

Policy Name:	Policy for Carleton University Research Centres
Originating/Responsible Department:	Vice-President (Research and International)
Approval Authority:	VPARC
Date of Original Policy:	June 2007
Last Updated:	October 2020
Mandatory Revision Date:	June 2022
Contact:	Vice-President (Research and International)

Policy:

This policy sets out definitions and principles for the creation, rights and responsibilities, monitoring and review of Carleton's University Research Centres (CURCs).

Purpose:

The objective of this policy is to ensure that Carleton University Research Centres reflect the institutional commitment to promote collaborative efforts among researchers, to facilitate connections with external partners and communities, and to make visible the momentum in disciplinary or interdisciplinary areas of research excellence. Research Centres are valued by the University as they provide an index of the direction, vitality, creativity and innovation of Carleton's research community, and provide the basis for building on our grassroots strengths. They are also of value to participating academic units, as faculty, students, visiting scholars, and candidates for faculty positions recognize these Research Centres to be valued and serious contributors to Carleton University's scholarship. To have such valued impacts, Carleton must be systematic, coordinated, and transparent in how its Centres are managed, evaluated, and supported.

Scope:

This policy applies to Research Centres that report and are accountable to the Office of the Vice-President (Research and International).

Procedure:

1. Definition of a Carleton University Research Centre

A Research Centre is a formally structured organization that does not comprise a department, institute, school, or college within the university, that is established with the purpose of advancing scholarly activity primarily through collaborative and/or interdisciplinary research, student engagement, research dissemination, knowledge mobilization, and outreach. Ideally, a CURC will provide unique opportunities for both undergraduate and graduate students to engage in the research endeavour, and is actively involved in knowledge mobilization in relevant forums and communities. The members should comprise a critical mass of productive junior and senior researchers.

It should be clear that CURCs are not intended to reflect the work of a single faculty member or research lab, nor be tied to the life of a single project or funding initiative. Smaller collaborative initiatives that are limited to a single Faculty should be recognized and supported, but these are more appropriately accountable to their respective Faculty Deans, and as such would be considered Faculty Research Centres. In fact, many research collaborations do not require any formal designation, and the University continues to encourage the informal formation of groups of research collaborators.

There are two forms a CURC may take, wherein:

- 1.1** Membership includes a broad mix of researchers from at least two University Faculties and demonstrates a truly interdisciplinary research agenda.

And/Or

- 1.2** Membership includes a balance of faculty from Carleton University and a critical mass of members from sectors external to the University (e.g., from the community, industry, government, NFPs, or other academic institutions), reflecting active collaborations across sectors or across institutions.

2. Structure of a Carleton University Research Centre

All CURCs must have a governance structure. The scale of this structure will depend on the scope and nature of the Centre's activities. However, all Research Centres must identify a Director and an Advisory Board.

- 2.1** The Director must be a full-time faculty member or Distinguished Research Professor at Carleton University. The Director is responsible for oversight of the CURC, reporting to the VPRI, monitoring activities, and sound financial management of the CURC. In addition to the Director, it is possible to appoint a co-Director who will share responsibility for the running of the CURC, or an Executive Director who is an expert in the field, but is not necessarily a full-time faculty member.

- 2.2** A CURC will be governed by an Advisory Board comprised of representatives both from the community and researchers associated with the CURC, and will include an ex officio member representing OVPRI. The specific terms of reference of such Boards may vary; however, the general purpose of these Boards is to

- receive and review the annual report of the Director
- provide advice and guidance on the Centre's activities and programs, including strategic planning, and plans for seeking and evaluating funding revenue
- oversee financial expenditures

3. Creating, Monitoring and Reviewing CURCs

The University has a responsibility to establish appropriate criteria and procedures to ensure the relevance, quality, and sustainability of its Research Centres. Applications for establishing a CURC will be received and reviewed throughout the year. The expectation is that CURCs will reflect exceptional value to the University's research profile, and hence, should be limited in numbers.

3.1 Committee review

CURCs are established under the authority of the Vice-President (Research and International) upon the recommendation of the Carleton Research Advisory committee (CREAD). CREAD will review applications for the creation of CURCs in terms of whether they meet the definition of a CURC, their added value to the institutional research profile, and their capacity to generate increased research momentum that can be sustained over a 5-year period. CREAD will receive and review the annual reports, in effect overseeing the monitoring and renewal of CURCs.

3.2 Approval process

Official recognition and designation of a Carleton University Research Centre is at the approval of the Vice-President (Research and International), normally on the recommendation of CREAD. CURC status will be granted for a maximum of a 5 year renewable term.

