

November 21, 2011

Board Learning and Discovery Committee (BLDC)

The following Motion was recommended to the Board of Governors for approval by the Board Learning and Discovery Committee in the Open Session meeting of November 21, 2011.

Agenda Title:

Motion: THAT the Board Learning and Discovery Committee recommend that the Board of Governors approve the proposed changes to the UAPPOL Centres and Institutes Policy, as submitted by the Office of the Provost and Vice-President (Academic) as set forth in Attachment 1.

Note 1: The proposed changes to the Academic Centres and Institutes Establishment Procedure, the Academic Centres and Institutes Operation Procedure, and the Academic Centres and Institutes Termination Procedure were approved, under delegated by the General Faculties Council Executive at its meeting of November 7, 2011. They are included herein for the information only of the Board Learning and Discovery Committee.

Note 2: The proposed revisions to the Affiliated Centres and Institutes Establishment Procedure, the Affiliated Centres and Institutes Operation Procedure, the Affiliated Centres and Institutes Termination Procedure, and the Affiliated Centres and Institutes (Appendix A) Agreement Requirements are included herein for the information only of members of the Board Learning and Discovery Committee. The final approver of changes to these UAPPOL Procedures (and the accompanying 'Agreement Requirements') is the Provost and Vice-President (Academic).

Final Recommended Document: [Item 6](#)

OUTLINE OF ISSUE

Agenda Title: **Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures**

Motion: THAT the Board Learning and Discovery Committee recommend that the Board of Governors approve the proposed changes to the UAPPOL Centres and Institutes Policy, as submitted by the Office of the Provost and Vice-President (Academic) as set forth in Attachment 1.

Note 1: The proposed changes to the Academic Centres and Institutes Establishment Procedure, the Academic Centres and Institutes Operation Procedure, and the Academic Centres and Institutes Termination Procedure were approved, under delegated by the General Faculties Council Executive at its meeting of November 7, 2011. They are included herein for the information only of the Board Learning and Discovery Committee.

Note 2: The proposed revisions to the Affiliated Centres and Institutes Establishment Procedure, the Affiliated Centres and Institutes Operation Procedure, the Affiliated Centres and Institutes Termination Procedure, and the Affiliated Centres and Institutes (Appendix A) Agreement Requirements are included herein for the information only of members of the Board Learning and Discovery Committee. The final approver of changes to these UAPPOL Procedures (and the accompanying 'Agreement Requirements') is the Provost and Vice-President (Academic).

Item

Action Requested	<input checked="" type="checkbox"/> Approval <input checked="" type="checkbox"/> Recommendation <input type="checkbox"/> Discussion/Advice <input type="checkbox"/> Information
Proposed by	Provost and Vice-President (Academic)
Presenter	Colleen Skidmore, Vice-Provost and Associate Vice-President (Academic); and Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic)
Subject	Revisions to the Centres and Institutes Policy and associated Procedures (as set out in the University of Alberta Policies and Procedures On Line (UAPPOL))

Details

Responsibility	Provost and Vice-President (Academic)
The Purpose of the Proposal is (please be specific)	To approve changes to the UAPPOL Centres and Institutes Policy and its associated Procedures. Many of the changes are editorial. Some of the more substantial changes include revisions related to regular review, renewal, and review associated with perceived risk.
The Impact of the Proposal is	Minimal.
Replaces/Revises (eg, policies, resolutions)	UAPPOL Centres and Institutes Policy and associated Procedures.
Timeline/Implementation Date	Upon approval, as set out in the 'Motion' above.
Estimated Cost	N/A
Sources of Funding	N/A
Notes	N/A

Alignment/Compliance

Alignment with Guiding Documents	<i>Dare to Discover</i> (Learning, Discovery and Citizenship; Transformative Organization and Support) and <i>Dare to Deliver</i>
Compliance with Legislation, Policy and/or Procedure	1. Post-Secondary Learning Act (PSLA): The PSLA gives the Board of Governors the authority to "develop, manage and operate, alone or in

Relevant to the Proposal
(please quote legislation and
include identifying section
numbers)

co-operation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta” (Section 60(1)). Subject to the authority of the Board of Governors, the General Faculties Council has responsibility over “academic affairs” (Section 26(1)) and can “make recommendations to the board with

1. respect to affiliation with other institutions” (Section 26(1)(o)). [...]”

2. GFC Executive Committee Terms of Reference (Section 3 (Mandate of the Committee)):

“5. Agendas of General Faculties Council

GFC has delegated to the Executive Committee the authority to decide which items are placed on a GFC Agenda, and the order in which those agenda items appear on each GFC agenda. [...]

With respect to recommendations from other bodies and other GFC committees, [...] the role of the Executive Committee shall be to examine and debate the substance of reports or recommendations and to decide if an item is ready to be forwarded to the full governing body. The Executive Committee may decide to refer a proposal back to the originating body, to refer the proposal to another body or individual for study or review, or to take other action in order to ready a proposal for consideration by General Faculties Council. When the GFC Executive Committee forwards a proposal to GFC, it shall make a recommendation that GFC endorse; endorse with suggested amendments; not endorse; or forward the proposal with no comment.

[...]”

3. GFC Policy: Section 3, GFC Executive Committee Terms of Reference (Mandate of the Committee), states: “To act as the executive body of General Faculties Council and, in general, carry out the functions delegated to it by General Faculties Council.

1. Urgent Matters: The power to deal with any matters that cannot be deferred is delegated to the Executive Committee which shall determine which matters are to be considered urgent. (GFC 09 AUG 1966).

2. Routine Matters: Matters which are routine in carrying out the policies approved by General Faculties Council are delegated to the Executive Committee.”

