schools/Departments, central administration of the University, or external sources (at startup and for the first three years of operation). In the case of financial/in-kind support from external institutions, provide evidence that necessary agreements between the University and the external institution have been approved by the University's General Council or have been submitted for approval and attach copy of agreement or proposed agreement.
- b) Estimated total budget of the Centre/Institute (at start-up and for the first three years of operation)
- c) Proposed mechanisms for administration of funds received (including research funds)
- d) Nature and source of proposed remuneration for officers/members of the Centre/Institute, as appropriate

8. **Intellectual Property and Commercialization**

- a) Details of proposed arrangements with members (faculty, staff, or students), including members from external institutions, relating to the ownership and/or commercialization of intellectual property created through work undertaken at the Centre/Institute
- b) Details of proposed arrangements for the conduct of private sector contract research