

Since last reporting to the Board of Governors, Senate met on November 15, 2023, and December 6, 2023. This report contains items which are presented to the Board of Governors for its consideration and information.

I. FOR THE CONSIDERATION OF THE BOARD OF GOVERNORS

1. Report of the Academic Policy Committee [D23-15]

1.1 Proposed Policy on Research Entities

On the recommendation of Senate, the Board of Governors is asked to approve the repeal of the Policy on Research Centres, and to approve the proposed new Policy on Research Entities. The new Policy and its related Procedures in effect replace the Policy on Research Centres.

The Policy on Research Centres was approved in 1994 and last reviewed in 2013. In 2019, a working group composed of four Faculty Associate Deans (Research) was tasked by the Vice-Principal (Research and Innovation) to initiate a Policy review for recommendations.

Consultations were conducted with Faculty Deans in 2020 and 2021. Updates were presented to the Research Advisory Council (RAR) in December 2022 for consultation and approved by RAC at the following meeting in February 2023. In accordance with the University's Policy Framework, the Policy was also submitted to the Senior Administration for information in April 2023 and approval in September 2023, before advancing to Academic Policy Committee on October 26, 2023, for approval and recommendation to Senate for approval on the understanding that the Policy is subject to the final approval of the Board of Governors.

The new Policy represents a significant refresh to meet the evolving needs for oversight of research entities. Some notable updates involve strengthening governance; strengthening review and accountability; keeping Faculty oversight while harmonizing the procedures for creation, review, and sunseting of research entities across the University; clarifying nomenclature and decoupling naming from function; introducing a procedure for core facilities; clarification of oversight of research entities regarding the responsibilities of the Vice-Principal (Research and Innovation) versus Faculty Deans. As a complement, the Policy's related Procedures are also submitted for information only, attached as Appendices B and C.

Be it resolved that the Board of Governors, on the recommendation of Senate, approve the repeal of the [Policy on Research Centres](#).

Be it further resolved that the Board of Governors, on the recommendation of Senate, approve the proposed Policy on Research Entities, as presented in Appendix A.

II. FOR THE INFORMATION OF THE BOARD OF GOVERNORS

1. Report of the Senate Nominating Committee [D23-14]

On the recommendation of the Senate Nominating Committee, Senate approved appointments to various Senate Standing Committees and Committees arising from University Regulations.

2. Reports of the Academic Policy Committee (APC)

2.1 Committee Meeting of October 26, 2023 [D23-15]

This report provided an overview of matters considered by the Committee at its meeting of October 26, 2023. Senate approved, on the recommendation of the Academic Policy Committee, the proposed Policy on Research Entities, and endorsed, on the recommendation of the Academic Policy Committee, the recommendations included in the Subcommittee on Teaching and Learning's Report on the Use of Generative AI.

2.2 Committee Meeting of November 23, 2023 [D23-24]

This report provided an overview of matters considered by the Committee at its meeting of November 23, 2023. Senate approved, on the recommendation of the Academic Policy Committee, the proposed M.Sc. in Bioethics (45 cr.), and M.Sc. in Bioethics; Non-Thesis (48 cr.). Senate also discussed the proposed revisions to the Regulation on Conflict of Interest.

3. Report from the Board of Governors to Senate [D23-16]

Senate received this report for information. It provided an overview of matters considered by the Board of Governors at its meeting of October 5, 2023, and by the Executive Committee of the Board of Governors at its meeting of October 27, 2023.

4. Open Discussion: Planning and Adapting Teaching, Learning, and Assessment as AI Technologies Emerge and Advance [D23-17]

This Open Discussion provided Senators with an opportunity to collectively explore and question the opportunities, challenges, and implications arising from the use of AI in the University context, both contemporarily, and in the coming years.

5. Annual Report of the Academic Policy Committee [D23-18]

Senate received this report for information. It provided an overview of matters considered and activities undertaken by the Committee over the period 2022-2023, as well as relevant statistics.

6. Annual Report of the Committee on Physical Development [D23-19]

Senate received this report for information. It provided an overview of matters considered and activities undertaken by the Committee over the period 2022-2023, and mentioned plans and priorities for 2023-2024.

