

Guidelines for University of Toronto Scarborough Research Institutes, Centres, and Clusters

May 25, 2022

Purpose

The purpose of these guidelines is to provide a structured, detailed and transparent framework to support the establishment, operation and, when necessary, closure of University of Toronto Scarborough (UTSC) research institutes, centres, and clusters.

Context

Game-changing research and innovation increasingly requires both collaboration across a broad range of disciplines and multi-sectoral partnerships. Innovative and impactful research institutes, centres, and clusters are essential to enabling UTSC to successfully enhance and grow current and emerging areas of strength in research and creative practice that will differentiate it as a global leader ([Inspiring Inclusive Excellence](#)). In turn, clear and comprehensive guidelines are needed to ensure the successful establishment, operation and, when necessary, closure of such entities.

Such guidelines will help ensure that the success and impact of all UTSC research institutes, centres, and clusters is maximized and thus help facilitate the realization of UTSC's strategic research and training objectives and, in so doing, contribute to the University of Toronto's (U of T) "role as a globally recognized research-intensive institution with a distinct leadership role in Ontario's post-secondary education system" ([Excellence, Innovation, Leadership](#), p.21). UTSC guidelines will embody all requirements contained in the [University of Toronto Guidelines for Extra-Departmental Units](#) (EDUs). The guidelines also incorporate other matters that support the effective and efficient establishment, operation and, when necessary, closure of research institutes, centres and clusters at UTSC, including allowing for the creation of provisional entities that can follow a pathway to establishment as a research institute, centre or cluster.

Vision

UTSC research institutes, centres, and clusters are home to vibrant intellectual communities of conscientious and adaptable global leaders who conduct convergent research, creative practice and training to constructively disrupt the status quo in order to advance transformative change to solve the complex problems currently confronting the world. Through its research institutes, centres, and clusters, UTSC will offer trusted knowledge to create new narratives of our future and to implement socially-just and -equitable transitions towards that future. UTSC research institutes, centres, and clusters are a shared research resource that support a wide community of scholars (e.g., faculty, students, postdoctoral fellows, research associates, external partners) and facilitate the realization of the research and training mission of the campus and the university. They are broadly accessible to researchers across UTSC and, as applicable, U of T, irrespective of their administrative affiliation. While research institutes, centres and clusters are equally significant in that all are important to enhancing and growing current and emerging areas of research strength and, in so doing, enabling the realization of UTSC's strategic research objectives, it is expected that there will be differences between institutes, centres and clusters.

Definitions

Research Institute: A research institute is a formally structured multidisciplinary, multi-departmental unit within the university, established with the purpose of advancing scholarly activity in an established

area of scholarly strength primarily through collaborative research creation, research training, research dissemination and related endeavours. Institutes are closely aligned with the strategic research and training interests of UTSC and the U of T and play a critical role in advancing the research and training objectives of both. Institutes may be created solely within the university or may be the result of a partnership between the university and external organizations, including other universities, governments, industry, and public good organizations. Institutes serve as a platform for building collaboration in areas of strategic importance for the campus, and/or the university, and beyond. Institutes are expected to be tri-campus in nature, provide unique research and enquiry-based learning opportunities and be actively involved in relevant community outreach and collaborate broadly across regional, national, and international forums. Institutes are expected to have a broader scope and greater operational capacity than centres. An institute may have one or more centres affiliated with it. Institutes will seek self-sustaining funding through various grants, foundations, and funders.

Research Centre: A research centre is a formally structured unit within the university, normally a multidisciplinary and multi-departmental unit, with the purpose of advancing scholarly activity in an established or emerging area of scholarly strength primarily through collaborative research creation, research training, research dissemination and related endeavours. Centres may be created solely within the university or may be the result of a partnership between the university and external organizations, including other universities, governments, industry, and public good organizations. Centres are not expected to be tri-campus in nature and their focus may be less broad and their operation may have smaller budgetary implications relative to institutes. Centres are expected to provide unique enquiry-based learning opportunities for students and to be actively engaged in relevant academic forums and community outreach.

Research Cluster: A research cluster is an organized group of researchers whose research expertise is applied either to a common area, field, or theme, or who are involved in a collaborative research or creative practice initiative, or a set of related projects that may be multidisciplinary or may arise within a single discipline or department. They represent an effort to mobilize the shared strengths of an existing academic department or departments, and/or schools and/or colleges, to build collaboration in areas of strategic importance for the department, campus, and/or the university. Clusters are faculty-driven, and connect researchers with expertise in various disciplines to foster the sharing of ideas, scholarly advancement, and inclusivity. They may be expected to form, grow, and dissolve as circumstances and their members see fit.

Characteristics Common to Institutes, Centres, and Clusters

While each research institute, centre, or cluster will be distinct in some ways, they will all share the following characteristics:

- A defined scope
- Aligned with UTSC and university research priorities
- Offer a clear path to engagement with the entire university community, as well as academics from other universities, and non-academic users, including industry and government
 - Accountable to the UTSC Vice-Principal Research & Innovation (VPRI) or designate (if the institute/centre/cluster is an Extra-Departmental Unit [EDU], the VPRI or designate will be serving as the Dean's designate, as per the [University of Toronto Guidelines for Extra-Departmental Units](#))

- while the directors of centres would typically report directly to the UTSC VPRI, in some instances it will be more appropriate that responsibility for strategic and operational oversight be assigned to a departmental Chair
- Administered by a director or leader who is responsible for the overall operations of the institute, centre, or cluster, including supervision of any staff, financial management, overall business operations, marketing and communications with users and stakeholders; the director/leader will maintain knowledge of the different kinds of research that occur in the institute, centre, or cluster
- A clearly defined management authority (i.e., definition of who has responsibility for implementing/ensuring adherence to related policies)
- For institutes, centres, and *some* clusters (i.e., depending upon their precise character), a budget plan that may include:
 - multiple revenue streams, including operating grants, industry partnerships and sponsorships and gifts
 - maintenance and long-term sustainability plan
 - clear articulation of known costs
 - communications strategy
 - stakeholder strategy

Institutional Support for the Establishment of Research Institutes, Centres, and Clusters

Both UTSC and U of T operate funding programs that can be utilized to support the establishment of research institutes, centres, and clusters.