4. MANDATE OF THE BOARD LEARNING AND DISCOVERY COMMITTEE

Except as provided in paragraph 4 hereof and in the Board’s General Committee Terms of Reference, the Committee shall, in accordance with the Committee’s responsibilities with powers granted under the *Post-Secondary Learning Act*, monitor, evaluate, advise and make decisions on behalf of the Board with respect to matters concerning the teaching and research affairs of the University, including proposals coming from

	<p>the administration and from General Faculties Council (the “GFC”), and shall consider future educational expectations and challenges to be faced by the University. The Committee shall also include any other matter delegated to the Committee by the Board.</p> <p>Without limiting the generality of the foregoing the Committee shall:</p> <p>[...]</p> <p>b. review, provide feedback and approve teaching and research policies;</p> <p>c. review and approve recommendations of GFC for major changes in instructional and research programs and other academic matters;</p> <p>[...]</p> <p>f. review and provide recommendations on the University’s enterprise-wide risks and risk measures related to the Committee mandate;</p> <p>[...]</p> <p>j. ensure that the academic teaching and research activities at the University are administered and undertaken in a manner consistent with the vision and mission of the University;</p> <p>[...].</p> <p>The Committee shall review, evaluate, and provide information and recommendations to the Board where the Board is making decisions in areas generally related to areas of responsibility of the Committee.”</p>
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Routing (Include meeting dates)

Consultative Route (parties who have seen the proposal and in what capacity)	Vice-Provosts’ Meeting (VPM); Murray Gray, Faculty of Engineering (and Incoming Vice-Provost (Academic)); Office of General Counsel; Centres and Institutes Committee (CIC); Strategic Initiatives Group (SIG); Executive Planning Committee (EPC); President’s Executive Committee (PEC)
Approval Route (Governance) (including meeting dates)	GFC Executive Committee (November 7, 2011) – for recommendation to the Board of Governors (Centres and Institutes Policy revisions) and for final approval (associated Academic Centres and Institutes Procedures); Board Learning and Discovery Committee (BLDC) (November 21, 2011) – for recommendation to the Board of Governors (Centres and Institutes Policy revisions only); Board of Governors (December 9, 2011) – for final approval (Centres and Institutes Policy revisions only)
Final Approver	See ‘Approval Route’.

Attachments

- Attachment 1 (pages 1 – 32): Proposed Revisions to the UAPPOL Centres and Institutes Policy and Associated Procedures

Prepared by: Kathleen Brough, Portfolio Initiatives Manager, Office of the Provost and Vice-President (Academic) (with assistance from University Governance)

Go to:	[Overview]	[Purpose]	[POLICY]	[DEFINITIONS]	[RELATED LINKS]
This document is the parent policy for any associated procedures or appendices. Questions regarding this policy should be addressed to the Office of Administrative Responsibility.					

Centres and Institutes Policy

Office of Accountability:	Provost and Vice-President (Academic)
Office of Administrative Responsibility:	Provost and Vice-President (Academic)
Approver:	Board of Governors and General Faculties Council
Scope:	Compliance with University policy extends to all members of the University community.

Overview

There are two types of **centres** and **institutes** governed by this policy: **academic centres and institutes** and **affiliated centres and institutes**.

The Government of Alberta's *Post-Secondary Learning Act* gives the Board of Governors the authority to “develop, manage and operate, alone or in co-operation with any person or organization, programs, services and facilities for the educational or cultural advancement of the people of Alberta” (section 60(1)). Subject to the authority of the Board of Governors, the General Faculties Council has responsibility over “academic affairs” (section 26(1)) and can “make recommendations to the board with respect to affiliation with other institutions” (section 26(1)(o)).

Purpose

This policy addresses academic and affiliated centres and institutes at the University of Alberta, in accordance with the University's mission.

POLICY

1. ACADEMIC CENTRES AND INSTITUTES

The University of Alberta ~~shall~~ may create academic centres and institutes which ~~will~~ shall engage in scholarship and carry forward the mission of the University through specific attention to an area of study or research.

Each academic centre or institute will report to a Dean, except in exceptional circumstances and at the discretion of the Provost when an academic centre or institute may report directly to a Vice-President.

The Provost and Vice-President (Academic) shall have final authority in determining whether an academic centre or institute falls under this policy.

Academic centres and institutes shall highlight a department's, a Faculty's, and/or the University's expertise in an area.

2. AFFILIATED CENTRES AND INSTITUTES

The University of Alberta shall enter into affiliation agreements with third parties to create affiliated centres or institutes that engage in scholarship and carry forward the mission of the University through specific attention to an area of study or research.

All affiliation agreements for centres and institutes will be entered into in the name of the Governors of the University of Alberta and the Governors delegate final approval for all such affiliation agreements to the Executive Planning Committee.

Prior to entering into an affiliation agreement, appropriate advice will be sought from [legal-the Office of General Counsel](#) and [risk-Risk managementManagement Services](#).

The formal affiliation agreement must include the critical elements outlined in the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements* and will ensure the risk to the University has been minimized.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. ▲ Top	
Centres	<p>A centre normally engages in study, research or other academic focus on a specific area of interest that is defined closely at its creation and would normally incorporate a commitment to conduct its activities beyond the scope of a single discipline.</p> <p>Centres are units or bodies not normally founded solely to conduct a research project before disbanding. They are to be distinguished from units called “centres” that do not have a mandate to engage in scholarship, for example units such as the Sexual Assault Centre or buildings such as the Van Vliet Physical Education and Recreation Centre.</p> <p>Centres often exist within the mandate of a single Faculty.</p>
Institutes	<p>An institute normally is broader in scope than a centre and engages in interdisciplinary and multidisciplinary research into a major area of interest to one or multiple Faculties.</p> <p>Institutes are entities not normally founded solely to conduct a research project before disbanding.</p> <p>Normally, an institute shall engage in multiple initiatives simultaneously and engage the talents of several different experts.</p>
Academic Centre or Institute	<p>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta. An aAcademic cCentre or iInstitute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the cCentre or iInstitute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, aAcademic cCentres and iInstitutes shall not place any limits on these</p>

	<p>accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic cCentre or institute has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
Affiliated Centre or Institute	<p>An aAffiliated cCentre or institute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The cCentre or institute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes created through an agreement whether located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
Research Project	<p>A research project exists to fulfill the obligations of the funding grant, and as such, has a beginning and end date. The Principal Investigators within the research project are University of Alberta researchers.</p>
Control	<p><u>Majority of voting shares and/or ability to appoint the majority of directors.</u>The continuing power to determine the strategic operating and financing policies without the cooperation of others.</p>

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca. [[▲ Top](#)]

[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

[Post-Secondary Learning Act](#) (Government of Alberta)

Go to:	[Purpose]	[PROCEDURE]	[DEFINITIONS]	[FORMS]	[RELATED LINKS]
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

Academic Centres and Institutes Establishment Procedure

Office of Administrative Responsibility:	Provost and Vice-President (Academic)
Approver:	GFC Executive Committee
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

This procedure applies to all **academic centres and institutes**. It does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

Purpose

To outline the University's requirements for establishing academic centres and institutes.

