Policy and Procedures for Research Centres and Institutes in the Faculty of Education, UBC

Updated November 30, 2017

Background and Context

The current document outlines 'Policy and Procedures' concerning the establishment and governance of Research Centres and Institutes within the Faculty of Education at The University of British Columbia. This document represents an update of the Faculty's 2007 'Guidelines and Policies' document (see http://ogpr-educ.sites.olt.ubc.ca/files/2013/04/Final-Centres-Guidelines-September-2007-Rev4_withwarning.pdf). A recent review of Centres and Institutes (September 2017) highlighted the need for the Faculty to provide clearer delineation between Faculty 'Research Centres' and 'Institutes'. This policy document aims to do so, and reflects the changing nature of Centres and Institutes within the Faculty, both in terms of their foci and structures. With regard to re-examining structures, in 2002 the Faculty of Education implemented an organizational structure called a Network of Centres and Institutes in Education (NCIE), which was designed to "provide a coordinating function among the Centres and Institutes, to plan and promote common activities such as seminars and conferences, and to share resources among the Centres such as secretarial services, access to computing facilities, and office space for visiting scholars." The NCIE was disbanded in May 2011. As such, it is critical that the Faculty's policies and procedures reflect the current organizational structure of Centres within the Faculty, in order to maximally support Centre/Institute members in their research, knowledge mobilization, and outreach activities.

This document is the result of consultation with the (a) Dean's Advisory Committee for Research (DACR) within the Faculty of Education, (b) the professoriate within the Faculty of Education, and (c) the Dean's Office. This document also draws directly from the UBC guidelines related to Centres and Institutes (see https://senate.ubc.ca/vancouver/policies/status-institutes-centres), and was also informed by consultation with Kyle McCleery (UBC Academic Governance Officer, Office of the Senate), Paul Harrison (Chair of UBC-V Senate Academic Policy Committee) and Stephanie Oldford (UBC Academic Governance Officer, Office of the Senate).

In the following section, the characteristics of Research Centres and Institutes (within the Faculty of Education) are first specified. In the subsequent section, the Faculty's procedures designed to support their establishment and governance are then outlined. In sum, these procedures articulate how the Faculty's policy concerning Research Centres and Institutes are to be operationalized.

Characteristics of Research Centres and Institutes within the Faculty of Education

Characteristics of Research Centres

At UBC-V, Research Centres fall into one of two categories: (1) Research Centres that exist within one disciplinary Faculty, and (2) Research Centres that represent an affiliation of Faculties across traditional Faculty boundaries. Although the two types of Centre share most characteristics, any differences in establishment and governance are specified in Section 3.

1. **A Research Centre:**
    1.1. Fosters ongoing collaborative research (often, although not always, of an interdisciplinary or inter-Faculty nature), and serves as an incubator for nurturing high quality research.
    1.2. Brings together a critical mass of scholars from several disciplines and areas of specialization.
    1.3. May exist for an extended period of time.
    1.4. Offers an institutional platform from which to apply for grant support or for financial support outside of UBC.
    1.5. Provides a means of fostering cooperation between scholars in the same research area at other universities, institutions, community, private sector, etc.
    1.6. Provides a means to sponsor and organize interdisciplinary and cross faculty knowledge mobilization activities; including conferences, symposia, colloquia and research workshops.
    1.7. Attracts post-doctoral fellows, visiting professors, adjunct professors and other scholars wishing to undertake high quality research at UBC.
    1.8. Has a project or theme-based mandate that focuses on scholarly or scientific investigation or inquiry; often associated with substantive internal or external grants.
    1.9. Involves mentorship and training of highly qualified personnel (HQP) including, but not limited to, graduate and undergraduate students and post-doctoral researchers.
    1.10. Provides a catalytic function in that they enable participants to engage in projects and activities that would not be possible for individuals acting on their own.
    1.11. Does not offer academic programs via credit-based courses.

Characteristics of Institutes

Senate guidelines permit both inter-Faculty Institutes as well as single-Faculty Institutes. The characteristics of Institutes, as well as procedures for their establishment and governance, described in this document relate to single-Faculty Institutes. To date, the Faculty of Education has not supported inter-Faculty Institutes, and as part of its strategic planning has not proposed such Inter-Faculty Institutes. As such, the policies and procedures outlined in this document are concerned solely with single-Faculty Institutes within the Faculty of Education.

2. **An Institute:**
    2.1. Has a theme-based mandate (e.g., Indigenous Education Institute of Canada) that focuses on scholarly or scientific investigation or inquiry; often associated with the provision of programs and courses (for academic credit) within the Faculty. Any courses and programs should be offered in accordance with the mandates of the Faculty and respective

Departments and School.