UTSC's flagship program for such purposes is the [Clusters of Scholarly Prominence Programme \(CSPP\)](#). Its purpose is to promote self-sustaining, interdisciplinary, inter-departmental, collaborative clusters of scholarship in areas of established and emerging strength at UTSC that have a demonstrable capacity to augment U of T's global standing through prominence in research, creative activity and exceptional learning. CSPP-supported clusters are expected to generate impactful, transformative research that transcends traditional departmental and institutional boundaries and thereby enables UTSC to create and disseminate new knowledge and innovations that will benefit the citizens of Canada and beyond. The clusters are expected to foster strategic global research alliances such as the U of T VPRI/VPI initiative of [Global Research Alliances](#).

Clusters funded by the CSPP must clearly exhibit significant potential to:

- Elevate the UTSC's provincial, national and international profile as a cluster of research excellence across a wide diversity of fields;
- Succeed in major, large-value funding competitions (e.g. NSERC Alliance, NSERC CREATE, SSHRC PG and IG, NFRF, NCE, CFI);
- Help attract new top-tier faculty and high-quality trainees;
- Support and enhance undergraduate and graduate training and post-doctoral fellowship programs;
- Draw upon regional, provincial and/or national assets and partnerships to promote knowledge mobilization (i.e., knowledge co-creation, sharing, translation, operationalization) and/or to generate socio-economic impact; and
- Become financially self-sustaining.

More details and requirements associated with the establishment of a research cluster via the CSPP are available via the [Internal Funding Programs](#) webpage on the UTSC OVPRI website.

U of T operates the [ISI](#) program to help launch, grow, and sustain large-scale, cross-divisional, strategic research networks that support interdisciplinary teams of researchers and partners to address grand challenges and pursue bold ideas. Successful ISI applications must satisfy the following criteria:

1. Significant challenge that requires an interdisciplinary approach

- A grand challenge or complex question has been identified that requires the integration of multiple fields and disciplines.
- There is potential to elevate the U of T's national and international profile.

2. Cross-divisional and tri-campus support

- The potential research network includes members from at least three academic units/divisions and two divisions as defined by the School of Graduate Studies (Humanities, Social Sciences, Physical Sciences, Life Sciences).
- When feasible, the research network has meaningful tri- or cross-campus participation.
- The proposed initiative has buy-in and funding support from multiple divisions.

3. Sustainability

- There is a path to sustainability beyond internal funding, including significant opportunities for external funding.

More details and requirements associated with the ISI program are available via its [website](#).

The OVPRI and OVPAD will also consider on a case-by-case basis requests for support to enable the establishment of UTSC research institute, centres, and clusters. Recommendations will be made by the UTSC VPRI and, as/when applicable, the VPA&D, based upon requests from directors/leads/coordinators and a review and assessment of any relevant information. Final decisions will be made by the UTSC Executive Group. It is expected that research institutes, centres, and clusters will become self-sustaining.

Appointment of Institute/Centre Directors and Designation of Cluster Leads

All UTSC research institutes and centres will adhere to the requirements articulated in the [University of Toronto Guidelines for Extra-Departmental Units](#). The administrative structure of research institutes and centres includes a director who reports to the UTSC VPRI (or designate) and may be (i.e., depending upon the institute's/centre's EDU category) appointed under the University's [Policy on Appointment of Academic Administrators](#). In contrast, research clusters funded by the UTSC [Clusters of Scholarly Prominence Programme \(CSPP\)](#) will have an Administrative Cluster Lead (please refer to [program guidelines](#)), while other clusters may have an administrative leader or coordinator. Cluster leads are determined by cluster members and will not be subject to appointment under the University's Policy on Appointment of Academic Administrators.

Responsibilities of Institute/Centre Directors and Cluster Leads

Directors of Research Institutes: Acting on delegated authority and under general direction from the UTSC VPRI, the Director is a member of the senior leadership team in the Office of the VPRI (OVPRI) and works collaboratively within a tri-campus system, performing a pivotal leadership role that carries significant responsibility and accountability for the mandate of the Institute. The Director provides a coherent, financially self-sustaining vision and direction for the Institute, consistent with the highest standards of scholarly excellence and interdisciplinary collaboration, to advance the objectives of UTSC's Strategic Plan ([Inspiring Inclusive Excellence](#)) and U of T's [Institutional Strategic Research Plan](#).

With relevant policy guidance and administrative support from the OVPRI, the Director is responsible for:

- i. Strategic Leadership to Promote and Enhance Research and Creative Practice**
 - provide overall leadership to strengthen and sustain established areas of research and creative practice and to support the strategic development of new and emerging areas
 - create an environment conducive to the growth of intellectual life at the Institute and to maintain the confidence and co-operation of the research and training communities
 - support professional development activities that encourage collaborative research/creative practice projects and enhance the research culture at UTSC
 - promote a culture of inclusive excellence that facilitates, encourages, inspires, nurtures, enhances, and supports high-quality research/creative practice and integrates diversity, equity, and inclusion policies, programs, and practices into research/creative practice activities
 - develop, through stakeholder engagement at UTSC and beyond, a financially self-sustaining and visionary research and training agenda for the Institute that is aligned with UTSC's strategic plan
 - develop and implement a communication strategy and a knowledge mobilization strategy that supports the Institute's knowledge transfer and translation efforts

- ii. Administrative, Human Resource, and Financial Management**
 - provide oversight of, and is accountable for, the effective administration, efficient operations, and sustainability of the Institute's daily and strategic activities
 - lead and motivate a high-performing scholarly community and the Institute's administrative staff
 - engage the Centre for Research and Innovation Support (CRIS), to promote leadership development, team-building, and collaborations among researchers (e.g., faculty, graduate and undergraduate students, postdoctoral fellows, research associates) attached to the Institute
 - Oversee relevant research and training infrastructure to support and enhance research and training capacity within the Institute
 - represent the Institute on appropriate UTSC, tri-campus and external bodies, as determined by the VPRI
 - Submit an annual report, or other reports as may be required, to the VPRI on the activities of the Institute, based on strategic priorities agreed to with the VPRI
 - manage goal-setting, performance reviews, and career development of staff within the Institute
 - develop and manage the Institute's budget, to ensure efficiency and to maximize impact