PROCEDURE

1. PROPOSAL

[A University of Alberta Template for Proposals to Establish New Academic Centres and Institutes can be accessed from Forms \(below\). Proposals will be written using the template provided and submitted to the Office of the Provost and Vice-President \(Academic\) for assessment. Proposers are encouraged to consult the Office of the Provost and Vice-President \(Academic\) in advance.](#) All proposals for the establishment of academic centres and institutes should normally contain the following:

- a) The name and detailed purpose of the unit; [and the name and signature of the Reporting Dean;](#)
- ~~b) A statement of the priority of the unit within the overall priorities of the Faculty and/or University, and a statement of the benefits the University of Alberta could expect to receive through the creation of the academic centre or institute;~~

~~Termination plans must include details of any financial encumbrances, physical resources, or effect on teaching or other dissemination obligations.~~

- ~~c) A statement of the priority of the unit within the overall priorities of the Faculty and/or University, and a statement of the benefits the University of Alberta could expect to receive through the creation of the academic centre or institute;~~
- [b\) A description of governance structure and reporting lines \(including a diagram of organizational structure\).](#)
- ~~d) c) A statement of the role and qualifications of the [chief officer\(s\) centre/institute lead and/or the chief administrative officer, if applicable,](#) of the proposed academic centre or institute;~~

- d) A statement of the employment status of those working for the proposed academic centre or institute (i.e., are they University of Alberta employees?);
- e) A detailed budget with projections over three to five years;
- e)f) Physical space requirements;
- f)g) Letters of support from relevant on- and off-campus sources, including from each of the Deans of all Faculties affiliated with and affected by the proposed academic centre or institute;
- g)h) An exigency plan for ~~termination dissolution~~ of the academic centre or institute: if physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the ~~terminationdissolution~~ plan.
- h)i) A clear definition of the status of the academic centre or institute as a University unit or body or a University/partner unit or body;
- i)j) If applicable, any agreements and/or memoranda of understanding between the University of Alberta and its partner(s) to establish, fund, and operate the academic centre or institute;
- j)k) A provision for annual reporting to the Reporting Dean or Vice-President and a provision for an annual declaration to the Office of the Provost and Vice-President (Academic);;
- k)l) A provision for strategic and operational review, to occur no less frequently than every five years, and a clear statement of who shall perform such reviews;
- m) A statement of potential risks inherent in the activities of the proposed academic centre or institute and what steps would be taken to address them;
- l)n) A statement of provision for dealing with intellectual property;
- o) An outline of the centre or institute's academic contributions to the University.

2. ESTABLISHMENT

All proposals for establishment of academic centres and institutes shall be submitted initially to the Provost and Vice-President (Academic) for assessment. ~~The Strategic Initiatives Group (SIG) shall review operational details (e.g. budget, space) for the proposed centre or institute and suggest revisions or recommend clarification as needed.~~ Proposals deemed to be in good order will be forwarded by the proposer(s) to the GFC Academic Planning Committee (APC) for final approval.

When the University of Alberta forms a partnership with another entity in creating an academic centre or institute, full approval processes must be followed with all partner entities prior to operation.

Proposed academic centres and institutes shall not operate prior to receipt of notice of approval.

All academic centres and institutes ~~operating existing~~ but not approved by APC shall come into compliance immediately or be considered for closure.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top](#)

Academic Centre or Institute	<u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta</u> . An a Academic c Centre or i nstitute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities,
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	<p>governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>c</u>Centre or <u>i</u>Institute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>a</u>Academic <u>c</u>Centres and <u>i</u>Institutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or Institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>c</u>Centre or <u>i</u>Institute has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
Affiliated Centre or Institute	<p>An <u>a</u>Affiliated <u>c</u>Centre or <u>i</u>Institute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <u>c</u>Centre or <u>i</u>Institute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <u>created through an agreement whether</u> located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<u>Reporting Dean</u>	<u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u>
<u>Centre/Institute Lead</u>	<u>The individual responsible for overall reporting for a centre or institute.</u>
Control	<u>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</u>

FORMS

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[University of Alberta Template for Proposals to Establish New Academic Centres and Institutes](#)

RELATED LINKS

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[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

University of Alberta Template for Proposals to Establish New Academic Centres and Institutes

Proposers will complete and submit this template to the Office of the Provost for approval in accordance with UAPPOL Policy. This template is expandable ; the completed template may be up to 8 to 10 pages in length (not including letters of support or other appendices relevant to the proposal). Before developing a proposal and completing this template, please review the UAPPOL Centres and Institutes Policy, as well as associated procedures for academic centres and institutes – www.uappol.ualberta.ca .

1.	<p>Name and Faculty of Reporting Dean:</p> <table border="1" style="width: 100%; height: 60px; margin-top: 10px;"> <tr> <td style="width: 75%; padding: 5px;">Signature:</td> <td style="width: 25%; padding: 5px;">Date:</td> </tr> </table>	Signature:	Date:
Signature:	Date:		
2.	<p><u>Name and Detailed Purpose of the Proposed Centre or Institute:</u></p>		
3.	<p><u>Provide a statement of the priority of the proposed centre or institute within the overall priorities of the Faculty and/or the University of Alberta. Include a statement of benefits the University of Alberta could expect to receive through creation of the proposed centre or institute, including benefits to students.</u></p>		
4.	<p><u>Provide a description of the proposed centre/institute governance structure/reporting lines. Include a diagram of organizational structure.</u></p>		
5.	<p><u>Provide a statement of the role and qualifications of the centre/institute lead of the proposed centre or institute.</u></p>		
6.	<p><u>Employees</u></p> <ul style="list-style-type: none"> a) Provide a statement of the employment status of employees (i.e., are they University of Alberta employees?) b) Specific source(s) of any “University funding” must be identified c) Personnel expenditures must include adequate provisions for benefit costs, salary settlements, and other escalating factors. 		
7.	<p><u>Detailed Budget</u></p> <ul style="list-style-type: none"> a) Include key sources of operating funds, and include revenue sources and expenditures for [ideally] 5 years projected. b) State specific source(s) of any “University funding” c) personnel expenditures must include adequate provisions for benefit costs d) escalation factors must be built into expenditure projections (i.e. escalation due to inflation, future salary settlements, etc.) e) if in-kind support is identified, the specifics of that support must be listed separately 		
8.	<p><u>Space Requirements.</u></p> <p>Space required? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If “No” selected, where is current space? _____</p>		

