

**Approval Date:** December 9, 2011

**Parent Policy:** [Centres and Institutes Policy](#)

## **Academic Centres and Institutes Operation Procedure**

<b>Office of Administrative Responsibility:</b>	Provost and Vice-President (Academic)
<b>Approver:</b>	GFC Executive Committee
<b>Scope:</b>	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 to the **Reporting Dean** (for most centres and institutes) or Vice-President (for a small number of centres and institutes that report directly to a Vice-President). The Reporting Deans and Vice-Presidents shall 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.

### 2. ANNUAL 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;

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

All proposals for major changes to academic centres and institutes 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](#)]

<b>Academic Centre or Institute</b>	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
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	<p>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>
<b>Affiliated Centre or Institute</b>	<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 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>
<b>Reporting Dean</b>	<p>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.</p>
<b>Centre/Institute Lead</b>	<p>The individual responsible for overall reporting for a centre or institute.</p>
<b>Major Changes</b>	<p>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.</p>
<b>Control</b>	<p>Majority of voting shares and/or ability to appoint the majority of directors.</p>

**FORMS**

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

[University of Alberta – Strategic Review Report for Academic Centres and Institutes](#)

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