- provide oversight of Institute-led research grants, including compliance with relevant university and government/funder policies.
 - create a culture of accountability and transparency that supports a conducive and healthy environment for researchers and staff, with a commitment to inclusive excellence
- iii. Innovative Partnerships and Networks Development**
- facilitate and enable successful UTSC and U of T collaborations and networks that align with the mandate of the Institute (e.g., the UTSC [Clusters of Scholarly Prominence Programme \[CSPP\]](#), U of T's [Institutional Strategic Initiatives \[ISI\]](#), and national and international partnership grants)
 - collaborate with UTSC's other institutes
 - engage with relevant research offices at UTSC, the tri-campus, and external collaborators to build networks that facilitate and advance UTSC's scholarly endeavors in areas of established and emerging strength associated with the Institute
 - promote innovative strategies to foster entrepreneurship and commercialization of the outputs of the Institute's research activities
- iv. Facilitation of Research Funding and Philanthropic Support**
- develop and drive strategic efforts to increase total sponsored research income from a variety of sources to support the work of the Institute
 - support individual and collaborative faculty, postdoctoral, and student research endeavours, including identifying novel funding sources and facilitating successful applications, collaboration, and research and creative practice activities
 - work with relevant UTSC and U of T offices (e.g., VPRI Leadership Team and the Advancement Office) to cultivate and pursue funding opportunities from external sources, including public agencies, private organizations, foundations, individual philanthropists, as well as the Tri-Agencies
 - participate, and serve as an ambassador for the Institute, in fundraising activities, public relations, and communications programs
- v. Enhancement of Institute's Profile**
- actively develop and promote the Institute's profile by bringing visibility to its activities and accomplishments in different local, national, and international venues, including the media
 - forge and manage effectively external relations essential to the Institute, both within the University and in the wider community, locally, nationally, and internationally, to facilitate support for its research activities

Directors of Research Centres: Acting on delegated authority and general direction from the VPRI or a designated Departmental Chair, as outlined in the terms of appointment, the Director is expected to put the interest of the Centre ahead of their own research interest or specialty and undertake activities that include, but are not limited to:

- establishing the research and training direction for the Centre and reviewing and approving research/training plan submissions to ensure that activities are consistent with the stated mission of the Centre

- encouraging the use of the Centre for individual and collaborative research/creative practice projects and training and promoting and overseeing all such activities
- identifying and building collaborations nationally and internationally to augment and enhance the scholarly activities at the Centre such that its recognition on campus, across the University and within the broader academic community and the local, national, and international communities increases
- identifying and building research/creative practice/training opportunities for undergraduate and graduate students and postdoctoral fellows
- creating an environment conducive to the growth of intellectual life at the Centre and to maintaining the confidence and co-operation of the Centre's researchers, staff and students.
- promoting a culture of inclusive excellence that facilitates, encourages, inspires, nurtures, enhances, and supports high-quality research and integrates diversity, equity, and inclusion policies, programs, and practices into research and training activities
- assisting with the development of, and participating in, outreach programs both within the University and in the wider community, so as to facilitate support for the Centre's research activities
- helping to cultivate donor relations and fundraise through development and implementation of Centre fundraising activities, public relations and communications programs and solicitation of external support both for infrastructure and for operating funding for research programs.
- overseeing all administrative aspects of the Centre, including implementation of University policies in all aspects of operation, oversight of finances, human resources, infrastructure and maintenance activities, and ensuring adherence to legislative requirements

Governance of Research Institutes or Centres

In accordance with the [University of Toronto Guidelines for Extra-Departmental Units](#), the proposed administrative structure of Research Institutes and Centres should be as simple and streamlined as possible:

- The Director can be supported by a small Executive Committee comprised of faculty.
- When there are multiple Deans actively involved in establishing the institute or centre, the structure may include an executive or senior management committee of the Deans or their designates. The Director in these cases is often appointed by, and reports to, the executive or senior management committee. That being said, there must always be a single lead Faculty and the Director should ultimately be accountable to that Dean. In certain instances such a committee could include the CEO of an external partner such as a Hospital CEO or the CEO's representative.
- Institutes and centres may also have an Advisory Board or Council. An advisory Board may include external members, but must remain advisory only, providing non-binding advice. Any Advisory Board should explicitly conform to the [Provost's Statement on the Role of Advisory Bodies](#),
- The membership, roles and responsibilities of these groups should be detailed in the proposal for the institute and centre as described below.

Procedures for the Establishment of a Research Institute or Centre Process

The establishment of a new research institute or centre requires the development of a comprehensive proposal that takes into account all relevant University policies and guidelines (e.g., [University of Toronto Guidelines for Extra-Departmental Units](#); [Policy for Approval and Review of Academic Programs and Units](#); [Policy for the Appointment of Academic Administrators](#); Provost's Statement on the Role of Advisory Bodies). Individuals wishing to establish a Research Institute or Centre are encouraged to contact the [UTSC OVPRI](#) early in the process. The OVPRI is available to provide guidance throughout the proposal development and approval process. Proposals will include the following information:

1. Overview:

- Name of the proposed institute/centre
- Brief description of mission/vision of the institute/centre

2. Rationale for the institute/centre:

- What unique niche at UTSC will the institute/centre address that cannot be accomplished through existing administrative structures?
- How will department(s) on campus contribute to and benefit from the institute/centre?
- What role is the institute/centre expected to play in the national/international research environment? Are there existing comparable centres?

3. Research and academic goals:

- Describe the major foci and activities of the proposed institute/centre

4. Contribution to UTSC's commitments related to: Indigenization; Equity, Diversity & Inclusion; and Sustainability:

- How will the institute/centre further UTSC commitments related to the three above areas?

5. Assessment:

- Identify key performance metrics that will be used to evaluate the success of the institute/centre. Where possible, baseline measurements and multi-year targets should be included.
- Indicate how the institute/centre will be evaluated after five years.
- If an alternative length or structure of term is being proposed, please provide details and a rationale for the alternative approach.