	<p>If "Yes" selected, complete the following:</p> <p><input type="checkbox"/> On-site at the University of Alberta</p> <p><input type="checkbox"/> Awaiting allocation</p> <p><input type="checkbox"/> Rent/lease required</p> <p>If rent/lease is required, has this been budgeted for? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Is funding required? Yes <input type="checkbox"/> No <input type="checkbox"/> Reasons: _____</p> <p>Address the following questions:</p> <p>a) If rent/lease or license is required, what is the University of Alberta's commitment?</p> <p>b) If new space or modifications to existing space are required, has Facilities and Operations been contacted and has this been included in the budget?</p>
9.	<p><u>Equipment</u></p> <p>a) Identify any existing equipment (major or minor), where the equipment is located and who owns the equipment.</p> <p>b) If additional equipment is required, where will it be located, who will purchase?</p>
10.	<p><u>Potential Risks to the University of Alberta</u></p> <p>a) State any reputational, financial, and/or operational risks to the University of Alberta.</p> <p>b) Outline plans to mitigate/manage those risks.</p> <p>c) Risk Management Services may be consulted.</p>
11.	<p><u>Annual Reporting and Strategic Review: In accordance with UAPPOL Policy</u></p> <p>a) State a provision for annual reporting to the Reporting Dean</p> <p>b) State a provision for annual reporting to the Office of the Provost</p> <p>c) State a provision for strategic and operational review by the Reporting Dean (or delegate) at no less frequency than every five years.</p>
12.	<p><u>Intellectual Property (IP) and Copyright</u></p> <p>a) Will any copyright or patentable IP be created, and if so, how will it be handled?</p> <p>b) How will ownership and commercialization of IP be handled?</p>
13.	<p><u>Termination Plan/Provisions</u></p> <p>a) Exigency plan for termination: If physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the dissolution plan.</p>
14.	<p><u>Letters of Support:</u> Attach letters from relevant on- and off-campus sources</p>
15.	<p>Provide, if applicable, any <u>agreements and/or memoranda of understanding between the University of Alberta and its partner(s)</u> to establish, fund and operate the proposed academic centre or institute</p>

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Go to:	[Purpose]	[PROCEDURE]	[DEFINITIONS]	[FORMS]	[RELATED LINKS]
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

Academic Centres and Institutes Operation Procedure

Office of Administrative Responsibility:	Provost and Vice-President (Academic)
Approver:	GFC Executive Committee
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

This procedure applies to all **academic centres and institutes**. This procedure does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant

Purpose

To outline University requirements for the operation of academic centres or institutes.

PROCEDURE

1. ANNUAL REPORTING TO THE FACULTY OR UNIT

All academic centres and institutes must prepare and submit annual reports. ~~Annual reports are to be directed to the relevant to the Reporting Dean(s)~~ (for most ~~units~~ centres and institutes) or Vice-President (for a small number of ~~units~~ centres and institutes that report directly to a Vice-President). The ~~relevant~~ Reporting Deans and Vice-Presidents shall ~~annually declare~~ submit an annual declaration to the Provost's Office listing which units have provided reports and which have not.

Annual reports shall detail:

- objectives of the academic centre or institute and whether they continue to align with University priorities.
- the activities undertaken in the previous year;
- how those activities supported the goals; and
- the centre or institute's financial report for the fiscal year.
- ~~— objectives of the academic centre or institute and whether they continue to align with University priorities.~~

2. ANNUAL REPORTING-DECLARATION TO THE PROVOST'S OFFICE

The Provost's Office will ensure that all academic units are catalogued and that the contact information for the centre/institute lead of each unit is kept current.

All academic centres and institutes must annually declare the following to the Provost's Office for the purposes of record-keeping:

- The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the academic centre/institute.
- The names of all members of any boards or advisory committees, if applicable; and
- The names of all affiliated Faculties;
- ~~The name and contact information for the director and, if applicable, for the chief administrative officer for the academic centre/institute.~~

~~The Provost's Office will ensure that all affiliated units are catalogued and that the contact information for the **Chief Officer** of each unit is kept up to date.~~

3. PROPOSALS FOR **MAJOR CHANGES** TO ACADEMIC CENTRES OR INSTITUTES

All proposals for major changes to academic centres and institutes ~~the renaming of an academic centre or institute, or change in legal status, affiliation or substantial change to strategic direction of a centre or institute~~ shall be submitted to the Academic Planning Committee (APC) for approval. Where there is a question or dispute regarding whether or not a proposed change to a centre or institute is major, the Provost and Vice-President (Academic) will make the determination after consulting with the Vice-President (Research) and other appropriate parties.

4. ANNUAL REPORTING BY ACADEMIC PLANNING COMMITTEE TO GENERAL FACULTIES COUNCIL

All approvals and re-namings of academic centres and institutes must be included in APC's annual report to General Faculties Council.

5. FIVE-YEAR STRATEGIC REVIEW AND RENEWAL

The Reporting Dean and/or Vice-President shall ensure that all academic centres and institutes under his or her purview undergo and report on strategic and operational reviews at least every five years.

Academic centre and institute renewal is dependent upon the determination by the Reporting Dean and/or Vice-President, based on annual reporting and strategic and operational reviews, that:

- the centre or institute has made a demonstrated contribution to the mission of the University beyond what is possible by the department/Faculty in which the academic centre or institute is housed;
- the centre or institute continues to be financially viable/sustainable; and
- significant risk, if identified, as been mitigated or addressed.

If, at any point, any of these three conditions is no longer being met, then termination procedures may be initiated for the centre or institute.

