

## Part 5 - Academic

### Institutes at Mount Royal University POL 586

<b>Policy Type:</b>	<b>Management with Academic Implications</b>		
<b>Policy Sponsor:</b>	Provost and Vice-President Academic	<b>Effective:</b>	August 15, 2000
<b>Office of Administrative Responsibility:</b>	Associate Vice-President, Research	<b>Last Reviewed:</b>	June 2007
<b>Approver:</b>	Board of Governors	<b>Approved:</b>	June 5, 2007

#### A. OVERVIEW

Institutes at Mount Royal strengthen, coordinate and facilitate collaborative research and other scholarly, artistic and academic activities not readily undertaken within the University's departmental structure.

#### B. PURPOSE

The purpose of this policy is to define Institutes in the Mount Royal University context, provide procedures for establishment, review and discontinuation, and to clearly define governance and reporting requirements.

The purposes of the Institutes themselves encompass, but are not limited to:

- (1) facilitating collaborative research, especially multi-disciplinary research;
- (2) undertaking specific types of teaching or training programs that do not compete with other established internal educational mandates;
- (3) facilitating multi-institutional initiatives; and
- (4) providing specific types of services to the community.

#### C. SCOPE

This policy and the associated procedures apply to institutes established under the authority of the Board of Governors and to institutes established through affiliation agreements with agencies external to Mount Royal University.

#### D. POLICY STATEMENT

This policy and the associated procedures apply to institutes established under the authority of the Board of Governors and to institutes established through affiliation agreements with agencies external to Mount Royal.

- (1) Institutes provide a structure for strengthening, coordinating, or facilitating collaborative research and other scholarly, artistic, and academic activities not readily undertaken within Mount Royal's departmental structure.
- (2) While institutes build upon the expertise, competence, and staff interest existing at Mount Royal, they may also advance the development of new areas of strength consistent with Mount Royal's priorities as they are established through the processes outlined in its Academic Plan.
- (3) Institutes shall be financially secure. They are expected to be financially self-sufficient through revenue from endowments or through external cost recovery (i.e. through grants, contracts, or donations). Alternatively, when circumstances warrant, they may be supported through the operating budget of Mount Royal.
- (4) Institutes must have an approved constitution. The constitution shall define the mandate of the institute and describe its organization, management and membership.
- (5) Because institutes focus on areas that are of broad-based interest and priority within the University and because they bring together faculty members and students from various faculties, schools, and centres at Mount Royal, they report to the Associate Vice President, Research. In those instances in which institutes report to the Associate Vice President, Research through the Dean of a Faculty, proposals for their establishment and their constitutions must make clear the means by which they will engage faculty members from other Faculties in their work.
- (6) The Director of an institute is administratively responsible for the institute. The Director should be a regular employee of Mount Royal and would normally hold an appointment in an academic department.
- (7) Financial responsibility for institutes is vested in the Associate Vice President, Research.
- (8) Institutes bring together students, faculty and staff from several departments and faculties within Mount Royal. Faculty members may be engaged in one of several ways, including, but not limited to:
  - (a) joint appointment to an academic department and an institute;
  - (b) appointment as an endowed chair who also holds an appointment in an institute;
  - (c) appointment as an adjunct faculty member of Mount Royal who also holds an appointment in an institute
- (9) Institutes must comply with Mount Royal policies and procedures.

(10) Institutes are subject to periodic review.

**Published Procedures to this Policy:**

Procedures for the Establishment and Governance of Institutes  
Framework for an Institute Proposal  
Schedule A: Institutes Reporting Through a Dean

## Part 5 - Academic

### Parent Policy: Institutes at Mount Royal University Policy POL 586

#### Procedures for the Establishment and Governance of Institutes

<b>Policy Type:</b>	<b>Management with Academic Implications</b>		
<b>Policy Sponsor:</b>	Provost & Vice-President Academic	<b>Effective:</b>	December 10, 2007
<b>Office of Administrative Responsibility:</b>	Associate Vice-President Research	<b>Last Reviewed:</b>	April 2010
<b>Approver:</b>	Provost & Vice-President Academic	<b>Approved:</b>	April 14, 2010