6. List of Proposed Members:

- Provide the name and contact information of the proposed Director
- List other members of the institute/centre, grouped according to category of membership, if applicable (e.g. associate, external community)

7. Governance:

- Describe the institute's/centre's governance structure including responsibilities and roles of the institute's/centre's committees and/or advisory board
- Describe, as appropriate, criteria for and categories of members, responsibilities of membership, and voting procedures

8. Finances and Resources:

- Most centres/institutes are established for a five-year period with possibility of ongoing renewal. Please provide a 5-year projection of resources and expenditures of the institute/centre.
- Please detail all cash and in-kind sources of support and indicated whether they are expected or secured
- Provide details on the operating costs of the institute/centre including human resource, general operating and other costs

9. Consultation:

- List all stakeholders consulted during the development of the proposal
- Append any letters of support that have been received

10. Endorsement:

- Provide a letter of endorsement from the UTSC Departmental Chair(s)/Director(s) most closely affiliated with the institute/centre

A “UTSC Research Institute/Centre Proposal Form” is attached below as Appendix A.

Procedures for the Provisional Establishment of a Research Institute or Centre

Normally, those proposing to establish a Research Institute or Centre shall follow the approvals process outlined above. However, it is possible to request a 2-year provisional approval for a Research Institute or Centre, when a research project has received a substantial amount of funding and the scale of the project is such that it is necessary to expedite the establishment of a suitable management structure for administering the funds and monitoring the activities of the project. It is also understood that institutes and centres that have received provisional approval status are expected to develop and submit a comprehensive proposal in accordance with all relevant University policies and guidelines prior to the end of the 2-year term.

Process

1. A short (5-page maximum) proposal for provisional establishment of an institute/centre will be submitted to the [UTSC OVPRI](#), containing the following information:

- Proposed institute/centre name
- Name of interim Director
- Objectives and goals of the new institute/centre
- Rationale/necessity for seeking provisional status
- Preliminary memberships
- External partners
- Proposed governance model
- Anticipated and secured financial and, if applicable, human resources
- Anticipated infrastructural/technical/material resources
- Proposed timeline for submitting the required documentation for obtaining formal approval

2. Submission of the proposal will be accompanied by a letter of endorsement from the UTSC Departmental Chair(s)/Director(s) most closely affiliated with the institute/centre. The letter must guarantee financial support to enable development of the institute/centre.
3. A report on progress must be submitted to the [UTSC OVPRI](#) one year after approval for the establishment of the provisional institute/centre is provided.
4. Prior to the end of the 2-year term, the institute/centre must submit a full application to receive full approval.

Procedures for the Establishment of a Research Cluster

Process

The establishment of clusters is faculty-driven, and the precise character of research clusters can vary. Researchers wishing to establish a cluster that possesses formal recognition by the university must develop a proposal that identifies the purpose, benefits and proposed activities of the cluster, and submit said proposal to a relevant Departmental Chair for review and forwarding to the VPRI or designate for consideration.

Researchers seeking to establish a research cluster using the [CSPP](#) and/or the [ISI](#) program must complete and submit an application/applications as per the guidelines for those programs and, if successful, must satisfy all conditions articulated in the program guidelines, award notifications, and any associated agreements.

Procedures for the Closure of a Research Institute, Centre, or Cluster of Scholarly Prominence (CSP)

UTSC recognizes that there may be instances in which closure of the institute, centre or cluster may be appropriate:

- An institute, centre or CSP ceases to be active as demonstrated by failure to submit an annual report;
- A majority of institute, centre or CSP members recommend closure;
- A “provisionally-approved” institute/centre fails to submit a 1 year progress report or an institute or centre application within 2 years;
- An institute, centre or CSP receives an unsatisfactory review at the end of their expected term; or
- There is evidence of fundamental performance problems within the institute, centre or CSP, including reporting deficiencies, financial exigencies, and non-compliance with regulations, or other reasons.
- Some CSPs may lapse per the terms of their award, and no formal notice of closure may be necessary. The appropriate reporting requirements should signal the impending concluding of the cluster’s activities or a transition to some other entity.

The protocols outlined below are intended to ensure that in event of closure, actions have been undertaken to ensure appropriate review and disposition of assets and liabilities (including consideration of personnel, contractual obligations, and partnerships) and that a strategy has been established for both internal and external parties to communicate closure of the institute, centre or CSP.

Process

1. Submission of a *Notice of Intent* to close.

A brief, confidential written notice will be provided to the [UTSC OVPRI](#) by the authority to whom the institute/centre/cluster reports. The notice provides an opportunity to ensure an appropriate process in place to oversee closure. The notice will provide:

- The name of the institute/centre/cluster
- Reason why closure is being recommended (please see above reasons)
- If the entity is being closed due to failure to report or performance reasons, description of steps taken to address deficits.
- Anticipated date for closure
- The individual and/or team charged with overseeing closure including communications, management of financial and human resources, and stakeholder relations
- Anticipated impact of closure, including high-level overview of stakeholders and physical and human resources
- High-level outline of the communication strategy to internal and external stakeholders

2. Feedback to individual(s) requesting closure.

The [UTSC OVPRI](#) will provide feedback on the plan with the goal of ensuring a smooth process. It will also indicate the approval process to be followed.

3. Request to close institute/centre/cluster.

The authority to which the entity reports will submit to the [UTSC OVPRI](#) a report of closure outlining the following;

- Name of institute/centre/cluster
- Date of closure
- Rationale for closure
- Individual and team overseeing closure activities
- Finances:
 - a. Briefly describe process undertaken to review and close all funds associated with the institute/centre/cluster including disposition/management of surpluses/deficit.
 - b. Provide confirmation that no financial liabilities remain.
- Human Resources:
 - a. Describe process undertaken to manage personnel including steps taken to re-locate and/or provide appropriate notice and layoff.
- Space and Physical Resources:
 - a. Briefly describe process to review and dispose of all physical resources associated with the institute/centre/cluster entity.
- Communications and Stakeholder relations:
 - a. Identify actions taken to date to inform/engage internal and external stakeholders. Please be specific in terms of key stakeholders consulted.
 - b. Outline any outstanding concerns related to the closure. This is to enable ongoing risk management.
 - c. Describe communication plan following official closure.