6. RISK REVIEW

The Executive Planning Committee (EPC) or the President's Executive Committee (PEC) may, at any time, request and review the annual report of an academic centre or institute to assess the risk to the University associated with the unit. As a result of this review, EPC or PEC may request that the centre/institute lead investigate and address the perceived risk in a report back to the committee that made the request.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended

institution-wide use. ▲Top	
Academic Centre or Institute	<p>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta. An Academic Centre or Institute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the Centre or Institute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, Academic Centres and Institutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or Institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic Centre or Institute has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
Affiliated Centre or Institute	<p>An Affiliated Centre or Institute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The Centre or Institute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This definition would include centres and institutes created through an agreement whether located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
Reporting Dean	The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the Reporting Dean.
Centre/Institute Lead	The individual responsible for overall reporting for a centre or institute.
Major Changes	Changes that include, but are not limited to, the functional renaming of an academic centre or institute, change in legal status or affiliation or substantial change to strategic direction of a centre or institute. Note that philanthropic or honorific renaming will be approved subject to the Naming Policy and associated procedures.
Chief Officer	The academic leader of the centre or institute. This individual is responsible for budget and expenditure reporting.

Control

~~The continuing power to determine the strategic operating and financing policies without the cooperation of others.~~ Majority of voting shares and/or ability to appoint the majority of directors.

FORMS

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[Academic Centres and Institutes – Annual Declaration to be Provided to the Office of the Provost](#)

[Academic Centres and Institutes – Five Year Review](#)

RELATED LINKS

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[Academic Centres and Institutes](#) (University of Alberta)

[Naming Policy](#) (University of Alberta)

**ACADEMIC CENTRES AND INSTITUTES – ANNUAL DECLARATION
TO BE PROVIDED TO THE OFFICE OF THE PROVOST**

Compliance with University Policy extends to all members of the University Community. The UAPPOL Centres and Institutes Policy, Operation Procedure for Academic Centres states the following:

The Provost's Office will ensure that all academic units are catalogued and that the contact information for the **centre/institute lead** of each unit is kept current.

All academic centres and institutes must annually declare the following to the Provost's Office:

- The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the academic centre/institute;
- The names of all members of any boards or advisory committees, if applicable; and
- The names of all affiliated Faculties (if applicable).

ACADEMIC CENTRES AND INSTITUTES – ANNUAL DECLARATION TO THE PROVOST'S OFFICE	
Name of Centre or Institute	
Date of Declaration :	
Reporting Dean: Name:	Signature:
The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the academic centre/institute (include UofA mailing address, e-mail address and phone)	
Members of any Boards or Advisory Committees	
Affiliated Faculties (if any)	

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FACULTY OF <>
<Name of Academic Centre or Institute>
Five-Year Review 20<> to 20<>

UAPPOL Centres and Institutes Policy, Academic Centres and Institutes Operation Procedure Section 5. (Five-Year Strategic Review) states that "The Reporting Dean shall ensure that all academic centres and institutes under his or her purview undergo and report on strategic and operational reviews at least every five years." (www.uappol.ualberta.ca)

*To be completed by the Centre/Institute Lead and submitted to the Reporting Dean.
This form is expandable. Please enter text in the boxes below each heading.
A response is required for each question.*

1. Name of Academic centre/institute.
2. Name of Academic centre/institute Lead (as defined by UAPPOL Policy as the individual responsible for overall reporting for a centre or institute).
3. <input type="checkbox"/> The centre/institute is still active: go to item 4) below <input type="checkbox"/> The centre/institute is no longer active: go to item 13) in the form
4. <input type="checkbox"/> The centre/institute has been officially approved by the University of Alberta in accordance with UAPPOL Academic Centres and Institutes Establishment Procedure <input type="checkbox"/> The centre/institute has not been officially approved but approval as a centre will be sought (expected date of submission for approval <>). <input type="checkbox"/> The centre/institute has not been officially approved and a request will be made to have it reclassified as a research group <input type="checkbox"/> The official University of Alberta status of this centre is not known
5. List of centre/institute academic members.
6. Brief summary of the centre/institute’s purpose and objectives/strategic and operational goals.
7. Overview of activities including a description of how the centre/institute meets or otherwise interacts on a regular basis (1.0 pages maximum). Please highlight any interfaculty initiatives.

8. Contributions to teaching and training (0.5 pages maximum).
9. Describe any research core services operated by the centre/institute including a description of users (e.g. centre/institute members only, other Faculty members, others).
10. Financial – provide a financial statement (including revenue and expenses) covering the period under review (ie. last five years).
11. In-kind Support – provide a description on any significant in-kind support received from any source over the period under review (e.g. administrative support, space, website support).
12. Additional comments: please provide any additional information as desired.
13. This centre is no longer active. Please provide a summary of why this centre is no longer active (e.g. has been assimilated into another centre) and whether you see any prospect of it becoming active again in the near future.

Questions regarding completion this report can be addressed to <>, Office of the Dean, Faculty of <>. Please submit a completed report in electronic format to <>, at <email address>..

Centre or Institute Lead/Director

Name and Title

Date Submitted

Go to:	[Purpose]	[PROCEDURE]	[DEFINITIONS]	[FORMS]	[RELATED LINKS]
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

Academic Centres and Institutes Termination Procedure

Office of Administrative Responsibility:	Provost and Vice-President (Academic)
Approver:	General Faculties Council (GFC Executive Committee)
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

This procedure applies to all **academic centres and institutes**. This procedure does not apply to **affiliated centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

Purpose

To outline University requirements for the termination of academic centres and institutes.

PROCEDURE

1. SUSPENSION OF OPERATION

In consultation with the relevant Dean(s), the Provost and Vice-President (Academic) may suspend the operation of any academic centre or institute at any time. In such cases, the Provost and Vice-President (Academic) must at the earliest opportunity inform the Academic Planning Committee (APC) of the suspension of activity and the reasons for doing so. Prior to the ~~suspension~~ ~~or suspension~~ ~~termination~~ of an academic centre or institute, consideration must be given to the impact this would have on any agreements that have been entered into with third parties.

2. TERMINATION

Termination of academic centres and institutes shall occur by one of two means:

- by resolution of APC on the recommendation of the ~~Centre~~ ~~centre/Institute~~ ~~institute~~ **Reporting Dean**, or the University Administration;
- by lack of submission of annual reports **to the Reporting Dean** for a period of two consecutive years. In such cases, the University Administration shall inform APC of the relevant unit's ~~failure to report inactivity~~ and notice of closure.