2.2. Are considered a core academic 'unit' within the Faculty.

2.3. Involves external funding (e.g., research grant funding) as well as the Faculty's base operating budget (e.g., operating budget tied to program and academic course provision).

2.4. Has appropriate administrative personnel appointed, including a Director[1]. The Director, in consultation with the Dean and Heads of Department, will appoint those administrative personnel.

2.5. May have Faculty members appointed part-time provided that such members also hold an appointment to the Faculty.

Non-Research Centres within the Faculty of Education

While a characteristic function of most Centres is a focus on the promotion of particular research agendas, some Centres may provide other service functions to the Faculty and community (e.g., teaching, testing services). Such non-research units are not the focus of this 'Policy' document.

Procedures for the Establishment of Research Centres and Institutes

3. For New Faculty of Education Research Centres, the following Implementation procedures apply:

3.1. Proposals for the establishment of new Research Centres may be initiated by a group of faculty members within the Faculty of Education, possibly in collaboration with community groups external to the University or faculty members from other Faculties. The proposal will outline the interest/focus of the Centre and the purpose(s) for creating the Centre; provide a rationale for why this unit would be in the long term interests of the Faculty indicating how the activities of this Centre fit with and promote the mission statement of the Faculty; provide an analysis of the resource requirements and a specific budget for the unit; identify funding sources for the unit including a grant base for the Centre, expectations of outside funding, matching funds or something similar; and identify Faculty members who are involved or may be interested in the purpose of the Centre.

3.2. These faculty members should initially consult with the Dean and the relevant Associate Deans (for Research, Indigenous Education, Teacher Education, etc.) appropriate to the nature and type of Research Centre being considered. The purpose of this consultation will be to provide preliminary feedback concerning the proposed Centre, its potential fit with current and future Faculty directions, its financial viability and any other matters considered important to the long term interests of the Faculty. Upon approval from the Dean, an Implementation Committee should be established composed of faculty members expressing an interest in creating the Centre along with other appropriate persons recommended by the Dean or one of the Associate Deans.

3.3. The Implementation Committee should consult with the Departments and School, and

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[1] Institute Directors will fulfill a similar function to Research Centre Directors by providing oversight for the governance of the Institute. However, unlike Research Centre Directors, the Director of an Institute may also provide oversight for the implementation of the collective agreement involving Institute members.

other appropriate units and individuals for feedback before submitting the proposal for formal consideration by the Faculty. This feedback could include issues such as shared resources, space requirements, overlap with existing Centres and any other matters considered important by those undertaking the review.

3.4. A proposal for a new Research Centre developed by an Implementation Committee should be reviewed by the Associate Dean for Research and Dean's Advisory Committee for Research for overlap with existing initiatives, and consideration of complementary versus competitive or duplicative efforts in research and for consideration of appropriate resources.

3.5. The Proposal for a new Research Centre must receive a majority vote in a Faculty Meeting as well as the approval of the Dean.

3.6. Centres will be approved for an initial 3-year period. Renewals will be granted by the Dean, contingent on the success of Research Centres in meeting their mandates and agreed-upon objectives (determined via the annual review process).

3.7. There is no requirement for a single-Faculty Research Centre to receive Senate approval.

4. For New Inter-Faculty Research Centres the following implementation procedures apply:

4.1. Proposals for the establishment of inter-Faculty Research Centres can be initiated by a group of faculty members and coordinated by the Deans of the proposing Faculties.

4.2. An Implementation Committee to develop a new Research Centre should include those faculty members expressing interest in an affiliation to develop an inter-Faculty Centre (the proposing Faculties), and other appropriate persons recommended by the Deans of the proposing Faculties.

4.3. The Implementation Committee should be chaired by a Dean of a proposing Faculty and determine an appropriate host Faculty for the Centre.

4.4. A proposal for a new inter-Faculty Centre developed by an Implementation Committee should be reviewed by all Faculties, and the University Librarian, for overlap with existing initiatives, and consideration of complementary versus competitive or duplicative efforts in research, teaching and community linkages. Additional consultation may be required depending upon the nature of the Centre being proposed. Contacting the Senate Secretariat for advice prior to the development of a formal proposal is advised.

4.5. A proposal for a new inter-Faculty Centre should be approved by the Committee of Deans prior to submission to Senate.

4.6. Once approved by the Committee of Deans, a proposal for a new Centre should go forward to Senate for academic approval via the Senate Academic Policy Committee.

5. For New Faculty of Education Institutes the following implementation procedures apply:

5.1. Proposals for the establishment of new Institutes may be initiated by a group of faculty members within the Faculty of Education, possibly in collaboration with community groups external to the University or faculty members from other Faculties. The proposal will outline the interest/focus of the Institute and the purpose(s) for creating the Institute; provide a rationale for why this unit would be in the long term interests of the Faculty indicating how the activities of this Institute fit with and promote the mission statement of the Faculty; provide an analysis of the resource requirements and a specific budget for

the unit (including base operating budget in relation to programing, courses, and so forth); expectations of outside funding, matching funds or something similar; and identify faculty members who are involved or may be interested in the purpose of the Institute.