4. The [UTSC OVPRI](#) will review and forward for either information or final approval a recommendation for closure to the appropriate governing bodies.

Questions regarding the *Guidelines for UTSC Research Institutes, Centres, and Clusters* can be directed to the UTSC OVPRI researchoffice.utsc@utoronto.ca

Appendix A

UTSC Research Institute/Centre Proposal Form

Please complete this form and send to vpresearch.utsc@utoronto.ca

Required Information:
Proposed name of the institute/centre:
Brief description of mission/vision of the institute/centre:
Rationale for the institute/centre: <ul style="list-style-type: none">• What unique niche at UTSC will the institute/centre address that cannot be accomplished through existing administrative structures?• How will department(s) on campus contribute to and benefit from the institute/centre?• What role is the institute/centre expected to play in the national/international research environment? Are there existing comparable centres?
Research and academic goals (describe the major foci and activities):
Contribution to UTSC's commitments related to Indigenization; Equity, Diversity & Inclusion; and Sustainability:
Manner in which the success of the institute/centre will be assessed (key performance metrics that will be used; how the institute/centre will be evaluated after five years):
PROPOSED MEMBERS
Name of proposed Director(s):

List of the other members of the institute/centre, grouped according to category of membership, if applicable (e.g. associate, external community):

GOVERNANCE

Describe the institute's/centre's governance structure including responsibilities and roles of the institute's/centre's committees and/or advisory board:

Describe, as appropriate, criteria for and categories of members, responsibilities of membership, and voting procedures:

FINANCES & RESOURCES

Please provide a 5-year projection of resources and expenditures of the institute/centre:

Please detail all cash and in-kind sources of support and indicated whether they are expected or secured:

Provide details on the operating costs of the institute/centre including human resource, general operating and other costs:

CONSULTATION

List all stakeholders consulted during the development of the proposal (please append any letters of support that have been received):

ENDORSEMENT

Provide a letter of endorsement from the UTSC Departmental Chair(s)/Director(s) most closely affiliated with the institute/centre:

Appendix B

UTSC Extra-Departmental Units (EDUs) and Clusters of Scholarly Prominence (as of February 2022)

Academic Unit Type	Academic Unit Name
EDU:C	Centre for Global Disability Studies
EDU:C	Centre for Planetary Science
EDU:C	Culinaria Research Centre
EDU:D	Centre for Biological Chemistry
EDU:D	Centre for Ethnography
EDU:D	Centre for the Neurobiology of Stress
EDU:D	The Environmental Nuclear Magnetic Resonance Centre
EDU:D	Integrative Behaviour and Neuroscience Group
EDU:D	Plant Cellular and Molecular Processes Group
EDU:D	Centre for Research in Earth System Science (CRESS)
Cluster of Scholarly Prominence	The Clinical Research and Evaluation Cluster (CREC)
Cluster of Scholarly Prominence	The Centre for Environmental Research in the Anthropocene (CERA)
Cluster of Scholarly Prominence	Flourish: The Arts and Social Wellness Cluster
Cluster of Scholarly Prominence	Suburban Mobilities Cluster
Cluster of Scholarly Prominence	Urban Just Transitions from Scarborough to the Globe
Cluster of Scholarly Prominence	Sustainable Food and Farming Futures Cluster

EDU C: Approved by Faculties/divisions in consultation with the VPAP Office. Require divisional governance approval only

EDU D: Approved by departmental or divisional governance as determined by the Dean’s Office and the terms of reference of the relevant Faculty Council. Require departmental or divisional governance approval as determined by the Dean’s Office

The [Clusters of Scholarly Prominence Program](#) (CSPP) is U of Toronto Scarborough's flagship program for supporting the pursuit of strategic initiatives.

Appendix C

University of Toronto Guidelines for Extra-Departmental Units

The University's administrative *Guidelines for Extra-Departmental Units*, originally issued in February 2007, were the product of a review of Interdisciplinarity at the University that occurred at that time. The current *Guidelines* represent an updating of the original document to bring them in line with current policy and practice. This document is the product of extended consultation with Faculties/Divisions and administrative offices. The purpose of the *Guidelines* is to provide a framework for the establishment and operation of Extra-Departmental Units [EDU's] at the University of Toronto.

Summary

1 EDU: A

- Multidisciplinary, multi-divisional or multi-departmental unit designed to foster research and teaching in a well-established and well-defined area of academic study and scholarship
- May hold primary academic appointments (e.g. majority budgetary appointments of 51% or more)
- Offers degree programs where the number and research strength of faculty is appropriate
- May administer research funds
- The Director is appointed under the University's *Policy on Appointment of Academic Administrators*

2 EDU: B

- Multidisciplinary, multi-divisional or multi-departmental unit designed to foster research and teaching in a new or highly specialized area of academic study and scholarship
- May not hold primary academic appointments (e.g. can only make minority budgetary appointments of 49% or less)
- Offers degree programs where the number and research strength of faculty is appropriate
- May administer research funds
- The Director is appointed under the University's *Policy on Appointment of Academic Administrators*

3 EDU: C

- Normally, a multidisciplinary, multi-departmental unit designed to foster research and scholarly interest in a defined research domain
- May not make or hold any budgetary appointments.
- May offer courses and graduate collaborative programs where the resources are available and where there is sufficient demand/interest.
- Does not administer research funds unless explicitly designated by the lead Dean in consultation with the Provost.
- The Director's appointment does not fall under the University's *Policy on Appointment of Academic Administrators* and consequently the Director does not have signing authority

4 EDU: D

- A group of scholars who have come together for the purpose of pursuing specific research objectives or offering courses in an area of academic interest.
- May be multidisciplinary or it may arise within a single discipline or department, EDU:A or EDU:B
- Does not administer research funds
- The Coordinator is **not** appointed under the University's *Policy on Appointment of Academic Administrators* and consequently the Director does not have signing authority

Proposal for a new EDU¹

The establishment of a new EDU requires the development of a comprehensive proposal which takes into account all relevant University policies and guidelines. The most important element of the proposal is the Academic Rationale for the EDU. Why is the EDU being proposed? What are the expectations of the EDU? What might be possible metrics or measures of success?

