

	Policy on the Establishment and Review of Research Organizations #5.4	
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This policy borrows from the Trent University Policy on Research Organizations, among many other consulted during its creation, including Brock University, Laurentian University and Queen’s University.

PURPOSE

The purpose of this policy is to define Research Organizations at the University, their creation, review and closing, the intended scope of their activities, their use of University resources, their required governance, and reporting structures.

SCOPE

Applies to all faculty and staff who conduct research, research-creation or related professional activities at the University, with University resources, or in relation to their duties for the University.

DEFINITIONS

Research Space: Physical spaces located on the OCADU campus that are dedicated to research activities. Research Spaces may be used by a single Research Organization, or shared with others. Research Space allocation is the responsibility of the Vice President, Research and Innovation, and accountable to the VPRI via reporting. For sponsored research that pays university overhead, and that requires physical space, Research Space must be provided.

Research Collectives/Groups: Informal research organizations led by faculty to support their work with students, advisees, Research Assistants, and partners. Given their informal nature, these are self-managed, and therefore, administrative approval is not required. Approval by the Vice President, Research and Innovation is not required, and Research Collectives/Groups are not brought to Senate or the Board of Governors, but can be recognized by the Office of Research and Innovation and be included in university marketing of research capabilities.

Research Labs/Studios: Formal research organizations led by one or more faculty centred around a particular theme or area of research. Research Labs/Studios may employ other appropriate nomenclature, and may include students and other researchers who participate in active research projects. As Research Labs/Studios may require infrastructural support, approval by the Vice President, Research and Innovation is required for their establishment.

Research Labs/Studios will be formally recognized by the Office of Research and Innovation, Senate and, if there are financial implications, the Board of Governors, and be included in university marketing of research capabilities.

Research Centres: Formal research organizations approved by Senate and the Board of Governors of the University, composed of faculty, students and other researchers and created to explore research issues of strategic importance to the researchers and to OCAD U. Research Centres may facilitate the submission of external, individual and team research applications, contractual research, and inter-institutional research programs. Research Centres will have established management and governance structures, processes for the appointment and re-appointment of members and directors, operational plans, and budgets. Directors of Research Centres are normally appointed by and report to the Vice-President, Research & Innovation through which the Research Centres are operationally and financially responsible to the University. Research Centres will be formally recognized by Senate and, for financial implications, the Board of Governors, by the Office of Research and Innovation and be included in university marketing of research capabilities.

Research Institutes: Formal research organizations approved by Senate and the Board of Governors of the University, composed of faculty, students and other researchers, as well as partners from outside of OCAD University (e.g. private sector, public sector, other universities or colleges). External partnerships must be formalized and documented following University guidelines and procedures. This articulation of external partnerships differentiates between a Research Centre from a Research Institute. The establishment of Research Institutes requires formal agreements with the University that include: budgets addressing capital costs, operating costs and the salaries of relevant staff; agreements regarding Intellectual Property Management, sharing of any commercialization costs and revenues, and disbursements of research overheads; and development of business plans. Institutes will have a formal administrative structure, with a Management Committee that includes the Vice President, Research & Innovation (or designate). Directors will be appointed (and re-appointed, if appropriate) according to procedures outlined below. Directors of Institutes will be responsible for preparing Annual Research Reports and an Annual Financial Reports for review by the Management Committee, before forwarding to the Vice President, Research & Innovation. All research institutes will be operationally and financially responsible to the University through the Office of the Vice President, Research & Innovation.

POLICY

Research is central to OCAD University's Academic Plan and public mandate to provide the opportunity and environment for advanced, studio-based education in art and design at the undergraduate and graduate levels and to support teaching, research and professional practice in these fields. Within the context of supporting research broadly construed at the University, we recognize the need to provide the organizational structure for groupings of researchers at OCAD U within which they can pursue their scholarship and research interests. These structures allow and encourage scholarly research and creativity among groups of research faculty, students and other researchers, which may

be sub-disciplines or broader, inter-departmental, inter-Faculty, or inter-institutional research. These structures allow for an identity to be created through which individuals or teams may apply for external research grants and contracts and which establish an identity within OCAD U and within the disciplines. The Vice-President, Research & Innovation will report annually to Senate and the Board of Governors on all Research Organizations.

