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Name: Senate By-Laws Governing the Establishment, Reporting and Review of Research Institutes and Centres at Saint Mary's University

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1. Preamble

Saint Mary's University supports the establishment and continuing life of institutes and centres when these give promise of achieving objectives unlikely to be realized through existing structures or less formal arrangements. Such bodies will vary in type and structure depending on the objectives they are designed to accomplish and the scope of their activities. Some will require more formal organization than others, but some orderly set of procedures for their establishing, reporting and review is necessary. These procedures are set forth in the following paragraphs. Each institute or centre will in addition be governed by the terms of its own constitution, but will report to Senate and may be terminated by Senate. An institute is an organization which has research as its main concern. A centre will have a broader educational function including teaching and research as its main concerns.

The steps to establish an institute or centre officially sanctioned by Senate consist of the following:

- Initial request discussed with Dean and submitted to Academic Planning Committee
- Initial request reviewed and supported by Academic Planning Committee
- Development of preliminary proposal, to include stakeholder consultation
- Discussion at Academic Planning Committee and feedback provided
- Feedback addressed and incorporated into a final proposal
- Academic Planning Committee supports the final proposal and submits it to Senate for consideration for approval.

Once established, review processes will be followed.

2. The Establishment Of Institutes And Centres

2.1 Initial Request

An initial request to establish an institute or centre must be reviewed with the respective Dean prior to submission to the Vice President, Academic & Research. If more than one Dean is involved, the Vice President, Academic & Research may appoint a Dean to lead the response to the request. The request will be submitted to the Academic Planning Committee. Based on the discussion with Academic Planning, the Dean will provide information and advice to the sponsors. The sponsors will then decide whether to proceed to draft a preliminary proposal.

2.2 The Preliminary Proposal

In drafting the preliminary proposal, the sponsors should provide sufficient detail about the merits and framework of the proposal to allow the Academic Planning Committee to properly consider it. Appendix 1 provides guidance to the content of the proposal. The level of detail submitted at this stage may be less than required for the final proposal. Consultation should take place with other members of the university who would be directly affected by the creation of the proposed institute or centre. Faculty will be informed about the preliminary proposal and will have an opportunity to comment on the proposal. The Academic Planning Committee may ask for amplification and suggest modification to the proposal and may then recommend that the sponsors proceed with their application or that they withdraw it. The decision whether or not to proceed with the proposal lies with the sponsors.

2.3 Preparation Of The Proposal

The proposal prepared for the consideration of the Senate should be a revised and extended version of the preliminary proposal plus any additional documentation as may seem desirable. Material arising out of discussions with the Academic Planning Committee should be incorporated in the proposal. The proposal will be submitted to the Academic Planning Committee. Once the Academic Planning Committee has reviewed the proposal, it will forward the proposal with its comments to Senate for consideration.

2.4 Senate Approval

The final proposal will be submitted to Senate for its approval.

2.5 Implementation

Implementation of the various phases of the program of the institute or centre must follow all established policies and procedures of the university, including but not limited to hiring, procurement, financial reporting and accounting, health and safety, research agreements, research integrity, etc.

3. Liaison, Reporting And Review Procedures For Institutes And Centres

3.1 Liaison

It shall be the responsibility of the director of the institute or centre to maintain effective liaison with the university administration through the Vice President, Academic & Research, or his/her designate, in order to facilitate the exchange of information and in order that the activities of the institute shall operate in a manner consistent with university policy where so established. This liaison will apply to such matters as advertising and communications, appeals for funds, negotiations concerning contract research, grants from funding bodies and patents.

In addition, the director of the institute or centre is encouraged to maintain effective liaison with the Dean, faculty and department chairpersons wherever desirable or appropriate.

3.2 Reporting Procedures

By October 1st of each year, the director of each institute or centre shall submit an annual report through the Vice President, Academic & Research. The report will follow the format prescribed by the Academic Planning Committee (see Appendix 2), and will contain information on the activities of the past year and a plan of operation for the forthcoming year. The report will be referred to the Academic Planning Committee for recommendation to Senate for consideration for approval.

3.3 Review Procedures

a. Newly established centres and institutes:

At the end of three academic years, the operations of the institute or centre shall be examined by the Academic Planning Committee. By October 1 of the fourth academic year of operation, the director will submit through the Vice President, Academic & Research, a self-study of the institute or centre following the format prescribed by the Academic Planning Committee (see Appendix 3). The Academic Planning Committee will undertake its examination of the institute or centre in a timely manner. The

director of the institute or centre may be asked to appear before the Academic Planning Committee as part of the examination of the institute or centre. The committee may make suggestions to the institute or centre and will normally recommend to Senate either:

- i) that the institute or centre be authorized to continue, with a review at the end of the next three-year period, or
- ii) that the institute or centre be assigned a probationary status for a period of one year during which they must address issues and/or concerns identified by the Academic Planning Committee, and
 - a) respond to the Academic Planning Committee within 60 calendar days upon notice of the probationary status with a plan on how to address issues and/or concerns, and
 - b) report to the Academic Planning Committee by the end of the probationary period on how the issue and/or concerns have been addressed, or
- iii) that the institute or centre be phased out of existence over a period defined by the committee.

b. Established Centres and Institutes:

For centres and institutes which have been operating for some time, Academic Planning Committee will identify those for which a review every 5 years is acceptable. The process for the 5 year review is the same as described above for the 3 year review of new centres and institutes.

c. Early Reviews:

Should the need arise, the Academic Planning Committee may request a review of an institute or centre at any time.