Common Elements

- Every new EDU should have a clearly designated lead Faculty/Division
 - The Dean of the lead Faculty/Division assumes full responsibility for the EDU including administration and budget
 - Other Faculties/Divisions may be full, *active partners* in the EDU² in which case it should be approved by their Council or may simply be *associated with it* through involvement of their faculty
- The Dean of the lead Faculty/Division is responsible for consulting with all Deans whose faculty may be involved or associated with the EDU
- Where more than one Faculty/Division is *actively engaged* in an EDU, the Deans should lay out their understanding of the nature of that involvement and respective obligations in a brief Memorandum of Agreement. The latter should be submitted to the Provost's Office for future reference
- The proposal need not include the full MOA but should explicitly outline the extent of the resource commitment being made in support of the proposed EDU by each Faculty/Division
- Every proposal should include a draft budget in line with the *Checklist*
- Every proposal should be structured in such a way that it is in line with and supports the University's fundamental goals and values
- The lead Dean should consult with the Provost's Office on a draft proposal prior to consideration by governance

1 EDU: A's and B's

- All EDU A's and B's fall under *The Policy for Approval and Review of Academic Programs and Units*, June 24, 2010
- Directors of EDU A's and B's are appointed under the *Policy for the Appointment of Academic Administrators* [PAAA]

2 EDU: C's and D's

- EDU C's and D's do not fall under *The Policy for Approval and Review of Academic Programs and Units*, June 24, 2010, but the lead Dean is expected to commission periodic reviews

¹ The *EDU Proposal Checklist* following provides an outline and additional information.

² Active engagement is normally reflected in a financial or administrative commitment.

Approval of new EDU's

In every instance, where more than one Faculty/Division is an *active partner* in the establishment and operation of an EDU, the proposal must be approved through governance by each Faculty/Division.

1 EDU: A's and B's

- Requires Divisional and Governing Council approval
 - Faculty Council, Planning and Budget Committee, Academic Board, and Governing Council
 - Campus Affairs Committee, Campus Council, Academic Board, and Governing Council in the case of University of Toronto Mississauga [UTM] and the University of Toronto Scarborough [UTSC]
- Proposals for new EDU: A and B's are taken forward to University governance by the Office of the Vice-President and Provost and included in the list of EDU's maintained by the Vice-Provost, Academic Programs and posted on their website

2 EDU: C

- Requires Divisional governance approval only
 - Faculty Council
 - Campus Affairs Committee, Campus Council in the case of UTM and UTSC
- The approval of a new EDU: C at the divisional level should be reported to the Office of the Vice-President and Provost for inclusion in the list of EDU's

3 EDU: D

- Require Departmental or Divisional governance approval (as determined by the Dean's Office and the terms of reference of the relevant Faculty Council)
- The approval of a new EDU: D should be reported to the Office of the Vice-President and Provost for inclusion in the list of EDU's

Academic Leadership

1 EDU: A's and B's

- Every EDU: A or B must have a Director, who should be appointed by the lead Dean following the PAAA (Section II. The Office of Director of an Academic Centre or Institute)
- The Director of an EDU: A or B will report to the lead Dean

2 EDU: C

- A Director is appointed by the lead Dean or designate for a fixed term of not more than five years, renewable once by the lead Dean(s)
- Termination of the appointment of a Director rests with the lead Dean or the lead Dean's designate
- The name of the Director should be reported to the Office of the Provost

3 EDU: D

- A Director / Coordinator is appointed by the lead Dean or the Dean's designate to serve a fixed term of not more than five years, renewable once
- Termination of the appointment of a Director / Coordinator rests with the lead Dean or lead Dean's designate

Responsibilities of the Director/Coordinator

1 EDU: A's and B's

- The Director is appointed under the PAAA, and is the chief executive officer of the EDU, reporting directly to the Dean
- The Director has responsibility for the overall direction of the Centre or Institute and in particular authority over the budget and recommendations for appointments and, where applicable, tenure and promotions.
- The Director has responsibility and accountability for all operating and restricted funds delegated to the EDU
- The Dean of the lead Faculty/Division must assume ultimate responsibility for administration and budget
- The Director is responsible and accountable to the lead Dean for the financial management of the EDU and all of its resources. Those responsibilities include establishment and management of budgets, revenue and expenditure decisions, safeguarding of all assets, financial reporting and monitoring, adherence to all financial management policies and procedures as described in the *Guide to Financial Management*, and oversight of any individuals within the EDU who are responsible for financial management activities
- Each year, the Director is required to complete an annual accountability report to the lead Dean attesting to proper completion of those financial management responsibilities
- EDU: A's and B's can serve as the administrative home for research accounts, with the provision that sign-off is obtained from the academic unit head in which the Principal Investigator holds his or her primary budgetary appointment. The automated research application system, "My Research – Applications" (MRA) routes all applications to the PI's unit of primary appointment based on HRIS records, but it is important for researchers to be aware of this requirement.

2 EDU: C³

- The Director may administer an operating budget from divisional budget(s)
- The Director is responsible for administrative and financial operations and accountable to the lead Dean.
- The lead Dean is responsible for overseeing the disbursement of advancement funds
- EDU: C's may not serve as the administrative home for a research account without the lead Dean seeking the agreement of the Provost. The Office of Research must be notified. Where an EDU:C is permitted to administer research grants, the financial accountability requirements identified for EDU: A's and B's will apply including signing financial accountability reports.

3 EDU: D

- The Director / Coordinator is responsible for administrative operations to the lead Dean or lead Dean's designate
- The Director / Coordinator is responsible for the unit's financial operations and administrative funds, if so delegated by the lead Dean or lead Dean's designate. In this case the financial accountability requirements identified for EDU: A's and B's will apply including signing financial accountability reports.
- EDU: D's do not administer research funds

Governance/Administrative Structure

The proposed administrative structure of an EDU should be as simple and streamlined as possible. The Director is often supported by a small Executive Committee comprised of faculty. Where there are multiple Deans actively involved in establishing the EDU, the structure may include an executive or senior management committee of the deans or their designates. The Director in these cases is often appointed by, and reports to, the executive or senior management committee. This being said, there must always be a single lead Faculty and the Director should ultimately be accountable to that Dean. In certain instances such a committee could include the CEO of an external partner such as a Hospital CEO or the CEO's representative.