PROCEDURES

Establishing Research Collectives/Groups

Researchers may form ongoing or ad hoc collectives without formal approvals from the Vice President, Research and Innovation or the Research Committee. It is advisable, however, for Collectives/Groups to inform the Office of Research of their operations, particularly if any assistance is required.

Establishing Research Labs/Studios

Researchers notify the Vice President, Research and Innovation of their intent to establish a Research Lab/Studio. Any nomenclature other than Lab/Studio, reflecting the proposed activities, may be chosen excepting the use of “Centre” or “Institute” or the names of existing academic units.

Application Procedure:

Applicants should consult with the Vice-President, Research and Innovation to ensure that the application can be facilitated, that there are no impediments, and that the proposal is compatible with the strategic objectives of OCAD U. Following an agreement in principle by the Vice-President, Research & Innovation, applicants will submit to the Research Committee for review the following information:

1. Proposed name
2. Rationale
3. Description of planned research or scholarly activities
4. Names of faculty members
5. Name of any potential collaborators
6. Name of the Director(s) and the means by which this person was selected
7. Modes of operation
8. Requirements for space, staffing, or funding
9. Signature(s) of Director(s) and date

Applications for Research Space Allocations will follow normal space allocation procedures. Research Labs/Studios are expected to have operations of at least a three-year term.

Annual Reports

Research Labs/Studios will provide annual reports to the Vice President, Research and Innovation on their activities, outputs and outcomes. In the interests of accountability, a component of this report will be an accounting of all financial support received by each research organization from University and external sources, that will include but not be limited to items such as research assistantships, postdoctoral fellowships, equipment and material expenses, and other funds received competitively or by allocation. These reports will be shared with the Research Committee and Senate.

Renewal

Two months prior to the expiration of the term of operation, Research Labs/Studios shall submit a letter from the Director to the Vice-President, Research & Innovation with a view

to renewing the terms of the Labs/Studios.

Establishing a Research Centre or Institute

Proposals for the establishment of Research Centres and Research Institutes will involve negotiations for space and resources and therefore will involve the following steps: Researchers notify the Vice President, Research and Innovation of their intent to establish Research Centres/Institutes. This will be followed by a formal application to the Research Committee, which will make recommendations to the Vice-President, Research & Innovation, who will take it forward to Senate for approvals. Where the creation of Centres/Institutes have a legal and/or a financial impact on the operations of the Faculty or OCAD U, the Board of Governors will be required to approve formally the establishment of such Centres/Institutes.

Application Procedure:

1. Initial Steps:

Applicants consult with the Vice-President, Research and Innovation to ensure that the application can be facilitated, that there are no impediments, and that the proposal is compatible with the strategic objectives of OCAD U. Applicants must also consult with the Vice- President, Research & Innovation about the potential involvement of any other academic institutions or any other organizations in order to facilitate administrative agreements that may prove necessary. The Vice-President, Research & Innovation may establish Centre Advisory Committees to advise on the application. Such committees would normally include representatives of relevant research areas and other units having a direct interest in the proposal as well as other members of OCAD U community.

2. Application for Approvals:

Following an agreement in principle by the Vice-President, Research & Innovation, applicants will submit to the Research Committee applications for review along with any recommendations from the Centre Advisory Committees if established. If the Research Committee determines that the applications are complete and supported by the academic community, it will make recommendations to the Senate Academic Planning and Policy Committee and Senate for approval. The application should include:

1. Name of Research Centre

2. Description and Justification

The application should describe the purpose of the proposed Centres/Institutes and identify the scope of activities envisaged, together with indications of research benefits and opportunities likely to result. These should identify that existing departmental or research centres are unable to accommodate the initiative and how the application advances the priorities of OCAD U's Strategic Research Plan.

3. Constitution

Applications should state the objectives of the proposed Centres/Institutes, criteria for and categories of membership, privileges and responsibilities of membership, administrative structures, mechanisms for appointing Directors, decision-making and voting procedures, intellectual property policy, closing procedures and the terms and conditions of any involvement by other academic institutions, organizations, or personnel.

4. Management

Applications should identify nominated Directors, management structures and advisory bodies, in addition to any OCAD U officers to whom the Centres/Institutes will report and in whom financial responsibility is vested. The appropriate administrative arrangements should be described. Annual General Meetings should be specified.