7. Annual Report on the Code of Student Conduct and Disciplinary Procedures [D23-20]

Senate received this report for information. It provided an overview of matters considered and activities undertaken under the scope of the Code over the period 2022-2023, as well as relevant statistics.

8. Report of the Honorary Degrees and Convocations Committee [D23-22]

On the recommendation of the Honorary Degrees and Convocations Committee, Senate approved various items concerning University Awards and Honorary Degrees.

9. Proposed Revisions to the McGill University Sustainability Policy [D23-23]

Senate approved the proposed revisions to the McGill University Sustainability Policy, on the understanding that the revisions are subject to approval by the Board of Governors. The Board of Governors is receiving the proposed revisions as part of item GD23-30.

10. Report of the Equity, Diversity, and Inclusion Committee (EDIC) [D23-25]

Senate received this report for information. It provided an overview of matters considered by the Committee at its meeting of November 23, 2023. The Board of Governors is receiving this report as item GD23-32.

11. Budget Planning 2024-2025 Report I [D23-26]

Senate received this report for information. It comprised the first of three reports which will provide an overview of major considerations shaping the University's budget for the upcoming fiscal year, starting May 1, 2024. The report was also presented to the Finance and Infrastructure Committee on November 30, 2023. and will be presented. The Board of Governors is receiving this report as part of item GD23-31.

12. Report on the 2023 Joint Meeting of the Board of Governors and Senate [D23-27]

Senate received this report for information. It provided an overview of activities undertaken and discussions held at the 2023 Joint Meeting of the Board of Governors and Senate, held on November 14, 2023. The topic of the meeting was Building on McGill's Record of Excellence for the Third Century: Challenges and Opportunities Ahead.

13. Annual Report on the Financial State of the University [D23-28]

Senate received this report for information. It provided an overview of the University's financial situation for the period 2022-2023.

14. Annual Report of the Committee on Staff Grievances and Disciplinary Procedures [D23-29]

Senate received this report for information. It provided an overview of matters considered and activities undertaken by the Committee over the period 2022-2023, as well as relevant statistics.

15. Annual Report of the Office of Indigenous Initiatives [D23-30]

Senate received this report for information. It provided an overview of matters considered and activities undertaken by the Office over the period 2022-2023.

16. Annual Report on the Equity, Diversity, and Inclusion (EDI) Strategic Plan [D23-31]

Senate received this report for information. It provided an overview of activities undertaken and achievements attained by the University under the scope, and in support of, the EDI Strategic Plan over the period 2022-2023.

17. Annual Report on the Action Plan to address Anti-Black Racism [D23-32]

Senate received this report for information. It provided an overview of activities undertaken and achievements attained by the University under the scope, and in support of, the Action Plan to address Anti-Black Racism over the period 2022-2023.

18. Annual Report on University Advancement [D23-33]

Senate received this report for information. It provided an overview of transformative gifts, donor impact, alumni activities, volunteer engagement and digital communications over the period 2022-2023.

END December 2023

POLICY NAME	POLICY ON RESEARCH ENTITIES
Approving Body	Senate Board of Governors
Initial Approval Date	TBD
Date of last review	
Date of next review	
Executive Sponsor	Vice-Principal (Research and Innovation)
Related Documents	<ul style="list-style-type: none"> - Procedures for Research Units - Procedures for Core Facilities - Policy Relating to the Naming of University Assets

1. Preamble

McGill University proudly supports the advancement of stimulating and collaborative research environments through the establishment of formally recognized research entities. Such entities play a central role in the University’s research mission while supporting institutional and Faculty strategic priorities. Research entities have clearly defined research goals and objectives and are established to serve compelling, strategic research priorities and needs that have been identified through planning and consultation with stakeholders.

Research entities contribute to academic life at McGill by complementing and enhancing the University’s academic organizational structure. Whereas departments and Faculties are enduring academic units that offer for-credit educational programs with provincial oversight, research entities are accountable to the University to address specific current or longer-term research priorities. They may be housed within a specific Faculty or span multiple Faculties and focus on a targeted research area. Research entities increase the visibility and reputation of the research mission of the University, nationally and internationally, and contribute to its measurable output and impact. They are overt expressions of the University’s research strengths and priorities, and are instrumental to securing research funding, attracting and retaining expertise via leading researchers, highly-qualified specialised staff and trainees, providing training opportunities for students, promoting collaboration with other entities, partnership opportunities with industry, and disseminating knowledge to stakeholders and the public.

