



UNIVERSITY RESEARCH CENTRES PROCEDURE
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Procedure Type:	Academic	Initially Approved:	January 17, 2024
Procedure Sponsor:	Dean, Academic Programs	Last Revised:	January 17, 2024
Administrative Responsibility:	Graduate Studies Office	Review Scheduled:	January 2029
Approver:	President and CEO		

A. INTENT

AUArts encourages collaborative research initiatives among groups of faculty, students staff and other researchers, both internal and external to the University. Research Centres provide a clear identity and management structure for these collaborations and enable both recognition and standing for the University, relevant external funding institutions, and internal and external members of the Centre.

This procedure regulates the creation, scope, resources and responsibilities, governance and reporting structures, review, and closure of University Research Centres.

B. SCOPE

Applies to all faculty, staff, students and other researchers who conduct research, research-creation or related professional activities at the University, with University or relevant external resources, or in relation to their duties for the University.

C. PROCEDURES

1. ESTABLISHMENT, REVIEW, AND RENEWAL

- 1.1 Establishing Research Collectives/Groups
 - a) Researchers may form ongoing or *ad hoc* collectives without formal approval, but should inform the Associate Dean, Research, Internationalization and Graduate Studies (RIGS) plus the Office of Research and Academic Affairs of their operations, particularly if any assistance is required. Such informal collectives will need to request permission to use the University’s facilities, resources, name, logos and symbols in connection with their activities.
- 1.2 Establishing a Research Centre
 - a) In the first instance, a Researcher(s)/prospective Research Director(s) will discuss any proposal to establish a Research Centre with the Associate Dean: RIGS in order to ensure that an application can be facilitated and to assess any necessary administrative agreements or proposed collaborations with external organizations. The application for

approval will then be provided to the Dean, Academic Programs to ensure institutional alignment, capacity and availability of space and budgetary resources. Once agreed that the application is sufficient it will be presented to the Research Committee by the prospective Research Director.

1.3 Application

- a) If the approval of the Research Committee is secured to establish the Research Centre the General Faculties Council will be informed.
- b) Any application to the Research Committee for the establishment of a Research Centre must include the Centre's:
 - i. Proposed name.
 - ii. Description; indicating its purpose, scope of activities, and anticipated benefits and opportunities. A research mandate must also be included, which aligns with or develops existing University Strategic Goals and strategic research statements.
 - iii. Initial proposed membership; including a Research Director (and Research Co-Director where appropriate) with their agreed upon term(s). The Research Director/Co-Directors will be responsible for:
 - obtaining approval of the Director: Academic Resources and Associate Dean: RIGS for any contract;
 - submitting a written report to the Associate Dean: RIGS on the Centre's activities, including any contractual obligations entered into, once annually for the twelve months ending May 31 of each year, by no later than June 30 of each year; to be forwarded to Research Committee, for information;
 - submitting an annual financial statement showing revenues and expenditures for the twelve months ending May 31 of each year, by no later than June 30 of each year; to be forwarded to Research Committee;
 - overseeing budgetary accounts;
 - calling meetings of the membership at least once annually, responding to queries and communication requests on behalf of the Centre, and ensuring correct application of agreed governance in consultation with the Associate Dean: RIGS where action needs to be taken.
 - iv. Statement of Commitment to University and Tri-Agency policies and research ethics guidelines, in consultation with the Chair: Research Ethics Board and Associate Dean: RIGS, with the understanding that any future non-compliance may lead to the suspension or closure of the Centre.
 - v. Terms of Reference; indicating agreed objectives, types of and criteria for membership, responsibilities, mechanisms for decision-making and establishing and renewing directorships.
 - vi. The Terms of Reference and membership of any optional, voluntary advisory group that the Centre might wish to convene; in accordance with the common paradigm offered by existing University Program Advisory Committees.

- vii. Anticipated resource needs including facilities, services and supports such as library resources, technology, digital infrastructure, research data management, and any other specified university service. These resource needs should be justified, itemized, assessed and costed. If dedicated space is required, the applicants should identify how many individuals will be housed in the space, and how costs of any necessary renovation, outfitting and operations, will be supported.
 - viii. Details of formal consultation and agreement with 1) Director: Academic Resources; regarding financial management, employment contracts, record-keeping processes, and 2) Studio Manager; regarding all space and technical support questions
 - ix. Statement of alignment with existing University policy, benchmark and training requirements concerning Equity, Diversity, Inclusion and Accessibility in consultation with Executive Director: People and Culture, and Associate Dean: RIGS.
 - x. Mitigation of any legal, safety or other significant concerns in a statement from the Associate Dean RIGS.
 - xi. Intentions and expectations for student engagement
 - xii. Any additional information the applicant(s) deem necessary.
- c) Centres are normally approved for terms of five years.