EDU's frequently also have an Advisory Board or Council. An advisory committee may include external members, but must remain advisory only, providing non-binding advice. Any Advisory Board should explicitly conform to the *Provost's Statement on the Role of Advisory Bodies*, issued as PDAD&C #044, 1997/98 on March 20, 1998 and revised April 30, 1998.

³ Possible proposal language could be: "The proposed..... is an EDU:C and as such, the Director is not appointed under the *Policy on Academic Administrative Appointments*. As a consequence, an EDU:C may not administer research funds or enter directly and on its own authority into commitments / agreements / contracts. All monies and research funding will flow through the Dean's Office in line with the Faculty's normal practice. Any research contracts or agreements similarly require approval and the signature of the Dean."

The membership, roles and responsibilities of these groups should be laid out in the proposal for the EDU.⁴

Collaborations

EDU's may involve external parties.

1 EDUs in collaboration with Fully Affiliated Health Care Institutions

Many EDU's are established in collaboration with the University's Fully Affiliated Health Care Institutions and are an expression of the strong relationship that exists between the University of Toronto and its health care partners. These EDU's may be physically located in hospital space; engage colleagues employed by the University's Toronto Academic Health Science Network (TAHSN) partners and be bound by their rules; depend on hospital infrastructure including finance and HR services; and are often sustained by significant financial contributions from collaborating institutions.

The Affiliation Agreements between the parties provides the framework within which the University can be comfortable that its academic interests are safeguarded. In bringing forward a new EDU in collaboration with one or more affiliated health care institution, the lead Dean is responsible for working closely with the Vice-Provost, Relations with Health Care Institutions to ensure that the proposed EDU is in line with those Agreements. As part of this process, the parties should develop a Memorandum of Agreement [MOA] outlining the nature of the engagement of each partner and their respective obligations. This would normally include financial commitments and philanthropic contributions.

The draft proposal and MOA once agreed to by the Vice-Provost, Relations with Health Care Institutions should be submitted to the Office of the Vice-Provost, Academic Programs for review and feedback. The final proposal taken to governance need not include the full MOA but should explicitly outline the extent of the resource commitment being made in support of the proposed EDU by each Faculty/Division. The final MOA should be submitted to the Provost's Office for reference.

In many instances, numerous facets of the operation of the EDU are managed jointly including:

- the appointment of the Director of the EDU. (For EDU A's and B's this process must conform to the University's *Policy on Academic Administrative Appointments*.)
- administrative oversight / governance
- financial organization and accountabilities
- appointment of staff
- the review of the EDU on the end of the Director's term

The EDU is a unit of the University of Toronto and decision-making authority is ultimately maintained by the University. Other relevant expectations and processes should be set out clearly and specifically in the MOA.

⁴ Possible language for a proposal might be: "In accordance with the *Provost's Statement on the Role of Advisory Bodies* (April 30, 1998), the Dean, with input from, will appoint an Advisory Board to provide non-binding advice ..."

2 Other Institutions or Groups

The lead Dean must seek the approval of the Provost's Office *before* establishing an EDU in concert with other external institutions or groups. It is critical to ensure that the extent of engagement and the role of an external party in any EDU is carefully managed so that control and oversight of the EDU is clearly maintained within the University and that its operations will be conducted in accordance with University policy.

Faculty Appointments⁵

1 EDU: A

- Only EDU: A's can hold primary or majority budgetary faculty appointments, e.g. 51% or more
- Where individual faculty members are proposed as members of an EDU the lead Dean must consult with the Dean(s) of the Faculty/Division(s) involved and the original unit of primary appointment
- Where a faculty member has their primary appointment in an EDU: A, the Director is responsible for all aspects of the appointment including for example tenure, promotion, assignment of workload and the annual merit process
- Only EDU: A's may hold Status-only and Adjunct Appointments⁶
- See *Policy and Procedures on Academic Appointments*

2 EDU: B

- EDU: B's do not have primary faculty appointing rights
- EDU: B's may hold minority budgetary tenure and teaching stream cross-appointments. The cross-appointment of faculty rests with the Dean(s) of the Faculty/Division(s) involved in consultation with the original unit of primary appointment
- New EDU: B's should not hold primary Teaching Stream Appointments although in practice some hold 100% teaching stream appointments where this is necessitated by program considerations
- Where a faculty member has their primary appointment in an EDU: B, the Director is responsible for all aspects of the appointment including for example promotion, assignment of workload and the annual merit process

⁵ This refers to practice going forward.

⁶ The *Provostial Guidelines for the Appointment of Status Only, Adjunct and Visiting Professors* (<http://www.aapm.utoronto.ca/status-only-adjunct-and-visiting-professors>).

3 EDU: C

- Going forward EDU: C's may only hold non-budgetary cross-appointments of tenure and teaching stream faculty
- EDU: C's may "buy-out" or transfer funds to support faculty who hold appointments elsewhere

4 EDU: D

- No rights of appointment or cross-appointment of tenure and teaching stream faculty exist

Other Non-Budgetary Appointments

Other, non-budgetary appointments to any kind of EDU may include:

- Clinical faculty appointed under the *Policy for Clinical Faculty*, December 16, 2004 (effective July 1, 2005):
 - The primary appointment for every clinical faculty member must be in a Clinical Department
 - Clinical appointments are never budgetary
 - Clinical faculty can hold minority non budgetary cross appointment in an EDU. Sign-off from the Chair of the Clinical Department holding a clinical faculty member's primary appointment is required

Teaching

1 EDU: A's and B's

- May offer undergraduate and or graduate degree programs
- Degree programs fall under the UTQAP
- Since the academic requirements of programs may span Departments or Divisions, approvals must be sought in all units involved
- Students have access to the academic appeal procedures of the lead Faculty/Division.