Termination plans must include details of any financial encumbrances, physical resources, or effect on teaching or other dissemination obligations.

The termination of an academic centre or institute must be included in APC's annual report to General Faculties Council.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [\[▲Top\]](#)

<p>Academic Centre or Institute</p>	<p><u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta.</u> An Aacademic Ccentre or institute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the Ccentre or institute, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, aAcademic cCentres and institutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic cCentre or institute has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
<p>Affiliated Centre or Institute</p>	<p>An aAffiliated cCentre or institute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The cCentre or institute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes created through an agreement whether located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><u>Reporting Dean</u></p>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u></p>
<p>Control</p>	<p>The continuing power to determine the strategic operating and financing policies without the cooperation of others. <u>Majority of voting shares and/or ability to appoint the majority of directors.</u></p>

FORMS

There are no forms for this Procedure. [\[▲Top\]](#)

RELATED LINKS

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[Academic Centres and Institutes](#) (University of Alberta)

Go to:	[Purpose]	[PROCEDURE]	[DEFINITIONS]	[FORMS]	[RELATED LINKS]
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

Affiliated Centres and Institutes Establishment Procedure

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	Provost and Vice-President (Academic)
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

Purpose

To outline the steps necessary for establishing an affiliated centre or institute.

PROCEDURE

1. PROPOSAL

[A University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes can be accessed from Forms \(below\). Proposals will be written using the template provided and submitted to the Office of the Provost and Vice-President \(Academic\).](#) All proposals for the establishment of affiliated centres and institutes created through a contractual relationship or agreement, depending on the nature of the centre or institute being contemplated, require consultation with the [Office of the Provost and Vice-President \(Academic\)](#)'s office or the [Office of the Vice-President \(Research\)](#)'s office at the earliest feasible stage.

The proposal [template addresses shall address](#) the critical elements [of a proposal as](#) outlined within the [Affiliated Centres and Institutes \(Appendix A\) Agreement Requirements](#), ~~or explain why a critical element(s) is not applicable.~~

In addition to the required critical elements, the proposal submitted to the Provost shall contain:

- a. The name and detailed purpose of the unit [and the name and signature of the Reporting Dean](#);
- b. [Potential benefits to the University of Alberta](#)~~A clear statement of the benefit to the University of Alberta within the affiliation;~~
- c. [Membership and governance structure/reporting guidelines \(including a diagram of organizational structure\)](#);
- d. [A statement of the employment status and funding of employees](#);
- e. [A detailed budget which includes clear delineation of sources of operating funds](#);

- ~~e.f.~~ A statement of potential risks to the University of Alberta inherent in the activities of the proposed Centre/Institute and what steps would be taken to mitigate and/or manage ~~address~~ them;
- g. Physical space requirements;
- h. A statement for the provision of intellectual property;
- i. Statement of a provision for annual reporting and a stated provision for periodic strategic and operational review, as well as provision for reporting on such reviews, as will be outlined within the affiliation agreement;
- j. An exigency plan for termination;
- ~~d.~~ A detailed budget which includes clear delineation of sources of operating funds;
- ~~e.k.~~ Letters of support from relevant on- and off-campus sources;
- f.l. The agreement, contract and/or memoranda of understanding between the University of Alberta and its partners within the affiliation agreement.

2. ESTABLISHMENT

All proposals for establishment of affiliated centres and institutes shall be submitted initially to the Provost and Vice-President (Academic) for assessment. Proposals deemed to be in good order will be forwarded by the proposer(s) to the Executive Planning Committee (EPC) for final approval. ~~The Strategic Initiatives Group (SIG) shall review operational details (e.g., budget, space) for the proposed centre or institute and suggest revisions or clarification as needed. Proposals deemed to be in good order will be forwarded by the proposer(s) to the Executive Planning Committee (EPC) for final approval.~~

Proposed affiliated centres and institutes shall not operate prior to receipt of notice of approval.

All affiliated centres and institutes operating existing but not approved by EPC shall come into compliance immediately or be considered for closure.

DEFINITIONS

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<p>Affiliated Centre or Institute</p>	<p>An a<u>a</u>ffiliated c<u>c</u>entre or i<u>i</u>nstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The c<u>c</u>entre or i<u>i</u>nstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes created through an agreement whether located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p>Academic Centre or Institute</p>	<p><u>An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta</u>. An a<u>a</u>cademic c<u>c</u>entre or i<u>i</u>nstitute may exist solely within the University of Alberta or may be</p>

	<p>created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the <u>cCentre</u> or <u>iInstitute</u>, the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, <u>aAcademic cCentres</u> and <u>iInstitutes</u> shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p><u>cCentres</u> or <u>iInstitutes</u> are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic <u>cCentre</u> or <u>iInstitute</u> has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
Reporting Dean	<u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the reporting Dean.</u>
Control	<u>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</u>

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[University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes](#)

RELATED LINKS

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[Naming Policy](#) (University of Alberta)

University of Alberta Template for Proposals to Establish New Affiliated Centres and Institutes

Step 1: Completion of this template will provide an initial high-level conceptual proposal upon which Step 2 is based. This high-level piece will be submitted to the Office of the Provost in accordance with UAPPOL Policy. The proposal will be reviewed by the Centres and Institutes Committee **before** an agreement is written and before any details are negotiated.) **Before developing a proposal and completing this template, please review the UAPPOL Centres and Institutes Policy, as well as associated procedures for affiliated centres and institutes – www.uappol.ualberta.ca .**

Step 2: Agreement/MOU/or contract between the University of Alberta and its partner(s) within the agreement (To be developed in consultation with University General Counsel following completion of Step 1.)