The *Policy on Research Entities* (“Policy”) provides a framework to guide the establishment, oversight, review, and operations of research entities, while ensuring accountability and clear governance. This Policy aims to decouple nomenclature from function, placing emphasis on the distinguishing features of a research entity and allowing flexibility in the categorization of research entities.

2. Scope

- 2.1** The purpose of this Policy is to set University-wide general principles for two categories of research entities, hereby designated as Research Units and Core Facilities.
- 2.2** Specific protocols with regard to the establishment, governance, leadership, membership or usership, resource allocation, reporting, review and termination for each category of research entity are found within the *Procedures for Research Units* and the *Procedures for Core Facilities*.
- 2.3** Existing research entities previously under the scope of the *Policy on Research Centres* will keep their McGill recognized status and will follow the protocols outlined in the *Procedures for Research Units*.
- 2.4** Informal research groups or research labs are not within the scope of this Policy.
- 2.5** Non-research entities that may use the nomenclature of centre or institute are not within the scope of this Policy.

3. Categories of Research Entities

The two categories of research entities that are within the scope of this Policy are outlined below.

3.1 Research Units

Research Units, generally categorized as research centres or research institutes, are approved by University governance bodies and are established to bring together relevant researchers and increase focus on a specific area or topic. They enhance research and training activities through clearly defined objectives while providing a structure to support their activities that complements the academic goals of Faculties. They foster partnerships both nationally and internationally with academic and industry stakeholders and may promote interdisciplinary research and knowledge translation. Research Units are expected to have and sustain external funding to support their activities and serve as vehicles for fund-raising campaigns of the University and other strategic initiatives. They are initiated by researchers within a single Faculty or multiple Faculties, in which case a Lead Faculty is selected to ensure accountability.

3.2 Core Facilities

Core Facilities are research platforms that provide access to specialized equipment, expertise, training, services, technologies, and scientific and technical personnel that are accessible to multiple investigators. Core Facilities are meant to foster collaborations, maximize the use of equipment and services and lead to increased scientific productivity, while aiming to facilitate cost efficiency of operations and management. Generally, a Core Facility is housed within a Faculty and is accountable to a Lead Faculty, however, there may be some exceptions.

4. General Principles

The following general principles will apply to both categories of research entities that fall within the scope of this Policy.

- 4.1 Research entities uphold the University's mission and principles and group the collective efforts of multiple researchers.
- 4.2 Research entities aim to interact with scholars at other universities and/or institutions and, when relevant, create collaborations with non-academic stakeholders including industry and community groups.
- 4.3 Research entities endeavour to enhance research training of highly qualified personnel including post-doctoral fellows and students at the graduate level.
- 4.4 Research entities are expected to have a life cycle extending beyond the term of a single grant and are established with long-term research objectives.
- 4.5 Research entities will receive designation as one of either a Research Unit or a Core Facility. In cases where a Core Facility may be associated with a Research Unit, the designation as a Core Facility will be a separate designation.
- 4.6 Designation as a research entity does not allow for the hiring of faculty members or the offering of for-credit courses. However, a research entity may contribute to undergraduate, graduate, or other training, including through seminar series, specialized workshops, and internships, related to ongoing research programs. For-credit courses could result from the activity of a research entity. In such cases, these would become part of an existing Department or Faculty's course offerings, following established University protocols.
- 4.7 Research entities and their members shall conform to all applicable University policies and procedures.

5. Naming and Nomenclature

- 5.1 Subject to governance approval, research entities may use nomenclature to name or refer to themselves that is best suited to their unique goals and objectives but are formally classified either as a Research Unit or Core Facility according to their distinguishing features as outlined in Section 3.
- 5.2 Only research entities formally approved under the provisions of the present Policy and its Procedures may use the McGill name and/or logo in combination with their name and/or logo.
- 5.3 Research entities may be named honorifically following the protocols of the *Policy Relating to the Naming of University Assets*.