5.2. These faculty members should initially consult with the Dean and the relevant Associate Dean (for Indigenous Education, Teacher Education, etc.) appropriate to the nature and type of Institute being considered. The purpose of this consultation will be to provide preliminary feedback concerning the proposed Institute, its potential fit with current and future Faculty directions, its financial viability and any other matters considered important to the long term interests of the Faculty. Upon approval from the Dean, an Implementation Committee should be established composed of faculty members expressing an interest in creating the Institute along with other appropriate persons recommended by the Dean or one of the Associate Deans.

5.3. The Implementation Committee should consult with the Departments and School, and other appropriate units and individuals for feedback before submitting the proposal for more formal consideration by the Faculty. This feedback could include issues related to shared resources, space requirements, overlap with existing units (e.g., Research Centres) and any other matters considered important by those undertaking the review. Additional consultation may be required depending upon the nature of the Institute being proposed. Contacting the Senate Secretariat for advice prior to the development of a formal proposal is advised.

5.4. A proposal for a new Institute developed by an Implementation Committee should be reviewed by the Dean for overlap with existing initiatives, and consideration of complementary versus competitive or duplicative efforts and for consideration of appropriate resources.

5.5. The Proposal for a new Institute must receive a majority vote in a Faculty Meeting as well as approval by the Dean.

5.6. Institutes will be approved for an initial 5-year period. Renewals of Institutes will be based on a subsequent review of Institutes every 5 years.

5.7. A proposal for a new Institute should go forward to Senate for academic approval via the Senate Academic Policy Committee.

Procedures for the Governance of Research Centres and Institutes

6. For Faculty of Education Research Centres the following governance procedures apply:

6.1. The governance of a Faculty Centre should be provided by a Director[2] appointed by the Dean. The Director should be involved in 'research' as part of their regular employment contract at UBC (i.e., Full member of the Faculty of Graduate and Postgraduate Studies).

6.2. An Advisory/Steering committee will be appointed and will normally consist of representatives from the proposing units, the Centre Director, and other participants as

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[2] Note: The title 'Director' is used in different ways at UBC. In some of the professional 'schools' (e.g., Kinesiology, Nursing, Vancouver School of Economics) and institutes (e.g. Liu Institute for Global Issues, Institute of Asian Research), Directors play a leading role in implementing the collective agreement as well as governance. Although Research Centre Directors are involved in Research Centre governance, they are typically not involved in providing oversight for the implementation of the University's collective agreement.

deemed necessary and appropriate by the Dean. The Advisory/Steering Committee may derive from the initial Implementation Committee, or may be constituted by different members. The Advisory/Steering Committee should have the following specific responsibilities: to provide the Director, the Dean or Dean's designate (e.g., Associate Dean for Research), and the Dean's Advisory Committee for Research with advice on the strategic direction and management of the Centre; to approve a report including a projected 3-year unit-based plan that will clearly identify their mandate, objectives, resource needs, and assessment plans; to recommend an annual budget.

6.3. When a change in Directorship is required, the Dean will appoint an interim or replacement Director. Normally, the Dean will consult with the Implementation Committee (in the case of new Centres) or the Advisory/Steering Committee (in the case of existing Centres). The Director for the Centre will usually be appointed for a term of up to three years, but may also be renewed for subsequent 3-year term(s), at the behest of the Dean.

6.4. The Director will report to the Associate Dean for Research.

6.5. The Research Centre must have a management plan that includes a mandate, sources of funding, and a schedule for review. These recommendations come into force when a new Centre is proposed, and inform the review of an existing Centre.

6.6. A periodic review of all Research Centres will take place every three years. Reports on Centre activities will be submitted by Directors to the Associate Dean for Research.

6.7. The periodic review of Research Centres will conform to common university practice. As a result of such a review, the Dean (following consultation with the Associate Dean for Research and Dean's Advisory Committee for Research) may determine that a Research Centre may continue as a Research Centre, be considered for transition to another type of unit, or be discontinued as appropriate.

7. For Inter-Faculty Research Centres the following governance procedures apply:

7.1. The governance of an inter-Faculty Centre should be provided by an Advisory/Steering Committee of representatives from proposing Faculties, be chaired by the Dean (or designate) of the host faculty, and include the Director and other participants as deemed appropriate.

7.2. The Advisory/Steering Committee should have the following specific responsibilities: to recommend the appointment of a Director of Centre on the advice of an appropriately constituted search committee; to provide the Dean of the host Faculty and the Director with advice on the strategic direction and management of the Centre; to approve an annual report including a three-year unit-based plan; to approve an annual budget.