NOTE: This document is expandable; **recommended length of the completed document is 8 to 10 pages**

1.	<p>Name and Faculty of Reporting Dean or Vice-President:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 75%; padding: 5px;">Signature:</td> <td style="width: 25%; padding: 5px;">Date:</td> </tr> </table>	Signature:	Date:
Signature:	Date:		
2.	<p><u>Name and Detailed Purpose of the Proposed Centre or Institute:</u></p>		
3.	<p><u>Potential Benefits to the University of Alberta</u></p> <ul style="list-style-type: none"> a) Highlight benefits to the University of Alberta, including benefit to students b) List affiliated partners 		
4.	<p><u>Overview of Membership and Governance Structure/Reporting Guidelines. Include a diagram of organizational structure.</u></p> <ul style="list-style-type: none"> a) Who appoints to the Board? b) What is the role of the Board? c) Provide a statement of the role and qualifications of the Chief Officer(s) of the proposed centre or institute 		
5.	<p><u>Employees</u></p> <ul style="list-style-type: none"> a) Provide a statement of the employment status of employees (i.e., are they University of Alberta employees?) b) Specific source(s) of any “University funding” must be identified c) Personnel expenditures must include adequate provisions for benefit costs, salary settlements, and other escalating factors. 		
6.	<p><u>Detailed Budget</u></p> <ul style="list-style-type: none"> a) Include key sources of operating funds, and include revenue sources and expenditures for [ideally] 5 years projected. b) State specific source(s) of any “University funding” c) personnel expenditures must include adequate provisions for benefit costs d) escalation factors must be built into expenditure projections (i.e. escalation due to inflation, future salary settlements, etc.) 		

	e) if in-kind support is identified, the specifics of that support must be listed separately
7.	<p><u>Potential Risks to the University of Alberta</u></p> <p>a) State any reputational, financial, and/or operational risks to the University of Alberta.</p> <p>b) Outline plans to mitigate/manage those risks.</p> <p>c) Risk Management Services may be consulted.</p>
8.	<p><u>Space Requirements.</u></p> <p>Space required? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If “No” selected, where is current space? _____</p> <p>If “Yes” selected, complete the following:</p> <p><input type="checkbox"/> On-site at the University of Alberta</p> <p><input type="checkbox"/> Awaiting allocation</p> <p><input type="checkbox"/> Rent/lease required</p> <p>If rent/lease is required, has this been budgeted for? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Is funding required? Yes <input type="checkbox"/> No <input type="checkbox"/> Reasons: _____</p> <p>Address the following questions:</p> <p>a) If rent/lease or license is required, what is the University of Alberta’s commitment?</p> <p>b) If new space or modifications to existing space are required, has Facilities and Operations been contacted and has this been included in the budget?</p>
9.	<p><u>Equipment</u></p> <p>a) Identify any existing equipment (major or minor), where the equipment is located and who owns the equipment.</p> <p>b) If additional equipment is required, where will it be located, who will purchase?</p>
10.	<p><u>Intellectual Property (IP) and Copyright</u></p> <p>a) Will any copyright or patentable IP be created, and if so, how will it be handled?</p> <p>b) How will ownership and commercialization of IP be handled?</p>
11.	<p><u>Annual Reporting and Strategic Review: In accordance with UAPPOL Policy</u></p> <p>a) State a provision for annual reporting as will be outlined within the affiliation agreement.</p> <p>b) State a provision for periodic strategic and operational review, as well as provision for reporting on such reviews, as will be outlined in the affiliation agreement.</p>
12.	<p><u>Termination Plan/Provisions</u></p> <p>a) Exigency plan for termination: If physical and/or financial resources will remain upon termination, a plan for consultation with donors or agencies associated with the centre or institute must be included in the termination plan.</p>
13.	<p><u>Letters of Support:</u> Attach letters from relevant on- and off-campus sources</p>

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Go to:	[Purpose]	[PROCEDURE]	[DEFINITIONS]	[FORMS]	[RELATED LINKS]
This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.					

Affiliated Centres and Institutes Operation Procedure

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	Provost and Vice-President (Academic)
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

Purpose

To outline University requirements for operating an affiliated centre or institute.

PROCEDURE

In accordance with the critical elements outlined in the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements*, each affiliated centre or institute with the University of Alberta must:

- provide an annual report as outlined within the affiliation agreement;
- conduct periodic reviews and report on those reviews as outlined within the affiliation agreement.

All proposals for the renaming of an affiliated centre or institute, or change in legal status, affiliation or substantial change to strategic direction of an affiliated centre or institute shall be submitted to the Executive Planning Committee for approval.

The affiliated centre or institute's annual report must be submitted to the **Reporting Dean** or Vice-President.

REVIEW AND RENEWAL

Processes for reporting and review of an affiliated centre or institute are detailed in the affiliation agreement. Affiliated centre and institute renewal is dependent upon the determination by the reporting Dean or Vice-President, based on reporting and review, that:

- the centre or institute has made a demonstrated contribution to the mission of the University beyond what is possible by the department/Faculty in which the affiliated centre or institute is housed;
- the centre or institute continues to be financially viable/sustainable; and
- significant risk, if identified, has been mitigated or addressed.

If, at any point, any of these three conditions is no longer being met, then termination procedures may be initiated for the centre or institute.

RISK REVIEW

The Executive Planning Committee (EPC) or the President’s Executive Committee (PEC) may, at any time, request and review the annual report of an affiliated centre or institute to assess the risk to the University associated with the unit. As a result of this review, EPC or PEC may request that the centre/institute lead investigate and address the perceived risk in a report back to the committee that made the request.

DEFINITIONS

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<p>Affiliated Centre or Institute</p>	<p>An <u>aAffiliated cCentre</u> or <u>iInstitute</u> is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The <u>cCentre</u> or <u>iInstitute</u> reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes <u>created through an agreement whether</u> located on or off the University’s campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
<p><u>Reporting Dean</u></p>	<p><u>The Dean of the Faculty to which a centre or institute reports. In the case where multiple Deans are associated with a centre or institute, one Dean will be deemed to be the Reporting Dean.</u></p>
<p><u>Centre/Institute Lead</u></p>	<p><u>The individual responsible for overall reporting for a centre or institute.</u></p>

Control

~~The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.~~

FORMS

There are no forms for this procedure. [[▲Top](#)]

RELATED LINKS

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[Naming Policy](#) (University of Alberta)

Go to:	[Purpose]	[PROCEDURE]	[DEFINITIONS]	[FORMS]	[RELATED LINKS]
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This procedure is governed by its parent policy. Questions regarding this procedure should be addressed to the Office of Administrative Responsibility.

Affiliated Centres and Institutes Termination Procedure

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	Provost and Vice-President (Academic)
Scope:	Compliance with University procedure extends to all members of the University community.

