Affiliated Centres and Institutes Operation Procedure

<table>
<thead>
<tr>
<th>Office of Administrative Responsibility:</th>
<th>Office of the Vice-President (Research and Innovation)</th>
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<tbody>
<tr>
<td>Approver:</td>
<td>Vice-President (Research and Innovation)</td>
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<td>Scope:</td>
<td>Compliance with University procedure extends to all members of the University community.</td>
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</tbody>
</table>

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 (multi-institutional partnerships) 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 follow procedures for annual reporting, periodic reviews, and renaming or changing its legal status.

1. ANNUAL REPORTING

Affiliated centres and institutes must provide an annual report as outlined within the affiliation agreement. This annual report must be submitted to the Reporting Dean. The Reporting Dean shall review the annual report and will then submit a completed Annual Declaration (see FORMS) to the Executor (signatory) of the affiliation agreement - normally the Provost and Vice-President (Academic), or the Vice-President (Research and Innovation) - for final approval and sign-off.

The Executor will submit the Annual Declaration to the Office of the Vice-President (Research and Innovation). The Annual Declaration will provide the following information for purposes of record-keeping:

- The name and contact information for the centre/institute lead and, if applicable, for the chief administrative officer for the affiliated centre/institute;
- The names of all members of any boards or advisory committees, if applicable;
- Any substantive changes in the risks to the University of Alberta through its affiliation with the centre or institute.

The Vice-President (Research and Innovation) Office will provide an annual report to the Board Audit Committee listing all affiliated centres and institutes and dates for review/renewal of agreements.

2. REVIEW AND RENEWAL

Affiliated centres and institutes must conduct periodic reviews. Processes for reporting and review of an affiliated centre or institute are as detailed in the affiliation agreement. Affiliated centre and institute renewal is dependent upon the determination by the reporting Dean and the Executor of the affiliation agreement, 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/College 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.

3. RENAMING OR CHANGING LEGAL STATUS

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 President’s Executive Committee – Operational (PEC-O) for approval.

4. RISK REVIEW

The President’s Executive Committee - Operational (PEC-O) or the President’s Executive Committee - Strategic (PEC-S) 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, PEC-O or PEC-S 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 | Academic centres and institutes exist at the University of Alberta and are 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. 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. 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. |
| Affiliated Centre or Institute | 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. 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. In all cases, the required governance reviews and approvals must be obtained prior to contract execution. |
**Reporting Dean**
The Dean of the Faculty/College to which a centre or institute reports, as designated by the Executor of the affiliation agreement – normally the Provost and Vice-President (Academic) or the Vice-President (Research and Innovation). The Reporting Dean is responsible for the University's participation in an affiliated centre or institute. In the case where multiple Deans are associated with a centre or institute, the Executor will designate one Dean as the Reporting Dean.

**Executor**
The Executor (signatory) of the affiliation agreement on behalf of the Board of Governors – normally the Provost and Vice-President (Academic) or the Vice-President (Research and Innovation).

**Centre/Institute Lead**
The individual responsible for overall reporting for a centre or institute.

**Control**
Majority of voting shares and/or ability to appoint the majority of directors.

**FORMS**
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Naming Policy (University of Alberta)