
Type:	C – Institutional	Last Approved: May 27, 2021
Executive Responsibility:	Provost & Vice-President Academic	
Administrative Responsibility:	Provost & Vice-President Academic	Policy: 31.11

PROCEDURE:

1. Establishment

1.1 Sponsorship

All Research and Scholarly Activity Centres and Institutes (RSACI) require the sponsorship of a Dean.

1.2 Proposal

As outlined in Section 2, a formal written proposal should be developed by the proponents. A template for the proposal is available through the Scholarship, Research and Creative Activity website.

1.3 Approval

1.3.1 Proposals for the establishment of a new RSACI or approval of an existing RSACI shall be submitted to Dean who will sponsor the entity.

1.3.2 If the Dean supports the proposal, they will forward the proposal to its Faculty Council for endorsement.

1.3.3 Proposals endorsed by Faculty Council are forwarded by the sponsoring Dean to the Associate Vice-President, Scholarship, Research and Creative Activity (AVP SRCA). The AVP SRCA will review the proposal for alignment with the institutions research priorities and strengths and completeness. The AVP SRCA may recommend enhancements to the proponents to strengthen the proposal if deemed necessary.

1.3.4 When the AVP SRCA has completed their review, proposals will be forwarded to the Provost and Vice-President Academic to bring to Senate for approval.

1.3.5 Proposals approved by Senate will be forwarded to the Board of Governors for approval.

1.3.6 For RSACI's that exist prior to the approval of this procedure, proposals must be approved within two years in order to remain in operation.

1.3.7 If at any point in the consideration process the proposal is not approved, reasons will be provided to the proponent.

2. The Proposal

The proposal shall name the RSACI and shall provide detailed information in the following areas:

2.1 Mission or Vision Statement

The proposal shall include a concise statement of the mission or vision of the proposed RSACI.

2.2 Purpose

The purpose of the centre or research institute should be fully explained and include a description of the centre's philosophy, mandate, aims and goals, its nature (research, etc.), and proposed methods for achieving stated goals.

2.3 Relevance

Proposals must demonstrate how the RSACI would support the University's mandate, and how it will benefit the University, the community and the University's geographical region, as appropriate. It is incumbent upon the proponents of the proposal to make a particularly strong case for the establishment of the RSACI if the proposed entity lacks direct relevance to the University's mandate.

2.4 The Research Plan

The plan shall outline the following in relation to the stated objectives of the RSACI:

- a) the activities and methods to be used to achieve goals and objectives and the relationship of these activities to academic programs and the community;
- b) intended outcomes and benefits in measurable terms that are intended to result from the RSACI over a five-year period (or for its full term if less than five years); and,
- c) projected timelines.

2.5 Membership

The proposal shall demonstrate sufficient knowledge and expertise collectively through the initial membership to support the establishment, viability, and effectiveness of the Research Centre and coordinate its ongoing research and scholarly activity. Membership may be comprised of faculty, staff, and administration, research fellows, adjunct professors, visiting scholars, community experts, support staff and students. Proposals should highlight how the RSACI will provide opportunities for student engagement. The process and criteria used for the selection of future additional members shall be identified.

2.6 Governance, Administrative Structure, and Accountability

All RSACI's are accountable to Senate through Faculty Councils.

A RSACI will normally be directed by a Faculty member with oversight by a Dean and an internally appointed management committee. Additional oversight for entities with an applied research mandate should be provided by an advisory committee.

The proposal shall describe the administrative structure of the proposed RSACI outlining how it conforms to the responsibilities and requirements identified below.

2.6.1. Leadership

The proposal shall identify a proposed Director, or the process and criteria that will be used to select a Director. The Director will normally be a faculty member of Vancouver Island University and should report to the sponsoring Dean. Reassignment time for the Director, if required, must be identified in the proposed budget and approved by the Dean.

Key responsibilities include, but are not limited to:

- a) Promoting and facilitating the provision of high-quality teaching, research and scholarly activity within the RSACI;
- b) Increasing research opportunities for faculty, students, and other members;
- c) Facilitating interdisciplinary collaboration;
- d) Developing networks between the RSACI and the public, private and not for profit sectors at the local, provincial, national, and international levels, as appropriate.
- e) Overseeing all formal partnerships and contracts with other universities and/or institutions to be undertaken by or on behalf of the RSACI, and further obtain the appropriate institutional approvals.
- f) Acting as an ambassador for the RSACI to raise its external profile.
- g) Maintaining the confidence and cooperation of RSACI members.
- h) Developing strategies to ensure RSACI resources are managed effectively and efficiently.
- i) Developing and managing the RSACI annual operating budget.
- j) Overseeing the RSACI management and governance structure.
- k) Ensuring all members are aware of and adhere to institutional policies including, but not limited to, research integrity, research ethics, risk assessment, and the recovery of indirect costs of research.
- l) Submitting annual reports and the five-year review report for renewal of the RSACI.