6. Establishment, Oversight, Review and Termination

6.1 Research Units

- 6.1.1 A proposal to establish a Research Unit must be reviewed and approved by the Lead Faculty, Research Advisory Council, the Academic Policy Committee, the Senate, and the Board of Governors.
- 6.1.2 The Vice-Principal (Research and Innovation) is responsible for:

- (i) reviewing proposals prior to their submission to the University's governance bodies to ensure suitability and fit with the present Policy;
- (ii) determining the representation of the Office of the Vice-Principal (Research and Innovation) in the governance of the Research Unit; and
- (iii) providing an annual report on the status of Research Units to the Senate and the Board of Governors.

6.1.3 The Lead Faculty Dean is responsible for:

- (i) receiving requests and making a determination on proposals seeking provisional status prior to seeking full governance approval as defined and described in the *Procedures for Research Units*;
- (ii) establishing a governance body to oversee a Research Unit once it has been established;
- (iii) determining resource allocation such as space, human resources, and financial support to Research Units;
- (iv) requesting and receiving annual reports, determining performance metrics, and performing reviews of scientific productivity and financial operations to assess the relevance and impact of Research Units against their stated objectives and fit with the present Policy; and
- (v) submitting annual reports to the Vice-Principal (Research and Innovation).

6.1.4 Research Units will receive their designation for a six-year term. New Research Units will undergo a midterm review at three years, followed by a final review at six years, following the protocols outlined in the *Procedures for Research Units*. After the initial term, reviews will take place every six years to coincide with any external assessments as appropriate.

6.1.5 Following consultations with the Lead Faculty Dean, the Vice-Principal (Research and Innovation) may elect to terminate the activities of a Research Unit following review.

6.1.6 A Research Unit's governance body may recommend to the Lead Faculty Dean to close voluntarily, following protocols in the *Procedures for Research Units*.

6.2 Core Facilities

6.2.1 A proposal to recognize a Core Facility must be reviewed by and receive approval from the Lead Faculty.

6.2.2 The Vice-Principal (Research and Innovation) is responsible for:

- (i) providing an annual report on the status of Core Facilities to the Senate and the Board of Governors.

6.2.3 The Lead Faculty Dean is responsible for:

- (i) establishing a governance body to oversee a Core Facility once it has been recognized. The extent of the oversight is decided by each Faculty Dean, taking due regard of the Faculty context and the Core Facilities under its purview;
- (ii) determining resource allocation such as space, human resources, financial support and ensuring that the Core Facility has sound management and operations of any assets under its responsibility; and
- (iii) requesting and receiving annual reports, determining performance indicators, and organizing formal reviews of Core Facilities to assess their relevance and impact against their stated objectives and fit with the present Policy.

6.2.4 The Lead Faculty Dean can terminate the activities of a Core Facility following review.

6.3 A Lead Faculty Dean may request that the Vice-Principal (Research and Innovation) conduct an arm's length review on the status of any research entity within the scope of this Policy at any time.

6.4 The Vice-Principal (Research and Innovation), following consultation with the relevant Faculty Dean, reserves the right to terminate a research entity at any time due to institutional risks such as those involving financial exigencies, non-compliance with regulations, or any other serious concerns, with due consideration to human resources, policies, contractual obligations, and employment standards.

7. Procedures

The Vice-Principal (Research and Innovation) has the authority to establish and amend Procedures associated with this Policy.

8. Policy Review

This Policy will be reviewed following five years of its approval by a working group established by the Vice-Principal (Research and Innovation) with broad representation from Faculties and the Office of the Provost and Vice-Principal (Academic). The working group may make recommendations for modifications to this Policy.

PROCEDURE TITLE	PROCEDURES FOR RESEARCH UNITS
Executive Sponsor	Vice-Principal (Research and Innovation)
Initial Approval Date	(Date that the Procedure was originally approved by Executive Sponsor)
Date of Last Review	(Date that the Procedure was last reviewed)
Related Documents	<ul style="list-style-type: none"> - Policy on Research Entities - Procedures for Core Facilities - Administrative Handbook for Core Facilities

1. Purpose and Scope

- 1.1** In support of the *Policy on Research Entities* ("Policy"), the *Procedures for Research Units* ("Procedures") set out protocols with regard to the establishment, governance, leadership, membership and/or usership, resource allocation, reporting, review and termination of University Research Units.
- 1.2** The Procedures are to be read in conjunction with the Policy. All items identified in these Procedures will have the meaning given to them in the Policy.
- 1.3** Research Units are generally categorized as "research centre" or "research institute" depending on the nature and context of the Research Unit in question. However, in these Procedures, the term Research Unit is used throughout this document and will be understood to include all entities that meet the description herein, whether identified as a research centre or research institute.
- 1.4** Research Units are expected to have a life cycle extending beyond the term of a single grant and are established with long-term research objectives. Certain provincial or federal programs may fund multi-institutional entities using similar nomenclature such as research centre, which do not fall within the scope of the Policy and these Procedures unless a proposal has been submitted for its establishment as a Research Unit. In such cases, only the McGill portion of these multi-institutional entities will be covered by the Policy and these Procedures.