Proposals to establish a Research Centre should include the following:

3.2.1. Name of Research Centre.

3.2.2. Description and Justification. This includes

- (a) a concise statement of the mission and research objectives
- (b) a description of the scope of activities envisaged

- (c) the key outcomes anticipated
- (d) the research benefits and opportunities likely to result from the establishment of the Research Centre, including how the proposed Centre will facilitate collaborative research across disciplines, research partnerships across sectors and institutions, and will provide benefits for training future researchers.

3.2.3. Governance Structure. Please describe:

- (a) the organizational structure of the proposed Research Centre
- (b) the constitution and membership of an Advisory Board
- (c) the process by which members are engaged and consulted.

3.2.4. Members. Provide a listing of the membership of the Research Centre. For each member, please include an abbreviated curriculum vitae that indicates departmental or organizational affiliation, title, any relevant professional activities, research interests, research funding record (last five years), and record of major research achievements (last five years).

3.2.5. Space. Please indicate any current space, if any, that is dedicated primarily for the core work of the CURC (i.e., this does not include the laboratories of individual researchers).

3.2.6. Financial Resources. Provide a budget for the first three years, including anticipated revenue from all sources, expected annual operation costs, as well as plans for achieving sustainable financial self-sufficiency through external cost recovery.

3.2.7. Statements of Support and Commitment. Any commitments or agreements to provide space, teaching release time or other resources, including the recovery of indirect costs from contract research, should be documented and letters of support provided that are signed by those authorized to make such commitments. In the absence of such statements, it will be assumed that no such commitments or agreements have been made.

3.3 Annual reporting

On an annual basis, CURCs will be expected to submit, no later than July 1, a report to the Director of the Carleton Office for Research Initiatives and Services (CORIS) for the period covering May 1 – April 30. A template for this report is posted on the Carleton Office for Research Initiatives and Services' website. Annual reports will be used to (1) review the extent of the research activity and financial viability of the CURC, (2) track metrics that allow the University to measure, report, and advocate with respect to our research intensiveness and impact, and (3) identify opportunities for the University to further support the activities of its Research Centres.

3.4 Renewal process

On July 1 following or on the 5-year anniversary date of the CURC's approval, an application for renewal should be submitted to the Director of CORIS. It will be incumbent upon the CURC to ensure that an application for renewal is submitted. If an application for renewal is not received, it will be assumed that CURC status is no longer necessary to advance the activities of the participating members, and the CURC will be closed.

An application for renewal includes

3.4.1 a statement of how the Centre has achieved its original research objectives.

3.4.2 a current membership list, including the designated director and members of the Advisory Board.

3.4.3 a 5-year plan identifying objectives, research directions and outreach activities.

3.4.4 a 5-year financial plan identifying continued financial commitments and expenditures,

and potential sources of revenue.

3.4.5 letters indicating continued resource commitments to the Research Centre from appropriate Chairs/Directors and Deans.

CREAD will evaluate the research and knowledge mobilization accomplishments of the CURC (which should be distinct from, or add value to, the research activities of the individual researchers), along with its plans for the next 5 year term, and on this basis will make a recommendation to the VPRI regarding the renewal of the CURC designation.

Any legal or research agreements that affect the status of the CURC will be taken into consideration in the formal recommendation.

4. Rights and Obligations of Carleton University Research Centres

Through the establishment of Carleton University Research Centres, the University is committed to promoting collaborative efforts among researchers, and to highlighting the visibility of the CURCs in order to enable further research, training, partnerships, and funding opportunities. This includes a percentage return on overhead collected on CURC projects to support capacity building, and eligibility for competitive internal research funds targeted for research centres. In addition, the CURCs are regarded as a collective research community on campus, and have an advisory voice in the priorities, policies and planning of institutional research initiatives through representation on the CREAD committee, and ad hoc consultation opportunities.

To maintain status as a CURC, including the associated rights and privileges, the CURC must continue to meet the terms of its approval, as described in this policy. In addition, the Director of a centre shall have the obligation to ensure that all contracts and activities to be undertaken by or on behalf of the CURC are consistent with University policy, procedures, and regulations, including those pertaining to contract overhead.

Contacts: Director, Carleton Office for Research Initiatives and Services

Links to related Policies: Indirect Costs of Research at <https://carleton.ca/secretariat/wp-content/uploads/Indirect-Costs-of-Research-Policy.pdf>