



Research Centres and Institutes, Policies and Procedures

Category: Research;

Jurisdiction: Vice President, Research and Innovation; Senate Research Committee

Approval Authority: Senate;

Established on: February 27, 2004;

Amendments: October 26, 2020.

Most Recent Review: October 26, 2020.

Research Centres and Institutes at Lakehead University are established for the purpose of undertaking and facilitating research, education and scholarly activities in subject areas of specific relevance to the mandate and mission of the University and its strategic research priorities. The University fosters the development of innovative interdisciplinary research and scholarly activities in specialized areas through the establishment of externally funded and supported research centres and institutes. Research centres and institutes should offer Lakehead faculty: 1) additional venues for research and scholarly opportunities and activities across a number of Lakehead programs; 2) serve as a dedicated vehicle for the promotion of basic and applied research; 3) opportunities for the securing of additional research funds which otherwise might not be available to the University; 4) provide training and mentoring of undergraduate and graduate students; and 5) engaging in education and knowledge translation. Research centres and institutes may also complement research activities by the promotion of workshops, conferences and continuing education.

1. Core Values

In addition to reflecting the University's strong commitment to innovation, research centres and institutes should facilitate activities relevant to the University's mission and strategic research priorities.

2. General Requirements

All research centres and institutes of Lakehead University must be approved through the authority of University Senate. No group of faculty members or staff shall use the name “research centre” or “research institute” without said official approval by the Senate. These requirements apply to all research centres and institutes which use University facilities and/or use the University's name, and/or are funded in part by the University, as well as other research centres and institutes associated with the University. All research centres and institutes are accountable to the University Senate through the Senate Research Committee (SRC). For administrative purposes, all research centres and institutes shall report to the Vice-President, Research and Innovation or designate.

3. Scale of Composition

In order to ensure adequate scope and flexibility in responding to research opportunities, Lakehead University research centres and institutes should have a critical mass of faculty involved as members. Membership should be broadly based to encourage and ensure interdisciplinary participation across a variety of program disciplines. In addition to regular Lakehead faculty, membership in the research centres and institutes is specifically encouraged for Research Fellows, Postdoctoral Fellows, Visiting Scholars and Associate Members drawn from faculty at other institutions, community partners, relevant stakeholder groups, and industry. Research centres and institutes should also engage staff and graduate students as opportunity and funding permits.

4. Approval of Centres and Research Institutes

4.1. Approval Process for the Establishment of New Research Centres and Institutes

Every new research centre or institute to be established after the effective date of this policy will follow the procedure outlined below:

a) The proposed Director and relevant Academic Head(s) (e.g., Chairs, Directors, and/or Deans) will consult with the Vice-President, Research and Innovation, to determine the Most Relevant Dean and Faculty for the proposed research centre or institute.

b) A formal, written proposal will be forwarded to the Vice-President, Research and Innovation, by the Most Relevant Academic Unit and/or Faculty with the support from the Most Relevant Academic Head (e.g., Chair, Director and/or Dean).

c) Once the Office of Research Services confirms that the proposal is complete, it will be forwarded to the SRC by the Vice-President, Research and Innovation.

d) Proposals approved by the SRC will be recommended to Senate for consideration;

e) The Vice-President, Research and Innovation, will be notified of the Senate's decision.

5. Proposals: Format and Content

Proposals may vary in content according to the nature of the research centre or institute being proposed. All proposals, however, must address the following points:

5.1 Purpose

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

5.2 Relevance

Proposals must demonstrate how the research centre or institute would support the University's mission and strategic research priorities, and how the research centre or institute will benefit the University and the community as appropriate.

5.3 Life Expectancy

Proposals should address the question of the life expectancy of the research centre or institute. If they are set up for a limited period of time, the proposal should indicate a date of termination.

5.4 Budget

Detailed and fully justified budgets for the first year will accompany all proposals for a research centre or institute. In particular, budgets will identify actual and potential financial resources as well as, how much, if any, internal funding will be requested. A projected budget of income and proposed expenditures for the first five years of operation should be incorporated into the Research Plan (5.5).

5.5 Research Plan

a) Proposals should indicate the research plan to be pursued by the research centre or institute. Specifically, a proposed program of research for the first five years is to be identified in the planned or projected activities of the research centre or institute.

b) Commitments by Lakehead University

Proposals must clearly define any short and long term commitments the University will be making to the research centre or institute, if such commitments are envisaged. This includes, for example, all infrastructure support including accounting and administrative support.

c) University Facilities

Proposals will address the question of use of University facilities, including rentals, availability of space, required library resources, use of equipment, and the question of overhead payments to the University.

5.6 Membership

Proposals will provide details of the criteria and procedures to be used in establishing the membership of the proposed research centre or institute. If there are to be different classes of members (Members, Associate Members, Research Fellows, Postdoctoral Fellows, Visiting Scholars, etc.), details must be provided as to the process by which appointments will be made to each class. Appointment procedures must be made clear. A list of members must be made publicly available on the research centre or institute's website.

5.7 Governance

All research centres and institutes will operate with an internally appointed management committee, and a Director holding a tenured-track or tenured appointment at Lakehead University; exceptions may be considered upon approval by the Vice-President, Research and Innovation. The management committee will include the Director (ex officio), and relevant members of the research centre or institute. The management committee will meet at least twice per year and as frequently as needed.

