

## **1.0 Purpose**

- 1.1 To provide a policy for the establishment, governance, management and termination of Entities at the University of New Brunswick (“University”).
- 1.2 The principal objective of Research Institutes and Centres (collectively “Entities”) shall be to conduct research in a specialized field accomplished through a collaborative effort involving a group of researchers. The research to be conducted will be in a field of particular importance to the province, region and/or nation, or in which there exists an unusual strength of resources at the University. In considering the creation of a new Research Institute or Centre, consideration shall be given to existing research organizations in the region which may have related interests. Only where there are demonstrable advantages to be gained and where there is sufficient intensity of research effort, should a new Research Institute or Centre be proposed.

## **2.0 Applicability**

- 2.1 This policy applies to all University-based Entities.
- 2.2 A significant component of the activity of such entities is mission-oriented, involving the participation of external stakeholders in the design, management, financing, and assessment of their activities.
  - 2.2.1 This policy is premised on the following principles:
    - 2.2.1.1 The activities of such Entities are beneficial to the University and to the community as a whole, notably in their:
      - Problem-orientation;
      - Capacity to form creative partnerships inside and outside the University;
      - Capacity to attract supplementary funding in support of their research programs; and
      - Contribution to the educational, research, and public service missions of the University
    - 2.2.1.2 It is desirable that these activities be based on effective planning and on accountability to the University, as well as to their internal or external stakeholders.
    - 2.2.1.3 It is desirable that any initiative to increase or regularize planning and accountability requirements of these entities be undertaken with a view to enabling research efforts and partnerships, while minimizing additional workloads.

- 2.2.1.4 It is desirable that there be sufficient flexibility in the application of this policy to allow for the variety of circumstances that such Entities encounter.
- 2.2.2 The objective of this policy is not to add to the administrative burdens of such Entities, nor is it to impose a restrictive template on their activities. The primary objective is to establish conditions that will enable them to:
  - 2.2.2.1 Plan effectively;
  - 2.2.2.2 Communicate effectively with relevant constituencies within and outside the University;
  - 2.2.2.3 Report effectively, and in a timely fashion;
  - 2.2.2.4 Be sustainable, financially and in the quality of their research and other activities;
  - 2.2.2.5 Contribute in the greatest possible measure to the overall quality of the University's efforts in education, research, and public service; and
  - 2.2.2.6 Mitigate the University's exposure to financial and legal liabilities.

### **3.0 Definitions**

- 3.1 RESEARCH INSTITUTE: A Research Institute is an organization constituted by the appropriate Campus Senate(s) and the Board of Governors of the University to undertake interdisciplinary research involving more than one Faculty or school. Research Institutes shall not be nor considered to be academic units.
- 3.2 RESEARCH CENTRE: A Research Centre is an organization constituted by the appropriate Campus Senate(s) and the Board of Governors of the University to undertake research in a specific discipline or interdisciplinary area within a Faculty or school but not to the exclusion of other related disciplines. Such Research Centres shall not be nor considered to be academic units.
- 3.3 RESEARCH DATE OF FOUNDING: The date that such Entities receive the final approval required for its inception.

### **4.0 Implementation**

- 4.1 ESTABLISHMENT OF RESEARCH INSTITUTES AND CENTRES: The establishment of such Entities shall follow the following process:
  - 4.1.1 A preliminary proposal must be submitted to the Vice-President (Research), including letters of support and commitment from the appropriate Department Chairs and Deans. Normally, approaches for external financial support should not

precede the submission of a preliminary proposal. The Vice-President (Research) shall provide a copy of the preliminary proposal to the Vice-President (Fredericton-Academic) and/or the Vice-President (Saint John) upon receipt, dependent upon the campus(es) involved. The Vice-President (Research) shall seek counsel from the Vice-President (Fredericton-Academic) and/or the Vice-President (Saint John) and any other parties they may deem appropriate. The Vice-President (Research) may reject the preliminary proposal or seek clarification on any point or points contained in the preliminary proposal from the proponents.