2. REVIEW

- 2.1 Research Centres must provide an annual report to the Associate Dean: RIGS (once annually for the twelve months ending May 31 of each year, by no later than June 30 of each year) documenting past activities; anticipating future activities and developments; and indicating all financial support received from University and external sources including items such as research assistantships, equipment and material expenses, and other funds received competitively or by allocation.
- 2.2 These reports will be presented to the Research Committee, for information.
- 2.3 Failure to submit a report will result in review and consideration of suspension or closure of the Centre by the Research Committee. In the case that a Centre is closed, or its work suspended, the General Faculties Council will be informed.
- 2.4 Substantial changes to the name and/or purpose of a Centre must be approved by the Research Committee and Dean, Academic Programs with both GFC and the Office of Advancement being informed.
- 2.5 Discussion of issues relating to dissemination, publication, events, production of publicity materials under the imprimatur of AUArts will include consultation with the Office of Advancement where necessary.

3. RENEWAL, REVIEW AND CLOSURE

- 3.1 The term of a Research Centre may be renewed upon written request to the Associate Dean: RIGS from the Research Director at least six months prior to the expiration of the term, and will be contingent upon past performance, financial sustainability, and continuing purpose.

- 3.2 The Associate Dean: RIGS will present the request for renewal to the Research Committee, with any recommendations, which will approve its renewal conditional upon any required modifications or, alternatively, recommend its closure. This will be communicated to GFC for information.
- 3.3 The Research Committee will include the Centre's annual reports in its consideration.
- 3.4 Research Centres will undergo cyclical review normally every five (but no less than seven) years. At this point, the Centre's Research Director will provide a short account of the Centre's activities over the past five years and its intended future work. This will be reviewed, along with all previous reports from the Centre, by the Dean: Academic Programs, the Associate Dean: RIGS and the Research Committee.
- 3.5 A recommendation to suspend or close a Research Centre will be submitted by the Research Committee when it is satisfied that one or more of the criteria set out in the University's statements on research integrity enforcement have been breached in a manner sufficient to warrant temporary or permanent closure. Or:
 - a) there has been a request from the majority of the members of the Centre;
 - b) no qualified replacement Research Director can be found after a period of eighteen months;
 - c) there is evidence the Centre is unable to fulfil its declared objectives,
 - d) failure to submit adequate reports;
 - e) exhaustion of funding;
 - f) unfavourable external review outcome; or, other reason.
- 3.6 The decision to suspend or close a Centre will be taken by the Research Committee as the body responsible for its approval and review. Suspension or closure will be implemented by Associate Dean, RIGS with due regard to existing University policy and procedures, and all legal and financial obligations.

D. DEFINITIONS

- Research Centres:** means formal research organizations established for the purposes of facilitating collaborative research mainly within the University and are led by one or more faculty, around a field of research that the Centre defines for itself. It may take the form of a lab or studio that also facilitates collaborative multi-university initiatives and provides research-related services to the community. Members may include faculty, students, staff and other researchers based in Canada or abroad. Research Centres have the right to use the University's name, logos and symbols in connection with its activities and to solicit external grants and contracts in the University's name.
- Research Committee:** means the Research Committee of the General Faculties Council delegated authority by General Faculties Council to oversee Research Centres.

Research Collectives: and similarly named entities, such as groups, labs, or studios, means informal, self-managed, faculty-led research organizations, which may be recognized and publicized by AUArts. Such bodies will request permission any use of the University’s name, logos and symbols in connection with their activities.

Research Director: (or Research Co-Director) means the administrator(s) and/or research lead(s) for a centre or institute, appointed by the Associate Dean RIGS.

E. RELATED POLICIES

- Research Ethics Board Procedure

F. RELATED DOCUMENTS

- Research Centre Application Form

G. REVISION HISTORY

Date (mm/dd/yyyy)	Description of Change	Sections	Person who Entered Revision (Position Title)	Person who Authorized Revision (Position Title)
January 17, 2024	New Procedure	All	Associate Dean, Research, Internationalization and Graduate Studies	Dean, Academic Programs