7.3. For most inter-faculty Research Centres, the Director will report to the Chair of the Advisory/Steering Committee.

7.4. The Research Centre Director should be involved in 'research' as part of their regular employment contract at UBC (e.g., Full member of the Faculty of Graduate and Postgraduate Studies).

7.5. A periodic review of all Research Centres will take place every three years. Reports will be submitted to the relevant Associate Deans of the respective Faculties.

7.6. Reviews of Inter-faculty Research Centres will conform to common university practice, and provide for the disestablishment of a Centre, when appropriate.

7.7. These recommendations come into force when a new Centre is proposed, and inform the review of an existing Centre.

8. For Faculty of Education Institutes the following governance procedures apply:

8.1. The governance of a Faculty Institute should be provided by a Director, or in some instances a Dean's designate (e.g., Associate Dean, Indigenous Education) appointed by the Dean.

8.2. An Advisory/Steering committee will be appointed and will normally consist of representatives from the proposing units, an Associate Dean or Dean's designate, the Institute Director, and other participants as deemed necessary and appropriate by the Dean. The Advisory/Steering Committee should have the following specific responsibilities: to provide the Director and Dean with advice on the strategic direction and management of the Institute; to oversee and approve the reporting procedures tied to the programmatic activities of the Institute in relation to its mandate, objectives, resource needs, and assessment plans; to recommend an annual budget.

8.3. When a change in Directorship is required, the Dean will appoint an interim or replacement Director. Normally, the Dean will consult with the Implementation Committee (in the case of new Institutes) or the Advisory/Steering Committee (in the case of existing Institutes). The Director for the Institute will usually be appointed for a term of up to 5 years, but may also be renewed for subsequent 5-year term(s), at the behest of the Dean.

8.4. The Director will report to the Dean.

8.5. The Institute must have a management plan that includes a mandate, sources of funding, and a schedule for review. As a result of such a review, the Dean may determine that an Institute may continue as an Institute, be considered for transition to another type of unit, or be discontinued as appropriate.

8.6. A periodic review of all Faculty Institutes will take place every 5 years. Reports will be submitted to the Dean.

8.7. Reviews of Faculty Institutes will conform to common university practice, and provide for the closure of an Institute, when appropriate.

Review Procedures for Centres and Institutes

9. For Faculty of Education Research Centres and Institutes the following review procedures apply:

9.1 Centres and Institutes will undergo several types of review processes. The first will be the review process involved in proposing and securing approval for the initiation of a Centre or Institute as described in the sections on Establishment of New Centres or Institutes

above.

9.2   A second type of review will be the a periodic review undertaken by the Advisory/Steering committee of each Centre or Institute, culminating in a report for the Associate Dean and Dean, signed off by the Dean and posted on the unit's website. Periodic reviews will take place every 3 years for Research Centres and 5 years for Institutes. Resources from the Faculty and the use of those resources must be clearly identified in these annual reports. The terms of reference for these reviews will be established by the Dean or designate in consultation with appropriate individuals and groups. The Dean or designate will review the Centre/Institute reports, culminating in a Faculty-wide report of all Centre/Institute activities.

9.3   Special reviews may be instituted by the Dean in instances where there are concerns by the Dean regarding the continued viability of a Centre or Institutes with respect to: fulfilling its mandate, serving the general interests and mission of the Faculty, and/or a failure to satisfy the basic characteristics and responsibilities of Centres and Institutes outlined above.

Closure of Centres and Institutes

10. For the Faculty of Education the following procedures apply in relation to the closure of Research Centres and Institutes:

10.1 One of the functions of the review procedures outlined in the section above, will be to provide evidence as to whether the Centre or Institute is fulfilling its mandate and whether it is still relevant to the core aims and mission of the Faculty. If there are concerns, these should be expressed in writing by the Dean or Dean's designate to the Director of the Centre or Institute. The Director should be provided with an opportunity to respond and address these concerns within an appropriate timeline. As a result of these consultations a reasonable timeline and an agreed upon process should be put in place to either resolve the concerns or to dissolve the Centre or Institute.

APPENDIX A

List of Current Research Centres and Institutes in the Faculty of Education

Institute for Early Childhood Education and Research (IECER)
Centre for the Study of Teacher Education (CSTE)
Centre for Interdisciplinary Research and Collaboration in Autism (CIRCA)
Centre for Group Counselling and Trauma (CGCT)
Centre for Culture, Identity and Education (CCIE)
Edudata
Psychoeducational Research and Training Centre (PRTC)
Centre for Sport and Sustainability (CSS)
Indigenous Education Institute of Canada (IEIC)