2. Definition

- 2.1** As established by the Policy, Research Units are approved by University governance bodies and are established to bring together relevant researchers and increase focus on a specific area or topic. They enhance research and training activities through clearly defined objectives while providing a structure to support their activities that complements the academic goals of Faculties. They foster partnerships both nationally and internationally with academic and industry stakeholders and may promote interdisciplinary research and knowledge translation. Research Units are expected to have and sustain external funding to support their activities and serve as vehicles for fund-raising campaigns of the University and other strategic initiatives. They are initiated by researchers within a single Faculty or multiple Faculties, in which case a Lead Faculty is selected to ensure accountability.

2.2 Research Units must:

- focus on research topics, whether fundamental or applied, where McGill researchers have demonstrated strength relative to peer groups in Canada and internationally,
- group a critical mass of McGill faculty members (e.g., 10+), building on complementary strengths,
- designate a Director with oversight of the research program and administrative responsibility for the Research Unit,
- have a designated Lead Faculty,
- maintain an appropriate level of research funding over time through a possible number of funding sources,
- demonstrate a sustainable annual budget for operations relative to size and scope.

3. Faculty Guidelines

In line with the Policy, each Faculty must develop guidelines to implement processes for the establishment, operation, review, and termination of Research Units. These guidelines will be adapted to the scope, needs and particularities of each Faculty.

4. Establishment

4.1 All faculty members interested in creating a new Research Unit will have a pre-planning meeting with the Office of the Vice-Principal (Research and Innovation), who will ensure other stakeholders, such as the Office of the Provost and Vice-Principal (Academic), are consulted as needed. The key stakeholders will be brought into a pre-planning meeting to allow for a more seamless process of approvals and for a discussion around required templates and documents.

4.2 Faculty members interested in creating a new Research Unit have two options:

- 4.2.1** If they do not yet meet the full criteria outlined in Section 2.2, they may first seek provisional status as explained in Section 4.3 or
- 4.2.2** If they already meet the full criteria outlined in Section 2.2, they may seek full governance recognition without going through provisional status according to Section 4.4.

4.3 Provisional Status

- 4.3.1** Provisional status will be granted at the discretion of the Lead Faculty Dean upon receipt, at any time, of a short proposal (2-3 pages) that outlines details such as: Research Unit mission and objectives, research program and training, Faculties involved and membership, fit with the Faculty's or Faculties' strategic plan, governance model, secured and anticipated funding, and a financial plan.
- 4.3.2** Provisional status will be granted for up to 36 months (non-renewable), by the Lead Faculty Dean, and other Faculty Deans involved as applicable, who will inform the Vice-Principal (Research and Innovation).

- 4.3.3** A group of faculty members who obtained provisional status of a Research Unit must then seek approval and prepare a proposal in consultation with and under the guidance of the Lead Faculty and other Faculties involved, before the 36-month provisional time period.

4.4 Full Governance Recognition

- 4.4.1** To guide prospective new Research Units, the Lead Faculty will provide a proposal template with required headings and instructions. A generic proposal template to support Faculties will be available through the Office of the Vice-Principal (Research and Innovation).
- 4.4.2** In addition, letters of support from all involved Faculty Deans that outline resource allocations for space and operations must be appended to the proposal.
- 4.4.3** All proposals must be submitted to all Faculties involved for approval. Following approval, the Lead Faculty will submit the proposal and all supporting documents to the Office of the Vice-Principal (Research and Innovation). Proposals can be submitted at any time during the year.
- 4.4.4** The Proposal will be reviewed by the Office of the Vice-Principal (Research and Innovation) according to the criteria in Section 2.2 and to:
- ensure suitability and fit with the purpose and scope of the Policy and the present Procedures,
 - determine the representation of the Office of the Vice-Principal (Research and Innovation) in the governance of the Research Unit,
 - check Faculty commitments of resources and space,
 - validate a sustainable financial plan,
 - ensure that the performance metrics proposed to assess progress and impact against the Unit's stated research objectives are appropriate.
- 4.4.5** The Office of the Vice-Principal (Research and Innovation) will present all new Research Unit proposals to the Research Advisory Council once a year for assessment and approval.
- 4.4.6** Once approved by the Research Advisory Council, proposals will be submitted to the Academic Policy Committee, the Senate, and the Board of Governors for approval.