4.1.2 Upon acceptance of the preliminary proposal by the Vice-President (Research), the proponents may then prepare a Detailed Proposal for the creation of the institute or centre. The Vice-President (Research) may require the proponents to address specific issues in the Detailed Proposal not identified in the list proved herein, below. The Detailed Proposal shall include, at a minimum:

- A research plan
- A statement of projected revenues and expenditures, for at least three years
- An indication of specific outside financial support, if relevant
- A discussion of the net value of the endeavour to the University
- A staffing plan
- Space and infrastructure requirements with a plan detailing how these requirements will be met
- A list of proposed milestones by which the success of the institute or centre can be judged in each of its first three years of existence.
- A strategy for securing additional revenues, if relevant
- A list of individuals prepared to act as its advisory board
- An evaluation of the impact on previously assigned or historical teaching, research and service obligations to the University
- Accompanying letters of support for the detailed proposal from the Chair(s) and Dean(s)

4.1.3 The completed Detailed Proposal shall be submitted to the Vice-President (Research) for evaluation. The Vice-President (Research) shall provide a copy of the detailed proposal to the Vice-President (Fredericton-Academic) and/or the Vice-President (Saint John) on receipt, dependent upon the campus(es) involved. The Vice-President (Research) shall seek counsel from the Vice-President (Fredericton-Academic) and/or the Vice-President (Saint John) and any other parties they deem

appropriate. The Vice-President (Research) may seek clarification on any point or points contained in the detailed proposal from the proponents.

4.1.4 Upon acceptance of the detailed proposal, the Vice-President (Research) shall refer the proposal to the Senates' Academic Planning Committee (APC) in Fredericton and/or the Academic Planning and Resources Committee (AP&R) in Saint John for consideration and recommendation to Senate.

4.1.5 The APC and/or AP&R may reject the detailed proposal or seek clarification on any point or points contained in the proposal from the proponents.

4.1.6 Upon acceptance of the detailed proposal, the APC and/or AP&R shall provide its/their recommendation to the Senate(s) for consideration and approval and to the Board of Governors for their information and approval.

**5.0 Structure, Planning and Accountability:** To enhance the planning, accountability, and efficiency of operation of such Entities:

5.1 Each Research Institute shall be operationally and financially responsible to the University through the Vice-President (Research). In addition to keeping the Vice-President (Research) informed of its activities, operations and financial status, copies of the annual reports as required herein under Section 5.4, shall also be provided to the Dean(s) of involved Faculties and the related campus Vice-President(s) on a timely basis.

5.2 Each Research Centre shall be operationally and financially responsible to the University through the Dean of the constituting Faculty or school and therefore to the Vice-President (Fredericton-Academic) or the Vice-President (Saint John). In addition to keeping the Dean and the related campus Vice-President informed of its activities, operations and financial status, copies of the annual reports as required herein under Section 5.4, shall also be provided to the Vice-President (Research) on a timely basis.

5.3 In addition, both Research Institutes and Centres shall:

5.3.1 Appoint a Director, who shall serve on a term basis, the length of which shall be determined by the Entity and subject to renewal. The appointment shall be made by the Vice-President (Research) who shall choose from candidates nominated by those researchers who are involved in the institute or centre. The desired appointment or renewal shall be communicated directly to the Vice-President (Research) in the case of a Research Institute and through the Dean in the case of a Centre.

- Each Research Institute Director shall be responsible to and shall report to the Vice-President (Research) who shall keep the appropriate Dean(s) and campus Vice-Presidents informed of activities of the Research Institute; normally such

reports will be via the entity's annual report as required herein under Section 5.4, however, any issues which could materially impact the functioning of the entity must be reported in a timely fashion.

- Each Research Centre Director shall report to a designated Dean, who shall keep the Vice-President (Research) and the related campus Vice-President informed of activities of the centre; normally such reports will be via the entity's annual report as required herein under Section 5.4, however, any issues which could materially impact the functioning of the entity must be reported in a timely fashion.

5.3.2 Appoint an advisory board, which will meet at least once annually. The advisory board shall provide guidance to the entity via its director and participating faculty members on all aspects of its operation;

5.3.3 Prepare a five year strategic plan, updated at three year intervals that shall be submitted with its annual report;

5.3.4 Submit an annual report based on an April 30 year end by August 1 of each year based on a format compatible with the "Form" attached to this guideline;

5.3.5 Be reviewed in conformity with the University's Quality Assurance Program;

5.4 SUSTAINABILITY OF OPERATIONS: While each such Entity will have its own life cycle and set of expectations, depending on its objectives and partnership agreements, the following principles are designed to ensure that they are sustainable and bring a positive net benefit to the University in its research, teaching, and community service activities.

5.4.1 Each such Entity shall be responsible for obtaining sufficient revenue from grants, contracts, contract overhead, or other means to offset its direct costs of operation; these efforts shall be supported by the Vice-President (Research).