4. Request For Modifications

As the Centre or Institute's experience grows, or as situations change, the original objectives and mode of operation may need to change. Any substantive change in objectives, scope, budgets, etc must go through the Academic Planning Committee to Senate for consideration for approval.

5. Termination Of Institutes And Centres

The Academic Planning Committee may recommend to Senate that an institute or centre be terminated. If, after completing its review, Senate supports the recommendation to terminate, that decision will immediately be communicated to the institute or centre.

APPENDIX 1: Guidelines for Proposal to Establish a Centre or Institute at Saint Mary's University

Saint Mary's University recognizes the potential value in establishing Centres or Institutes as a means of achieving its objectives. It is normally expected that such an entity would be focused on research, education, service to community, or a combination of these. It also recognizes that the establishment of the Center or Institute commits the University to a certain level of support and accountability. To this end, the following information should normally be included in the proposal for a new centre or Institute.

At the preliminary proposal stage, it is understood that not all details will be able to be documented. There should, however, be sufficient information provided to allow the Academic Planning Committee to determine if there is a basis to support continued effort in the establishment of the centre or institute.

1. Purpose: This section should clearly identify the need, value and benefits of the new entity. As such this section should respond to:
 - Need or opportunity to be addressed
 - Mission, Goals and Objectives
 - Contribution to the Academic Plan and fit within the university mission
 - Relationship to existing departments, centres or institutes
 - Benefits to university faculty, students (graduate and undergraduate), community
2. Functions and Programs: This section should describe the activity to be undertaken and should comment on:
 - Participants
 - Programs, education, events and activities
 - Expected measurements of success
3. Governance and Organization: This section should identify who will manage, how decisions will be made, who will be accountable
 - Management Structure
 - Organization Chart, including relationship to the University
 - Membership
 - Community involvement or external partners
4. Implications to the University: this section should identify the impact on the university.
 - Benefits
 - Risks
 - Potential legal implications
 - Expected resources coming from the University
 - Implications should the entity not be established

5. Budget: The centre or institute will not be able to operate on a deficit basis nor incur debt

- Expenses: Staffing (full time, part time, contract, teaching or student assistants, etc.)
- Facilities (leased, campus)
- Equipment and Supplies
- Travel
- Communications and office related expenses
- Program and Activity costs
- Contribution to University overhead
- Funding: External funding and fundraising activities
- University resources
- Sales, service revenue

6. Expected Times of Operation and expected duration centre or Institute is expected to operate.

7. Constitution: The constitution should be included in the final proposal to establish the centre or Institute. It should cover the following items:

- Article I Meetings
- Article II Authority
- Article III Object
- Article IV Officers
- Article V Executive Board
- Article VI Amendment
- Article VII Committees
- Article VIII Name of Organization
- Article IX Members

APPENDIX 2: Guidelines for the Preparation of Annual Reports Centres and Institutes at Saint Mary's University

Annual Reports should address the following:

1. Mandate and goals of the overall initiative
2. Governance: Board members, executive, decision makers
3. Past year objectives and achievement towards the mandate and goals
4. Work undertaken in the past year, highlighting research, education and teaching initiatives, community outreach, publications
5. Involvement of faculty, students, staff, others
6. Objectives and initiatives planned for the coming year
7. Financial report indicating financial information for the program in total, as well as yearly information, including sources of funding, expenses itemized for salaries and contracts; administrative expenses, research expenses; advertising and communication expenses, other.

APPENDIX 3: Guidelines for the Preparation of Reviews Centres and Institutes at Saint Mary's University

The format for reporting on reviews is drawn from the format for self-study as approved by Senate under the Review of Academic Programs

As such, it should include, where appropriate, the following:

1. Review of the history and development of the Centre or Institute and the purpose for which it was established, including its program goals. This section should include a statement on the ways in which the Centre or Institutes serves the university, its students and faculty, and the broader community.
2. A full description of the Centre or Institute
3. A clear articulation of the goals and objectives, as well as an analysis of the extent to which these goals and objectives are being met
4. Statistics on the Centre's activities and programs
5. Information on special strengths, unique aspects or successes of the program
6. Information on participant satisfaction with the quality of the programs or activities
7. Listing of all faculty members associated with the Centre or Institute
8. Listing of external grants or contracts which have contributed to the Centre or Institute
9. Description of support (technical, secretarial, other), and comment on adequacy of support
10. Description of physical facilities, supplies and budget, with comment on adequacy
11. Description of principal library resources available to support the work of the Centre or Institute.
12. A statement regarding the future plans of the programs, including implications on resources and supports
13. Identification of any issues or concerns which should be addressed
14. Any other information the Centre or Institute considers will assist in obtaining an accurate appreciation of the program under review.

Version History

Version. #	Date Changed	Updated by	Description of Change
1.0	February 12, 1982	Senate	Original Version
2.0	Dec 11, 2009	Academic Planning Committee – sub-committee: B. MacDonald, K. Vessey & B. Bell.	Reformatting of document. Addition of cover page, version history and section on constitution amendment. Update to reporting and review procedures. Differentiate between reporting requirements for new versus established institutes and centres. Delete Questionnaire, 5-year budget and constitution guideline. Add Appendix 1 – Proposal Guideline, Appendix 2 – Annual Report Guideline, and Appendix 3 – Self-Study Guideline. Clarify role of Deans, clarify steps. Approved by Senate
2.1	March 16, 2012	Academic Planning Committee	Section 3.3 revised to specify Oct 1 st for receiving self-study reports for the review process. Academic Vice-President changed to read Vice-President Academic & Research, Title change to include “Research”.