Overview

This procedure applies to all **affiliated centres and institutes**. This procedure does not apply to **academic centres and institutes**, nor shall it apply to research consortia that are created to fulfill the mandate of a research grant.

Purpose

To outline the steps necessary for terminating an affiliated centre or institute.

PROCEDURE

Compliance with University procedure extends to all members of the University community. [\[▲Top\]](#)

Prior to the termination of an affiliated centre or institute, and in accordance with the *Affiliated Centres and Institutes (Appendix A) Agreement Requirements*, ~~each-an~~ affiliated centre or institute must:

- notify the University of Alberta that a termination of the centre/institute is being considered;
- notify the University what physical and financial resources will remain following the termination of the affiliated centre or institute, if not already stated within the affiliation agreement;
- follow the obligations as outlined in the affiliation agreement and at law.

DEFINITIONS

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	<p>utmost value to academic freedom and scholarly integrity. Accordingly, aAcademic cCentres and iInstitutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.</p> <p>Centres or iInstitutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic cCentre or iInstitute has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
Affiliated Centre or Institute	<p>An aAffiliated cCentre or iInstitute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The cCentre or iInstitute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This definition would include centres and institutes created through an agreement whether located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
Control	<p>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of the voting shares and/or ability to appoint the majority of directors.</p>

FORMS

There are no forms for this procedure. [\[▲Top\]](#)

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This document is an appendix to its parent document. Questions regarding this document should be addressed to the Office of Administrative Responsibility.

Affiliated Centres and Institutes (Appendix A) Agreement Requirements

Office of Administrative Responsibility:	Office of the Provost and Vice-President (Academic)
Approver:	Provost and Vice-President (Academic)
Scope:	Compliance with University procedure extends to all members of the University community.

*NOTE: The critical elements outlined below apply to **affiliated centres and institutes** only. They do not apply to **academic centres and institutes**, nor shall they apply to research consortia that are created to fulfill the mandate of a research grant.

All agreements must be written and reviewed in accordance with the University of Alberta's *Contract Review and Signing Authority Policy*.

The affiliation agreement will be written to:

- ensure best practice in the management of the University's interests in an affiliated centre or institute.
- provide clarity of roles and responsibilities of the University and of the centre's or institute's board in terms of human resources, leases, ownership of equipment, ownership of research, reporting, etc.
- understand both the potential opportunities and exposures to the University and ensure appropriate steps are taken to mitigate significant risks.
- demonstrate consultation with appropriate University units and departments (e.g. General Counsel must be consulted on legal issues, Risk Management on insurance issues, Academic Staff Administration and/or Employee Relations on employment issues, etc)

All agreements to create an affiliated centre or institute must also contain the following critical elements. In certain circumstances, upon consultation with the University department that has responsibility for the area, it may be determined that one or more of these elements may not be required:

1. Legal Status
 - a. Define the parties within the affiliation.
 - b. Define the legal status of the centre/institute.
2. Reporting/Governance Structure
 - a. Define the representation of each partner within the affiliation agreement on the board of directors or similar governing body and the associated roles and responsibilities of the board.
 - b. Define the powers of the governing board.
 - c. Define the powers that are reserved to parties (for example, the power to amend the affiliation agreement).
 - d. If applicable, define the representation and responsibilities of the advisory council or similar advisory body.

- e. Define the role and qualifications of the chief officer(s) of the proposed centre/institute.
- f. Define the timing of and how the annual reporting will be conducted and the intended audience of the report.
- g. Define how periodic reviews will be conducted, the timing of those reviews, and how the results of the reviews will be reported to each member institution.

3. Employees

Provisions must be included to deal with any employment issues that may arise as a result of the affiliation. This could include issues such as secondments between the parties, applicability of collective agreements and compliance with policies.

4. Space/Lease Agreement

Define the arrangements for the ownership and use of space, with associated liabilities clearly defined.

5. Equipment

Define the agreement regarding the purchase, ownership, and use of equipment.

6. Funding/Budget

Define the monetary and financial reporting obligations, if any, of the University and other party(ies) in the agreement.

7. Research and Intellectual Property

Define the agreement with the member party(ies) in terms of research grants and the ownership of research and other intellectual property.

8. Risk/Insurance

Define the arrangements for insurance and associated liabilities.

9. Termination or Wind Up

- a. Define the processes for the termination or winding up of the centre/institute, and the obligations of the centre/institute and of the party(ies) should it be terminated or wound down.
- b. Outline what physical and financial resources will remain following the termination or wind up of an affiliated centre or institute.

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [\[▲Top\]](#)

Academic Centre or Institute	An academic centre or institute exists at the University of Alberta and is controlled by the University of Alberta. An aAcademic cCentre or iInstitute may exist solely within the University of Alberta or may be created through a partnership between the university and other entities. Such other entities may include other universities, governments, public authorities (such as health authorities), and non-profit organizations. If an external corporate entity is involved in the cCentre or iInstitute , the process for managing conflict of interest and conflict of commitment must be reviewed. The University attaches the utmost value to academic freedom and scholarly integrity. Accordingly, aAcademic cCentres and iInstitutes shall not place any limits on these accepted principles of academic freedom and scholarly integrity.
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	<p>Centres or institutes are not subsidiary companies, spin-off companies, societies created through non-university policies, or groups or corporations that lease University of Alberta space to achieve their own ends.</p> <p>Additionally, if the academic cCentre or institute has a governing board, membership of the board is constituted such that the University of Alberta has control.</p>
Affiliated Centre or Institute	<p>An aAffiliated cCentre or institute is created through a contractual or other legal arrangement with one or more third parties such as a joint venture, a corporation, a society, a partnership or other affiliation type arrangement by which a centre or institute is created which is not under the control of the University.</p> <p>The cCentre or institute reports to a governing board that is external to the University of Alberta and for which the University does not have control. This <u>definition</u> would include centres and institutes created through an agreement whether located on or off the University's campuses, including national centres of excellence.</p> <p>In all cases, the required governance reviews and approvals must be obtained prior to contract execution.</p>
Control	<p>The continuing power to determine the strategic operating and financing policies without the cooperation of others. Majority of voting shares and/or ability to appoint the majority of directors.</p>

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