5.4.2 Consistent with operational and financial accountability outlined in Sections 5.1 and 5.2, financial shortfalls for Research Institutes should be mitigated within the Institute and, if unsuccessful, are the responsibility of the Vice-President (Research). Financial shortfalls for Research Centres should be mitigated within the Centre and, if unsuccessful, are the responsibility of the Dean and related campus Vice-President.

5.4.3 Entities will participate in the sharing of overheads according to University policy and/or guidelines. For up to five years following their Date of Founding, the University may negotiate flexibility within this policy in order to assist such Entities become established.

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- 5.4.4 In recognition that certain Entities may bring extraordinary net benefits to the University, over and above their primary targeted activities, the University may on an exceptional basis contribute toward their infrastructure costs.
  - 5.4.5 Such Entities are subject to the normal balance forward policies, guidelines and procedures of the University. Those funded from research and/or contract accounts shall carry forward all positive or negative balances. Any negative balances to be carried forward must be reported via a written plan detailing how the Entity intends to resolve the financial shortfall. Such plans must be approved through the Entity's reporting lines as detailed above in Sections 5.1 or 5.2. Those funded through the operating accounts shall be subject to the Campus guidelines on budget carry forward available on the University Policy Repository.
  - 5.4.6 Should a research institute or centre fail to achieve its research or financial objectives on a continuing basis, the University may cause a review of its ongoing viability at such time as is deemed appropriate.

**6.0 Education:** All Entities shall play an active role in the educational function of the University. To this end, all members of such entities who hold regular faculty appointments are expected to teach and/or provide graduate student supervision within the terms of their appointment. Members, who hold positions within such entities may, if appropriate, teach and/or provide graduate student supervision when this is in accord with the needs and aims of the entity. The participation of graduate or undergraduate students in research programs of the entity shall be encouraged. Graduate students may undertake thesis research in institutes and centres under the supervision of appropriate staff members who hold faculty appointments.

**7.0 Undertaking of Risk Ventures:** In certain circumstances, it may be desirable for such Entities to collaborate with an internal or external partner in order to enhance or further a particular project or endeavour. To the extent that this collaboration includes the requirement for financial contributions by the Entity and/or the assumption of some form of business risk, the following provisions apply:

- 7.1 Financial contributions by the Entity will be recovered from future income streams or funded from accumulated surplus funds. For example, if normal fees over and above direct costs were waived, it would be expected that these fees would be recovered with supplementary contributions to recognize the time value of money and the associated risks involved.
- 7.2 For ventures initiated from Research Institutes, the particulars of each venture shall be documented and forwarded to the Vice-President (Research) for review of the risk and, as appropriate, approval. For ventures initiated from Research Centres, the particulars of each

venture shall be documented and forwarded through the Dean and Vice-President (Research) to the related campus Vice-President for review of the risk and, as appropriate, approval.

- 7.3 The endeavour in question must be based on intellectual property that originated with University researchers or there must be further research and development to be carried out, at the University, preferably involving graduate students.
- 7.4 The Vice-President (Research) may provide funding support to the venture under terms deemed appropriate and in keeping with sound fiscal practice.
- 7.5 Each venture shall be explicitly reported upon in the annual report as outlined in Section 5.4.
- 7.6 The University will accept no more potential liability from the venture than is commensurate with the anticipated financial return.
- 7.7 For each venture there must be a written agreement between the University and the partner(s) spelling out the financial arrangements, the indemnifications, use of results for academic purposes, rights to publish, ownership proportions for shared intellectual property, consequences of default, etc. either prepared by or, if submitted by others, approved by the Vice-President (Research), prior to commencement of the venture.
- 7.8 The University's credibility as an impartial and reputable provider of reliable testing and research services shall not be compromised by any such venture.
- 7.9 Client(s) benefiting from such collaboration contemplated by this policy are not, without prior written agreement, entitled to use the University's name or its logos and trademarks in any way as to imply the University's endorsement of its products and services.

## **8.0 Termination of Institutes and Centres**

In the event that it becomes necessary to terminate a research institute or centre, the decision to do so shall be considered by the University Management Committee (UMC). The UMC shall then make a recommendation to the APC and/or AP&R for consideration and recommendation to the Senate(s) for consideration and recommendation to the Board of Governors. That recommendation shall then go to the Board of Governors for consideration and a decision.

## **9.0 Interpretation and Questions**

For further information please contact:

Office of Vice-President (Research)

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