#### 1. GOVERNANCE AND REPORTING

- 1.1. The Review Committee for Institutes is composed of the Provost and Vice President Academic, the Associate Vice President Research (Chair), two members of Deans' Council selected by Deans' Council (3-year term), and three faculty members elected by, but not necessarily members of General Faculties Council (3-year term), At least one of the elected faculty members shall hold an appointment in an institute or have worked closely with an institute.
- 1.2. The Review Committee for Institutes shall receive a report from each institute by August 31 of each year. The report will include an executive summary that summarizes and assess the institute's operations and activities, including its financial operation, annually. The Associate Vice President, Research shall provide these executive summaries together with a covering memo to the President by October 31 of each year. The President shall present this report to the Board of Governors.
- 1.3. The Review Committee for Institutes shall receive and review all proposals for the establishment of institutes. If found acceptable, the Committee shall make recommendations to General Faculties Council on the academic elements of the proposal. General Faculties Council shall vote on establishment and shall make recommendations to the Board of Governors. The Provost and Vice-President Academic shall review the financial portion of the proposal and, if consistent with the requirement for financial security, shall recommend acceptance to the Board of Governors.
- 1.4. The Review Committee for Institutes shall receive and review recommendations for members of an institute's advisory committee and shall recommend members to the President for appointment.
- 1.5. The Review Committee for Institutes shall recommend to the President the appointments of Directors of institutes for terms up to five years and also may recommend the revocation of that appointment. In both cases the President's decision will be final.

- 1.6. Institutes shall report to the Associate Vice President, Research in whom financial responsibility is vested. Institutes listed in Schedule A report to the Associate Vice President, Research through the Dean of a Faculty. All other institutes report directly to the Associate Vice President, Research.
- 1.7. Each institute shall have an advisory committee. No less than two-thirds of the members shall be external members who are not employed by Mount Royal; up to one third of the members may be employees of Mount Royal. Internal members may include both members of the institute and others who have an interest in the institute's mission and objectives. The Director of the institute and Associate Vice President, Research, and where appropriate, the relevant Dean, shall be ex officio members of the advisory committee.
- 1.8. The Chair of the advisory committee shall be an external member. The Chair shall be elected at the first meeting of the advisory committee and shall hold office for an initial term of two years renewable for another two years.
- 1.9. Members of the advisory committee will normally be appointed for three-year terms and may be appointed for a subsequent three-year term. The length of term of appointment may be varied so that no more than one third of the members' terms of appointment end in any year.

## **2. Establishment**

- 2.1. The authority to establish institutes resides with the Board of Governors, on the recommendation of General Faculties Council.
- 2.2. A proposal to establish a new institute must follow the guidelines in *Form One, Framework for a Proposal to Establish an Institute*.
- 2.3. Proposals should be submitted to the Review Committee for Institutes through the Office of the Associate Vice President, Research.
- 2.4. In order to ensure that all research is consistent with the goals of Mount Royal and that institutes reflect positively on the general reputation of the University, all institutes shall be reviewed by the Review Committee for Institutes on a periodic basis, but not less often than every five years.

## **3. Review Process**

- 3.1. Notice of the review will be communicated to the Director of the institute by the Chair of the Review Committee for Institutes at least nine (9) months prior to the end of the mandate of the institute or earlier if deemed necessary by the Review Committee for Institutes.
- 3.2. In response to this notification, the Director of the institute shall submit within one (1) month to the Chair of the Review Committee for Institutes a report which contains the following:
  - (a) a description of how and why the institute has achieved or revised its original objectives; a detailed listing of its accomplishments; detailed information about the engagement of faculty members, students, and staff from across the institution; and a detailed financial statement;
  - (b) a five-year plan which identifies future directions and development strategies;

- (c) letters indicating continued support for the institute from appropriate internal and external persons and agencies; and
  - (d) the names of individuals who could provide external assessments of the institute.
- 3.3. On the basis of this report as well as a review of annual reports, the Review Committee for Institutes shall determine whether a formal, independent committee should be struck to conduct a full review of the institute.
  - 3.4. If a full review of the institute is not warranted, in that it is clear that the institute either qualifies for continuation, or that it does not, the Review Committee for Institutes will recommend to the President that the institute continue for a period of three to five years, or that it be terminated, without further review. Any legal agreements that affect the status of the institute must be taken into consideration in the formal recommendation.
  - 3.5. In the event that a full review is required, an independent committee will be appointed by the Chair of the Review Committee for Institutes in consultation with the Review Committee for Institutes at least six (6) months prior to the end of the mandate of the Institute.
  - 3.6. The membership of the independent committee shall normally include: a senior member of the Mount Royal community with administrative experience and no direct involvement in the institute who shall act as Chair of the committee; the director of another institute; a researcher who is not affiliated with the institute but is knowledgeable in its field of activity; the Chair of the Review Committee for Institutes or his/her designate to assess financial and institutional concerns; and other members as deemed appropriate.
  - 3.7. The mechanism by which the independent committee elects to conduct the review shall be at the discretion of the committee. Notwithstanding, the primary focus of the review shall be an assessment of: the extent to which the institute has fulfilled its objectives; the appropriateness of its future goals; and its current and projected financial viability.
  - 3.8. The review process should involve meetings with the Director, Dean (where appropriate) and members and should also include the solicitation of external assessments as well as discussion with non-members of the institute from related departments/fields.
  - 3.9. The independent committee shall provide a written report to the Chair of the Review Committee for Institutes within three (3) months of being established. Before submitting the report, the Chair of the independent committee shall provide a copy of the report to the Director of the institute under review to ensure that the report contains no factual errors. The Director and Dean (where appropriate) may submit a written commentary on the report to the Chair of the Review Committee for Institutes.
  - 3.10. The Review Committee for Institutes will consider the report of the independent committee, consulting with the Committee and Director of the institute as necessary before making a recommendation to the President concerning the future of the institute.
  - 3.11. The recommendation may be: continuation with review in five (5) years; continuation with review in one (1) year; or termination. Any legal agreements that