5. Governance

- 5.1** A Research Unit will be under the purview of the Lead Faculty Dean.
- 5.2** For Research Units associated with more than one Faculty, the Deans will decide, in consultation with the Vice-Principal (Research and Innovation), which Faculty shall be the designated Lead Faculty. The Deans may agree that the designated Lead Faculty may be changed or alternated at any time.
- 5.3** Each Research Unit must have a governance body, named and adapted to its size and scope, that provides strategic direction, management guidance, and ensures accountability of the activities of the Research Unit.

- 5.4** The Lead Faculty Dean is responsible for forming, chairing and appointing members to the governance body, which shall be composed at a minimum of: the Lead Faculty Dean or delegate as Chair, Deans or delegates from each of the Faculties involved, the Director, two Regular Members of the Research Unit, and at least one member from every other membership category in section 7.1 as applicable.
- 5.5** The Vice-Principal (Research and Innovation) or delegate will serve as a member of a Research Unit's governance body.
- 5.6** The governance body must meet annually at the invitation of the Lead Faculty Dean to review activities and membership, assess progress and performance, approve the annual report, the annual budget for operations, and provide guidance for any issues that may arise.
- 5.7** Research Units must have a website with information about their mission statement, research objectives, membership and research activities.
- 5.8** As per Section 4.7 of the Policy, all Research Units must follow all applicable University policies and procedures. In addition, they must have written by-laws that align with the Policy, Procedures and their Lead Faculty's guidelines for matters such as:
- the mandate of all the Unit's relevant governance bodies,
 - nominations and appointments to the Unit's governance bodies,
 - appointment and length of service of Director, and if relevant, the Associate Director,
 - management and operations,
 - resources,
 - classification and terms of members,
 - financial matters such as budget and allocation of funding,
 - reporting and review,
 - termination process.
- 5.9** Research Unit governance documents will be included as part of the institutional approval process for full governance recognition as outlined in Section 4.4. Subsequent modifications will be submitted to the Research Unit's governance body for approval.

6. Leadership

- 6.1** Research Units will be led by a Director, who is appointed by, reports to, and is accountable to the Lead Faculty Dean, for a fixed term of 4 years, renewable.
- 6.2** The Director must hold a tenure-track/tenured academic faculty appointment at McGill University. Any terms and conditions of employment related to this mandate such as, but not limited to, a stipend or teaching release, is determined at the discretion of the Lead Faculty Dean. It is recommended that such terms and conditions are confirmed in writing in a letter to the Director.
- 6.3** The search for a Director may involve external recruitment and will follow all established University policies, procedures, and protocols.



6.4 The Director is responsible for the overall direction of the Research Unit and is accountable for its operations and financial management to the Research Unit's governance body as described in Section 5.3 under the purview of Lead Faculty Dean.

6.5 Research Units may also have Associate Directors, if deemed relevant, and shall follow the same protocols under sections 6.1, 6.2 and 6.3.

7. Membership

7.1 Research Units will adhere to the following classification of membership:

- Regular Member is a McGill academic faculty member who conducts most of their research within the scope of the Faculty Research Unit.
- Associate Member is a McGill academic faculty member who collaborates with Regular Members of the Faculty Research Unit.
- Affiliate Member* is an external member (non-McGill) from other institutions, whether academic or non-academic.
- Trainee Member is a McGill undergraduate student, graduate student, postdoctoral fellow, postdoctoral scholar or postdoctoral researcher.

*As per section 1.3, if the Research Unit is a multi-institutional entity, only the McGill portion will adhere to these membership categories. As such, affiliate members that are external to McGill may also be considered as regular members within the overall scope of the multi-institutional entity.