2.6.2 Management Committee

A Management Committee should be appointed to help manage the RSACI. The Management Committee should be comprised of a minimum of three members, including a minimum of one Dean, or their designate, and the Director. Membership of the Management Committee should be identified in the proposal including the roles and responsibilities of each member and a Terms of Reference that will guide the operation of the Committee.

2.6.3 Advisory Committee

An Advisory Committee may be established to provide guidance to RSACI's that have a strong applied research mandate and show participation of external members. The membership and role of the advisory committee, if required, shall be outlined in the proposal along with a Terms of Reference that will guide its operation.

2.7 Resource Requirements

Any resource allocation implications in the establishment and operation of the RSACI shall be incorporated into the budgetary and planning processes of the Faculty of the sponsoring Dean.

2.7.1 Financial

The proposal to establish all RSACI's shall outline the ability to operate self-sufficiently and on a cost-recovery or cost-neutral basis in accordance with the Policy.

The proposal shall provide a projected budget, describing anticipated expenditures and expected revenues for the RSACI. The budget projection shall be provided for a minimum of 3 to maximum 5 year period.

Any fundraising activities expected to be undertaken shall be identified to ensure no duplication of other fundraising activities of the institution and shall be discussed with the Advancement Office prior to implementation.

2.7.1.1 Expenditures

The description of expenditures shall provide estimates for all projected expenditures, including support service requirements such as accounting, human resources, computing, library, space, furniture and equipment.

2.7.1.2 Revenues and Institutional Funding

- a) The description of revenues shall identify all confirmed and anticipated sources. In-kind contributions that have an impact on a department, Faculty or the institution (e.g. a dedicated space, financial or clerical support) shall be identified.
- b) All external grants and contracts must comply with the [Indirect cost guidelines for VIU](#).
- c) Any request for institutional funding shall be included with the expectation that all RSACI's are expected to be operated on a cost recovery basis. Approval for the establishment of a RSACI does not confirm institutional funding requests.

2.7.2 Human Resources

Special attention shall be given to the identification of all human resources required for the operation of the research entity and their status within the institution. Anticipated employment opportunities for faculty, staff, and students through the research entity shall be identified.

3. Annual Report

All RSACI's shall submit a detailed annual report by the end of each fiscal year and no later than June 15. The annual report is to be submitted by the Director to: a) the Dean who will forward the report to the Faculty Council and b) to the Associate Vice-President, Scholarship, Research and Creative Activity who will forward the report to the Provost and

Vice-President Academic. The Provost and Vice-President Academic will provide all reports and an update on all RSACI's to Senate annually.

The content of the annual report shall include:

- a) an executive summary (max 2 pages that will be shared on the VIU website)
- b) objectives and achievements for the past year
- c) contributions made to the experiences of students
- d) research outputs and knowledge mobilization
- e) contributions to the region or external community groups
- f) changes planned with regard to membership or administrative structure; and,
- g) the research plan for the next year identifying key activities, goals and outputs, a financial statement that includes projected revenues and expenditures, sources of funding and budget for the following year.
- h) images, videos and links to digital media where relevant

4. Renewal Review

A Renewal Review will be conducted every five years (where the RSACI is ongoing). This will be a formal summative review of the performance of the RSACI for the preceding five-year period. Notice of review will be communicated to the Director of the RSACI by the AVP SRCA at least four months prior to the date of the review.

4.1.1 Review Panel

The Review Panel for the Renewal Review will be comprised of three persons appointed by the AVP SRCA with at least one Faculty member from outside the Faculty (the Chair). Review Panel members will normally be selected from two lists, as follows:

- a. the Director will recommend a list of two names to the AVP SRCA from which one name will be chosen; and,
- b. the AVP SRCA will submit a list of four names to the Director, from which two names will be chosen.

No Review Panel member will be directly associated with the entity under review.

A Chair of the Review Panel will be appointed by the AVP SRCA from among the three panel members and will normally be an external Faculty member (from outside the Faculty).

4.1.2 Consultation

The five-year progress review will involve consultation with the Management Committee, the Advisor Committee (where present), the Director, students, faculty, clients, funding agencies and other stakeholders, as deemed necessary and desirable. The Review Panel may also consult with external experts in the subject field or the SRCA Office, at its discretion.

4.2 Report

A five-year progress report will be developed which should include:

- a) Description of how the RSACI has achieved or revised the original objectives
- b) A detailed list of research accomplishments;
- c) An updated membership list
- d) A detailed financial statement
- e) A five year plan which should identify future research direction and development strategies
- f) Statements from appropriate Department Chair(s), Director(s) and Dean(s) indicating continued support for the RSACI;
- g) Names of persons who could provide external assessments of the RSACI.

The five year progress review report will be provided to the Dean and AVP SRCA with a recommendation to:

- a) grant continuing status to the RSACI; or,
- b) extend the term of the RSACI for one year to enable achievement of specified performance objectives; or,
- c) Discontinuance of the RSACI

The AVP SRCA and Dean will review the report and make a recommendation to the Provost and Vice-President Academic to bring to Senate for approval.