affect the status of the institute must be taken into consideration in the formal recommendation.

#### **4. Discontinuation**

- 4.1. The Mount Royal Review Committee for Institutes is responsible for recommending the discontinuation of an institute to the President. The President is responsible for recommending the discontinuation of an institute to the Board.
- 4.2. Before recommending the discontinuation of an institute, the Review Committee for Institutes must review the institute. It may initiate a review of an institute at any time that it deems such a review to be necessary. Such a review will consist of a report from the Director of the institute comprising the elements described in the Review Process as outlined in these Procedures, together with the available annual reports of the institute.
- 4.3. One of the possible results of this review is that the Review Committee for Institutes determines that the institute should be discontinued. It would then recommend accordingly to the President.
- 4.4. If the Review Committee for Institutes finds that this initial review does not provide sufficient information for it to recommend continuation or discontinuation, it shall initiate the process for a full review as described in these Procedures.

## **FORM ONE: FRAMEWORK FOR A PROPOSAL TO ESTABLISH AN INSTITUTE**

### **Preamble**

This document contains the general guidelines of the University Review Committee on Institutes on the establishment of proposed institutes. These guidelines are administered on behalf of the Review Committee by the Office of the Associate Vice-President Research. Each proposal for a new institute should contain the following

### **Article 1: Name**

### **Article 2: Description and Justification**

This shall include:

1. A concise statement of the mission and objectives of the proposed institute and its relation to the Academic and Strategic Research plans of the University;
2. An identification of the scope of activities envisaged and a demonstration that these activities complement but do not compete with the activities that fall within the mandate of other organizational units of the University; and,
3. A description of the benefits and opportunities likely to result from the establishment of the institute, including an indication of how the proposed institute would facilitate research among scholars within the University and in the wider community.

### **Article 3: Organization**

This shall include:

1. The organizational structure of the proposed institute, including the roles and responsibilities of its various officers;
2. The categories of membership and the criteria of each of these categories, if applicable;
3. Procedures whereby appointments will be made for each membership category, including the position of Director; and,
4. The privileges and responsibilities of membership.

### **Article 4: Management**

This should describe the proposed management structure, consistent with Policy 586—Institutes, and the proposed staff.

## **Article 5: Engagement of Faculty, Students, and Staff and Proposed Membership**

The means by which faculty members, students and staff will be engaged in the work of the proposed institute must be described. This description shall include a listing of the proposed membership of the institute broken down by the various categories, where applicable. For each proposed member, including the Director, an abbreviated curriculum vitae shall be provided which details the following information: degrees held, employment experience, professional activities, research interests, research funding record (last five years), and record of research achievements (last five years).

### **Additional Materials**

In addition to a charter drafted on the principles outlined above, the following information should also be provided:

#### Description of Physical Resources

This shall include:

1. A listing of available research facilities ( e.g. library holdings, laboratories, space, equipment), including an indication of current strengths and weaknesses; and
2. An indication of future requirements, including a proposed strategy for obtaining these resources.

#### Description of Financial Resources

This shall include a detailed budget proposal for the first three to five years which includes the anticipated revenue from all sources (e.g. University, government, industry, recovery of indirect costs, royalties, etc.) and proposed annual operating costs, as well as plans for achieving financial self-sufficiency through external cost recovery.

#### Statements of Support and Commitment

Letters of support and commitment should be signed by the appropriate University officer(s) (i.e. department head, dean/director) or by an authorized officer of external agencies and organizations. Any commitments or agreements to provide space or other resources (e.g. clerical support), including the recovery of indirect costs from contract research, should be documented and signed by those authorized to make such commitments. In the absence of such statements, it will be assumed that no such commitments have been made.

## **SCHEDULE A**

Institutes that report to the Associate Vice President, Research through a Dean.

The Institute for Non-Profit Studies, through the Dean of The Bissett School of Business

The Integrative Health Institute, through the Dean of Health and Community Studies

The Institute for Scholarship of Teaching and Learning, through the Dean of Teaching and Learning