
Research Institutes Procedures

Policy Sponsor:	Provost and Vice President, Academic
Name of Parent Policy:	Research Institutes Policy
Policy Contact:	Provost and Vice President, Academic
Procedure Contact:	Provost and Vice President, Academic
Effective Date of Procedures:	March 24, 2014
Review Date:	Annually

Purpose

To provide procedures for the proposal, establishment, review and termination of Research Institutes at Athabasca University (AU).

Definitions

APPC	Academic Planning and Policy Committee of General Faculties Council (GFC).
Director	For purposes of this Policy, the chief administrative officer of an AU Research Institute.
Members	Active scholars, nominated by the Director and formally approved by the P&VPA, whose research demonstrates compatibility with, and the potential to further, the research goals of the Institute.
Research Institute	A formally constituted unit of AU, established and devoted to scholarly research in thematic areas identified in the Terms of Reference approved by the Board. AU Research Institutes comprise networks of scholars with established track records in areas that align with the stated research priorities of the Institute.
P&VPA	Provost and Vice-President, Academic.



Procedure

Proposal

1. A proposal is developed within an AU faculty, portfolio or executive office. Regardless of the source, individuals drafting proposals should consult with the relevant Dean and/or the P&VPA in advance of proposal submission.
2. Proposals should normally include the following:
 - a. The name and detailed purpose of the proposed institute, endorsed by the signature of the relevant Dean or Executive Officer.
 - b. A statement outlining the benefit to AU of the proposed institute.
 - c. A description of the proposed governance structure and reporting lines.
 - d. A statement concerning the role of the institute director.
 - e. A breakdown (by AU unit of origin) of the employment status of the proposed staff complement.
 - f. A detailed budget plan for the first three years.
 - g. A provision for annual reporting.
 - h. A provision for the five-year review and specification of how and by whom it will be carried out.

Establishment

3. The proposal is submitted to the P&VPA for assessment. The P&VPA either (a) rejects the proposal, returns the proposal with suggestions for refinement and/or improvement, or (b) forwards it to APPC for its review and to Executive Group for endorsement, prior to its submission to the Board for final approval.
4. No units of the proposed institute can begin operation without final approval.
5. Once the new Research Institute is approved, the interim lead/Director of the new Research Institute ensures that the full approval processes of any proposed partners have been successfully completed before initiating operations. The full approvals are reviewed by the relevant Dean prior to the opening of the Institute.

Governance, Structure and Membership

6. The Director initiates recruitment/staffing efforts according to the approved proposal, and nominates Members to the relevant Dean.
7. The Dean reviews the nominations and either consults with the Director (and other individuals) or endorses them before forwarding them to the P&VPA for approval.
8. The P&VPA approves the initial membership.



9. If part of the approved proposal, Members drawn from within AU negotiate release time with the relevant Dean.

Operation

10. The Director initiates the authorized activities of the Research Institute according to the approved proposal.
11. The Director and P&VPA fulfill the reporting requirements of the Policy.

Renewal

12. No later than six months prior to the 5th anniversary of the establishment of the Research Institute, the P&VPA assembles a review committee comprising: the P&VPA (Chair), three senior faculty nominated by the relevant Dean and endorsed by the P&VPA, and the OP&VPA Budget Officer (resource), and requests a review of activities, including previous Annual Reports from the Director.
13. The Committee reviews the documents prior to the first meeting. The number and schedule of meetings for the review committee is at the discretion of the P&VPA.

The Committee, upon completion of its review, forwards a recommendation to the Board to renew, renew with adjustments, suspend or terminate the mandate of the Research Institute.

Applicable Legislation and Regulations

[Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c. F-25](#)

[Post-Secondary Learning Act, S.A. 2003, c. P-19.5](#)

Human Resources and Skills Development Canada - Foreign Workers Policy

Related References, Policies, Procedures and Forms

[Research Institutes Policy](#)

[Ethical Conduct for Research Involving Humans Policy](#)

[Ethical Conduct for Research Involving Humans Procedures](#)

[Research Integrity Policy](#)

[Breach of Research Integrity Procedures](#)

[Other relevant Research Policies](#)

History

The Governors of Athabasca University, Motion # 187-12 (associated policy approved)