2 EDU: C

- May offer graduate Collaborative programs, which fall under the UTQAP
- May offer courses in an academic area. Such courses are approved through the normal process established by the lead Faculty

3 EDU: D

- May offer for credit courses in an academic area. Such courses are approved through the normal process established by the lead Faculty

Review

1 EDU: A's and B's

- All EDU:A's and B's are subject to *The Policy for Approval and Review of Academic Programs and Units*, June 24, 2010
- Under the *University of Toronto Quality Assurance Process* [UTQAP], the lead Dean, in consultation with any other active, participating Deans, will commission a review of the EDU and its programs. The interval between program reviews must not exceed eight years

2 EDU: C

- Reviews should be conducted by the lead Dean at fixed intervals (commonly every 5 – 7 years which may coincide with the appointment or re-appointment of a Director and, where appropriate, involving external reviewers)
- The review procedures and expectations of the unit should be defined in the original proposal establishing the unit and should be approved by the lead Dean in consultation with any active, participating Deans as being consistent with University-wide standards
- Expectations should include sustainability, performance and achievements relative to the goals set out at its establishment⁷
- It should be clear that one outcome of a review could be a decision to close the EDU

3 EDU: D

- A periodic review should be conducted by the lead unit/Faculty at such times as the appointment or re-appointment of a Director/Coordinator, the review of the division(s), or the evaluation of the research project(s) and/or course offerings
- As in the case of an EDU: C, the review procedures and expectations should be defined in the original proposal establishing the unit
- Expectations should include sustainability, performance and achievements relative to the goals set out at its establishment. It should be clear that one outcome of a review could be a decision to close the EDU

⁷ Possible language for a proposal could be: "In line with normal practice, an EDU: C is subject to periodic review (normally every 5 years) by the lead Dean. Any review would normally assess the EDU's sustainability, performance and achievements relative to the goals set out at its establishment. Possible outcomes of the review could include closure. "

Appendix A: EDU Proposal Checklist

*This is intended as a guide for anyone bringing forward a new Extra Departmental Unit [EDU] for approval **or** proposing a change to an existing EDU. (Please work closely with your Dean's Office in developing any proposal. Your Dean's Office will coordinate with the Office of the Provost.)*

Statement of Purpose

- What is being created / changed?
 - Provide full proper name of EDU being proposed/changed⁸
 - Proposed status / proposed change (in name, status)
 - Have you clearly identified a single lead Faculty/Division that will assume active administrative and budgetary responsibility for the EDU?
 - Have you identified other participating Faculties/Divisions (you may wish to distinguish between *active participating* Faculties/Divisions and Faculties/Divisions/units that may be *associated with* the EDU by virtue of the involvement of individual faculty)
 - Effective date / effective date of change

Academic Rationale

- Have you clearly described the intended scope of activity of the proposed EDU or provided an academic argument for the change being proposed, in terms that align with the EDU Guidelines? Try to focus on this and not logistical considerations/administrative considerations. How does this fit with strategic goals of the lead and participating Faculties/Divisions?
- Have you given a clear and specific description of the academic focus of the EDU?
 - Program delivery: remember that only EDU: A's and B's offer degree programs; EDU: C's may offer courses and may be the locus of a collaborative program
 - Research focus: defined research domain in a particular area of academic inquiry
 - Other activity / programming

Consultation

- Have you consulted deeply and broadly prior to governance including with:
 - The Chairs of all Departments and Deans of all Faculties/Divisions whose faculty will be associated in anyway with the EDU
 - With the Provost's Office
- Have you incorporated suggested changes into the proposal and clearly articulated the nature and outcome of that consultation?

⁸The names of EDU's commonly conform to disciplinary norms and include Centre, Institute, School etc.

Faculty Participation

- Have you included a full list of faculty who will be actively engaged in the proposed EDU as an appendix (include total heads and fte's under appropriate categories in the body of the proposal)?
- Do all those who will be associated with the proposed EDU fall into appropriate appointment categories:
 - Primary appointments
 - Budgetary cross-appointments
 - Non-Budgetary Cross-Appointments
 - Status-only Appointments)
 - Adjunct Appointments
 - Clinical Faculty (See *Policy on Clinical Appointments*)
- Have you understood the distinction between appointment status and Graduate Faculty membership?
 - Graduate Faculty membership is a separate layer of responsibility with specific criteria.⁹
 - A prerequisite of any graduate appointment is a primary academic appointment at the U of T
 - Usually a faculty member's primary graduate faculty membership is held with the primary budgetary appointment
 - Once a faculty member is a member of the School of Graduate Studies, he/she can hold a secondary graduate membership in another department, EDU: A or EDU: B. This does not necessarily mean that the faculty member holds a budgetary cross-appointment in the Department or EDU.
- Has the Dean and (if relevant) the Chair who holds each prospective EDU members' primary appointment agreed to the specifics of what is proposed, conditional on approval of the proposal?
 - Does the proposal comply with relevant workload policies?
 - Is the anticipated impact on current roles and responsibilities sustainable?
 - Have drafts of revised appointment letters been prepared for all involved faculty, reflecting commitments made?
- Have you tried to keep the relationship of members to the EDU as simple as possible and consistent with the appointment categories listed above and with University policy? Categories such as core, associate or affiliate membership in an EDU are not bona fide terms.¹⁰

Structure/ Administration

- Follow the *Guidelines* above
- Ensure that it is clear that the Director is responsible for all facets of the proposed EDU including policies, T&P, budget, and administrative operations to the lead Dean

⁹ <http://www.sgs.utoronto.ca/adminsupport/gradfac.htm>

¹⁰ At the very most one might distinguish between active, participating and collaborating.

Budget

- Ensure that any provisions are in line with the *Guidelines*

Research Funds

Ensure that it is clear that the only instance in which an EDU may administer research funds is where the appointment of the Director has been made in accordance with the Policy on Appointment of Academic Administrators (i.e. EDU:A's and EDU:B's). In the case of EDU: B's, because they only hold minority appointments, the faculty member will have to designate the funds to go to the EDU:B and their chair/dean would need to sign off on this.

If an EDU: C is to have this authority this must be approved by the Dean (in consultation with the provost) and the office of Research informed.

Review

Have you set out clearly the expectations relative to the periodic review of the EDU in line with the *Guidelines*?