7.2 A Research Unit will submit an updated list of its membership to the governance body annually as part of their annual report.

7.3 Membership in a Research Unit will be for a stated term as determined by its by-laws, as indicated in section 5.8.

7.4 All Research Units will make their membership publicly available, for example via their website.

8. Resource Allocation

8.1 The Lead Faculty Dean will determine the level of Faculty financial support and space allocation to the Research Unit. If applicable, Deans of other Faculties involved will determine their level of contribution.

8.2 Research Units must maintain an appropriate level of sponsored research funding and revenues for collaborative research activities.

8.3 Research Units must have a budget for operations that covers costs associated with support staff salaries and other operational expenses, relative to size and scope. The operating budget must be tracked and reported separately from the research budget.

9. Reporting

- 9.1** Research Units will submit an annual report (May 1 to April 30 of previous year) to their governance body to ensure the scientific and financial accountability of their activities and progress of their mission.
- 9.2** While the overall format of annual reports is at the discretion of the Lead Faculty, the annual report must contain an appendix with information related to the Research Unit's finances and performance metrics which is submitted to the Office of the Vice-Principal (Research and Innovation) in July each year. The appendix will be available through the Office of the Vice-Principal (Research and Innovation).

10. Review

- 10.1** The Lead Faculty is responsible for conducting all reviews of Research Units that fall within its purview and will have specific protocols in place in terms of frequency of and process for review, in accordance with Section 3. The Lead Faculty may choose to collaborate with the Office of Academic Reviews within the Office of the Provost and Vice-Principal (Academic) pursuant to the *Regulations on Academic Reviews*.
- 10.2** Research Units will receive their designation for six-year terms.
- 10.3** New Research Units will undergo a mid-term review in the third year to allow for an assessment of the Unit's research mission, objectives, priorities, activities and achievements, progress on its performance metrics, capacity to leverage external funding and to allow for a comparison to equivalent units in peer institutions, with a view to improving quality and maintaining research excellence, followed by a review in the sixth year to assess progress.
- 10.4** After the initial six-year term, reviews of Research Units will take place every six years to ensure progress of the Research Unit's research objectives and to offer guidance to the Research Unit in the development of any new goals and objectives.
- 10.5** Review assessments and any recommendations will be submitted by the Lead Faculty to the Research Unit's governance body, which will determine a course of action to address any points raised during the review. A copy of the report and recommendations will be submitted to the Office of the Vice-Principal (Research and Innovation).
- 10.6** To facilitate Faculty planning for reviews, the Office of the Vice-Principal (Research and Innovation) will maintain a schedule for the review of all Research Units and will communicate with Faculties which Research Units are scheduled for review.
- 10.7** The Office of the Vice-Principal (Research and Innovation) will provide an update on the status of all Research Units to the Senate and Board of Governors annually.

11. Termination

The Vice-Principal (Research and Innovation) has the ultimate authority to terminate the activities of a Research Unit. Termination may take on one of the following forms:

11.1 Voluntary Closure

- 11.1.1** A Research Unit's governance body may recommend to the Lead Faculty Dean to close a Research Unit voluntarily.
- 11.1.2** The Director will inform the Lead Faculty Dean in writing, who shall make a recommendation to the Vice-Principal (Research and Innovation).
- 11.1.3** The Vice-Principal (Research and Innovation) will provide written confirmation of the closure to the Director in writing, with a copy to the Lead Faculty Dean and Deans of other Faculties involved, as applicable.

11.2 Following Review

- 11.2.1** The Lead Faculty Dean may make a recommendation to the Vice-Principal (Research and Innovation) to terminate the activities of a Research Unit following review.
- 11.2.2** The decision to terminate a Research Unit will be communicated in writing by the Vice-Principal (Research and Innovation) to the Director, with a copy to the Lead Faculty Dean.

11.3 Non-compliance

- 11.3.1** The Vice-Principal (Research and Innovation), following consultation with the relevant Faculty Dean(s), reserves the right to terminate a Research Unit at any time due to institutional risks such as those involving financial exigencies, non-compliance with regulations, or any other serious concerns, with due consideration to human resources, policies, contractual obligations, and employment standards.
- 11.4** A reasonable phase-out period from the termination end date may be granted to conclude affairs with due consideration to human resources, policies, contractual obligations, and employment standards.