The proposed governance of each research centre and institute will be further determined in consultation with the Vice-President, Research and Innovation, and may include establishing an externally appointed advisory board that includes the Director (ex officio) and the Vice-President, Research and Innovation or designate, relevant members of the faculty, and community and/or industry partners. The advisory board will elect a Chair from its membership. The advisory board shall meet at least once a year.

5.8 Training of Highly Qualified Personnel (HQP)

Proposals should address opportunities for training and mentoring undergraduate and/or graduate students, and postdoctoral fellows.

5.9 Staffing Needs

Proposals will address staffing needs for the research centre or institute, the relation of such employees to the University (adjunct status, etc.), as well as reporting structures and related HR matters.

6. Annual Reports

All research centres and institutes, including those established prior to this policy, are required to submit every year an annual report due no later than one month after the Lakehead University faculty annual reports are due. Research centres and institutes that do not submit their Annual Reports will not be eligible for centre-initiated overheads. The Director of the research centre or institute will forward the report to the Vice-President, Research and Innovation. The annual report will contain the following information:

- a) A 1-2 page executive summary to be shared for information with Senate as part of the Senate Research Committee's report;
- b) The name of the centre or research institute;
- c) The name of the Director (or such other title as may be appropriate) and a list

- of the members of the research centre or institute, arranged by category (see 5.6 above); including the members of the management committee and the external advisory board; NOTE: If the annual reports are due later than June 30, the Director must submit the list to the Vice-President, Research and Innovation by June 30;
- d) A brief historical background of the research centre or institute;
 - e) A general report on activities for the reporting period (July 1 – June 30);
 - f) The academic and research contributions of members of the research centre or institute: a list of publications and other scholarly activity for the reporting period; training of HQP; community engagement; knowledge transfer activities;
 - g) A financial report outlining expenditures and revenues for the reporting period;
 - h) New funding initiatives;
 - i) A statement of plans for the following academic year.

7. Review Procedures

New Centres

Each research centre institute shall be authorized for a period of 5 years with an interim review by the Senate Research Committee in year 3. Notice of review will be communicated to the Director of the research centre or institute by the Vice-President, Research and Innovation, at least two months prior to the date of the review.

All Research Centres and Institutes

The Director of the research centre or institute is required to provide the Vice-President, Research and Innovation, with the following information:

- a) a progress report which should include a statement describing how the research centre or institute has achieved or revised the original objectives;
- b) copies of annual reports to date;
- c) an updated membership list and a detailed financial statement;
- d) a five-year plan which should identify future research direction and development

strategies;

e) where resources are provided by Chair(s), Director(s) and/or Dean(s), a letter indicating continued support for the research centre or institute;

f) names of persons who could provide internal (to Lakehead but external to the research centre or institute) assessments of the research centre or institute;

g) In cases where an external review is deemed necessary, names of potential external (to Lakehead and the research centre or institute) reviewers.

The Vice-President, Research and Innovation will forward this information to the Senate Research Committee. The mechanism by which the Senate Research Committee elects to conduct the review shall be at the discretion of the Committee in consultation with the Vice-President, Research and Innovation. It is recognized, however, that the review process must involve meetings with the Director and members of the unit, assessment of activities and achievements, and that progress that has been made towards fostering and promotion of the academic area. In addition, it is suggested that the review process should include solicitation of external assessments and discussion with faculty members of related departments who are not members of the research centre or institute.

The Senate Research Committee is required to submit a written report to the Vice-President, Research and Innovation within one month of completion of the review. A copy of the report will be forwarded to the Director of the research centre or institute, who may submit a commentary to the Vice-President, Research and Innovation. The recommendation may be:

1. Continuation with review in 5 years;
2. Continuation with review in 2 years;
3. Termination.

The Senate Research Committee will report the review recommendation to Senate.

In the event of a decision to terminate by Senate, the research centre or institute will be disbanded within six months to permit the orderly termination of its responsibilities; this term will only exceed one year in exceptional circumstances.

Early Closure of Research Centres and Institutes

Research centres and institutes may be terminated prior to their next review due to reaching their proposed termination date or at the discretion of the Director. In such cases, the Director of the research centre or institute must provide a written request to the Vice-President, Research and Innovation that explains the reasons for the timely or early closure of the research centre or institute. The written request may be submitted with or in advance of the final annual report. The Vice-President, Research and Innovation and Faculty Dean must approve the request to close a research centre or institute. Furthermore, the Vice-President, Research and Innovation reserves the right to terminate a research centre or institute if Annual Reports are not submitted two years in a row.

Review Period: 7 years;

Date for Next Review: 2027-2028;

Related Policies and Procedures: To be determined;

Policy Superseded by this Policy: Centres and Research Institutes, Policies and Procedures for the Establishment of (previously named).

The University Secretariat manages the development of policies through an impartial, fair governance process, and in accordance with the Policy Governance Framework. Please contact the University Secretariat for additional information on University policies and procedures and/or if you require this information in another format:

Open: Monday through Friday from 8:30am to 4:30pm;

Location: University Centre, Thunder Bay Campus, Room UC2002;

Phone: 807-346-7929 or Email: univsec@lakeheadu.ca.