5. Facilities, Services & Support

A list of available research facilities identifying strengths and weaknesses of the inventory. Future requirements and a proposed strategy for obtaining such facilities should also be identified with a statement of anticipated requirements for goods or services such as library resources, technology, digital infrastructure, research data management, and any other specified university service, itemized, assessed and costed. If such goods or services are required, formalized service level agreements, including budget considerations, must be established and signed by appropriate senior administrators. Absence of such statements could delay approval. If dedicated space is required, the applicants should identify how many individuals will be housed in the space, how costs of renovation, refurbishing and operations, if necessary, will be supported. Applications for Research Space Allocations will follow normal space allocation procedures. Research Centres are expected to have operations of at least a five-year term.

6. Budgets

Detailed budget proposals for the first five years should include anticipated revenues from all sources (such as OCAD U, government, industry, overhead, royalties, or fundraising) as well as proposed expenditures and disbursements. Where philanthropic fundraising is part of proposed budgets, consultation with the Office of the Vice- President Development, must have occurred, and agreements obtained.

7. Statements of Sanction and Commitment

Statements indicating approval and support for the establishment of the Centres/Institutes should be signed by appropriate administrative personnel. Any commitments or agreements to provide space, teaching relief or other resources, including overhead from contract research, should be documented and signed by those authorized to make such commitments. A statement of anticipated requirements for library resources, computer services, and any other specified university service must be prepared and signed by appropriate administrators. Absence of such statements could delay approval.

8. Vice-President, Research & Innovation Statements

These statements should indicate that legal, safety or corporate concerns have been satisfactorily addressed. Agreements with respect to intellectual property and other issues may be required.

9. Graduate Students

Applications should articulate proposed engagement with graduate students, including consultation with graduate programs and/or Graduate Studies where student involvement may have pedagogical or research implications.

10. Additional Information

Information specific to proposals that may not be covered by the above items, or specific requests that have been made by committees and administrators should be addressed.

Approval Mechanisms

1. The Research Committee will review applications and, if approved, will submit such recommendations to the Vice-President, Research and Innovation. The Research Committee will not forward any proposal that does not meet the minimum criteria or that requires substantial revision. The Research Committee will inform the applicants in writing of all deficiencies in any application including any requests for revisions and resubmissions. The Research Committee will consult with other OCAD U committees as necessary.
2. The Vice-President, Research and Innovation will submit recommendations to Senate with a request to approve for an initial period of five years. If the creation of

Centres/Institutes involves a legal and/or a fiscal impact on the operations of the Faculty or OCAD U, Senate will forward its recommendations to the Board of Governors for approval.

Review and Renewal

Six months prior to the expiration of the term of approval, the Directors of Centres/Institutes submit to the Vice-President, Research & Innovation written requests for renewal. The Vice-President, Research & Innovation, shall establish Advisory Committees to consult and advise on applications for renewal, reviewing these requests with stakeholders including faculties and administrators. Following this consultation, the Vice-President, Research & Innovation will present this information to the Research Committee which may:

1. recommend the renewal of Centres/Institutes, including the appointment or reappointment of Directors;
2. recommend closing Centres/Institutes; or
3. recommend other modifications to the renewal request, as appropriate.

Reporting Mechanisms

Centres/Institutes must provide an annual report to the Vice-President, Research & Innovation documenting activities and publications. In the interests of accountability, a component of this report will be an accounting of all financial support received by each research organization from University and external sources, that will include but not be limited to items such as research assistantships, postdoctoral fellowships, equipment and material expenses, and other funds received competitively or by allocation. These reports will be presented to Senate and the Board of Governors. The Vice-President, Research & Innovation will report annually to Senate and the Board of Governors on all Centres/Institutes. If there are developments that affect the capacity of Centres/Institutes to carry out the approved objectives, the Vice-President, Research & Innovation shall be informed in a timely manner.

Non-Compliance

Centres/Institutes are expected to comply with all elements of this and other University policies and procedures. Failure to do so could jeopardize continued operations. The Vice-President, Research & Innovation will inform in writing Directors whose Centres/Institutes are considered to be in breach of such policies and procedures, and non-compliance may result in suspension of operations if not resolved within reasonable time frames.