
Research Institutes Policy

Policy Sponsor:	Provost and Vice President, Academic
Policy Contact:	Provost and Vice President, Academic
Policy Number:	025 004
Effective Date:	March 24, 2014
Approval Group:	The Governors of Athabasca University
Approval Date:	March 24, 2014, Motion # 187-12
Review Date:	Annually
Procedures:	Research Institutes Procedures

Purpose

To provide a policy basis for the establishment, review and termination of Research Institutes at Athabasca University (AU).

Definitions

APPC	The Academic Planning and Policy Committee (APPC) of General Faculties Council (GFC).
Director	For purposes of this Policy, the chief administrative officer of an AU Research Institute.
Members	Active scholars, nominated by the Director and formally approved by the P&VPA, whose research demonstrates compatibility with, and the potential to further, the research goals of the Institute.
Research Institute	A formally constituted unit of AU, established and devoted to scholarly research in thematic areas identified in the Terms of Reference approved by the Board. AU Research Institutes



comprise networks of scholars with established track records in areas that align with the stated research priorities of the Institute.

P&VPA

Provost and Vice-President, Academic (or designate).

Policy Statements

Establishment

1. Proposals and Terms of Reference for new Research Institutes require the endorsement of the P&VPA and are reviewed by APPC and endorsed by Executive Group before being approved by the Board.
2. Where new Research Institutes are created in partnership with an external entity, full approval processes of all partner entities must be completed before the AU Research Institute begins operations.
3. Research Institutes do not offer courses or programs for AU credit.

Governance, Structure and Membership

4. Authority over AU Research Institutes rests with the P&VPA.
5. Each AU Research Institute will be led by a Director appointed by the P&VPA and, normally, drawn from the university's existing professorial ranks or Institute Membership.
6. The Director is accountable to the P&VPA for the academic and administrative performance of the Institute, and for adherence to the Board-approved Terms of Reference, to AU Policy and Procedures, and to existing law and legislation.
7. Members of an AU Research Institute are formally nominated and invited to become associated with the Institute according to the [Procedures](#) affiliated with this Policy.
8. Members do not receive stipends or other financial incentives. Requests for release from regular duties will be assessed on a case-by-case basis by the P&VPA and the relevant Dean.
9. Members will ensure ongoing and appropriate dissemination of research results, and are accountable to the P&VPA for maintenance of the highest standards of scholarly integrity, rigour and research ethics.

Operation

10. The Director is responsible for the leadership and operation of the Institute, for maximizing the scholarly productivity and funding applications of the Membership, and for ensuring adherence to the requirements of (6) above.



11. Members are expected to contribute to the furthering of the research goals of the Institute. Members deemed by the P&VPA to have contributed inadequately, or to have violated the Terms of Reference or AU policy may have their membership revoked.

Reporting

12. The Director will produce an annual report for the P&VPA (or designate) by the 30th of June of each year. The report must summarize, at a minimum, the Institute's research activity for the past year, its budget, its membership, its generation of external funding, and provide an outline of expected activities for the following year.
13. The P&VPA provides a summary of Research Institutes' activities annually to the Board, at the fall meeting.

Renewal

14. Research Institutes are formally reviewed every five years by a committee assembled by the P&VPA according to the Procedures affiliated with this Policy.
15. The President can initiate a review prior to the regularly scheduled interval.
16. Reviews will produce recommendations to renew, to renew with adjustments, to suspend or to terminate the Institute. These are forwarded to the Board for decision.

Applicable Legislation and Regulations

[Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c. F-25](#)

[Post-Secondary Learning Act, S.A. 2003, c. P-19.5](#)

Human Resources and Skills Development Canada - Foreign Workers Policy

Related References, Policies, Procedures and Forms

[Research Institutes Procedure](#)

[Ethical Conduct for Research Involving Humans Policy](#)

[Ethical Conduct for Research Involving Humans Procedures](#)

[Research Integrity Policy](#)

[Breach of Research Integrity Procedures](#)

[Other relevant Research Policies](#)

History

The Governors of Athabasca University, Motion # 187-12 (Approved)