



Title:	GUIDELINES AND PROCEDURES FOR FACULTY OF MEDICINE RESEARCH CENTRES AND INSTITUTES
Approved	2021
Approved By:	Faculty Executive (March 16, 2021) & Full Faculty (May 18, 2021)
Audience:	All Faculty of Medicine members
Purpose:	To provide updated definitions of Centre/Institutes within the Faculty of Medicine; to outline the procedures and guidelines for the academic review and renewal of leadership for these units; to summarize the procedures for the creation, approval and decommissioning processes of Centres and Institutes; to delineate the accountabilities, roles, and responsibilities of Centre and Institute Directors.
Contact	Dean's Office Research

Preamble

The purpose of this document is 1) to provide updated definitions of Centres and Institutes within the Faculty of Medicine (FoM) at UBC, 2) to outline the procedures and guidelines for the academic review and renewal of leadership for these academic units, 3) to summarize the procedures for the creation, approval, and decommissioning processes of Centres and Institutes, and 4) to delineate the accountabilities, roles, and responsibilities of the FoM Centre and Institute Directors. This document expands upon the UBC Senate Academic Policy Recommendations of 2001 on the Status of Institutes and Centres, and represents an update of the Faculty's *Academic Units in the Faculty of Medicine* document approved by FoM Faculty Executive on February 16, 2010. As this document provides updated procedures for the creation, approval, and decommissioning processes of the FoM Research Centres and Institutes, these procedures supersede the processes previously outlined in the *Academic Units in the Faculty of Medicine* document. This document will not affect current UBC policies with respect to the structure, review and leadership of Departments and Schools within the Faculty. It is recognized that some established units have designations that do not conform to these definitions, and, as such, these will not be automatically changed. However, designations of new units will follow the definitions outlined below.



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Definitions of Academic Unit Structures

Departments/Schools

The academic Departments and Schools form the permanent structure and disciplinary backbone of the FoM. Schools are distinct from Departments in that the curriculum is accredited by an external regulatory body and may have additional autonomy within the University. The educational mandate of the Departments and Schools is delivered through undergraduate education and graduate and post-graduate programmes, both for disciplinary-based and cross-disciplinary/inter-professional ones. The research mission of a Department or School is delivered through both disciplinary and cross-disciplinary individuals or teams, located either in a Department or School, or in a Research Institute/Centre.

Department and Schools may form **Divisions** to focus on specific recognized areas of expertise in the academic or service mandate. When these are based on sub-specialty disciplines recognized externally and are subject to accreditation, they are approved at the Faculty Executive level. Divisions are responsible for the educational mandate of post-graduate programmes and participate in the undergraduate and graduate teaching of the Department or School as above. The research mission of a Division is delivered through both disciplinary and interdisciplinary individuals or teams, either located in the Department or Schools, or in Research Institute/Centre space. It should be noted that Divisions are not recognized at the level of Senate at UBC.

Institutes/Centres/Programmes

Institutes, Centres, and Research Programs are not intended to be permanent academic structures. These units provide infrastructure designed to support cross-disciplinary research and scholarship that enhances the academic goals of the FoM and UBC. These units have a primary focus on research and bring together a critical mass of scholars from several disciplines and areas of specialization. Centres/Institutes offer an institutional platform from which to apply for grant support or for financial support outside of UBC. Centres/Institutes that are no longer productive or are no longer aligned with the strategic goals of the FoM and UBC would normally be phased out after an appropriate review process.

Research Centres (hereafter 'Centre' or 'Centres') are predominantly research and scholarship focused units with membership crossing Department/School and Faculty boundaries. A Centre usually has a cohesive programmatic research and scholarship focus, most often disease or organ specific, and will incorporate one or more research themes (e.g., education scholarship, discovery, clinical, population health and health services). The total annual research grant funding attracted by the core investigators of a research centre should typically be at least \$2M per year or greater.

Centres typically have a minimum of 10 Core Investigators, accounting for a minimum of 10 FTEs (e.g., 1 FTE is equivalent to one full-time appointment, usually consisting of a minimum of 25 to 30 hours per week dedicated research time) for FoM-approved Centres, or a minimum of 15 Core Investigators, accounting for a minimum of 15 FTEs, for UBC Senate-approved Centres. Furthermore, Centres may have additional Associate and Affiliate Investigators; for UBC Senate-approved Centres, some members may be from universities other than UBC. Other types of appointments that can be appointed in a Centre are administrative appointments held by faculty members, research associates, staff, and



student employees. A Centre may hold faculty positions for research associates; however, most faculty members are appointed through their home academic Departments/Schools with their academic deliverables accountable through their home Departments/Schools, while the Centre serves as host to their research activities. For instance, Centre members are expected to be involved in curriculum development and to deliver undergraduate teaching as assigned by their home Department or School. The educational mandate of Centres is typically focused on graduate and post-graduate training.

All space assignment for offices and laboratories within the Centre must be compliant with the Faculty of Medicine's *Allocation & Management of Academic Administrative Space Policy* and the *Allocation & Management of Academic Research Space Policy*, both policies approved in 2020 (see Appendix I and II). For Research Centres that are based at a Health Authority, the space policies of the relevant Health Authority will also apply. For example, a faculty member may only have one academic/research office with a minimum occupancy of 3 1/2 days per week. Research space is allocated according to the relevant space guidelines.

The Centre Director is normally appointed for a five-year term, which can be renewed once, upon successful review and at the recommendation of the Vice Dean, Research to the Dean. Normally Centres will be reviewed prior to the reappointment of the Director at five-year intervals, alternating between internal and external reviews, to monitor progress, productivity, and relevance to the strategic vision of the FoM and UBC. The format of the review will be broadly similar to that of Departments and Schools, with an emphasis on effective cross-disciplinary research, while the Centre will not be expected to engage directly in undergraduate student curriculum delivery. The Centre Director will normally receive input from an Advisory Committee on the strategic directions and management of the Centre.

Research Institutes (hereafter 'Institute' or 'Institutes') are normally associated with a single geographic location or an integrated network with a common administrative structure. Institutes may have dual or multiple reporting relationships to the FoM, another Faculty within UBC, and/or a Health Authority. Typically, an Institute will have members from multiple Faculties within UBC, and may also have members from other universities within the province. An Institute is comprised of a number of Centres and Research Groups/Programmes, covering a wide range of research areas and types of scholarship. The total annual research grant funding attracted by the Core Investigators of an Institute should typically be at least \$25M per year or greater.

Membership of an Institute is typically greater than 50 Core Investigators, accounting for a minimum of 50 FTEs (e.g., 1 FTE is equivalent to one full-time appointment, usually consisting of a minimum of 25 to 30 hours per week dedicated research time), crossing Departments/Schools/Centres and Faculties, with additional Associate and Affiliate Investigators. An Institute may hold faculty positions for research associates; however, most faculty members are appointed through their academic Departments/Schools, with their academic deliverables accountable through their home Departments/Schools, while the Institute serves as host to their research activities. Other types of appointments that can be appointed to Institute or Centres are administrative appointments held by faculty members, research associates, staff, student employees, and research scientists with an adjunct, partner or affiliate faculty appointment with a university. Institutes are normally funded by sources other than core UBC funding.

All space assignment for offices and laboratories within the Institute must be compliant with the Faculty of Medicine's *Allocation & Management of Academic Administrative Space Policy* and the *Allocation &*



Management of Academic Research Space Policy, both policies approved in 2020 (see Appendix I and II). For Institutes that are based at a Health Authority, the space policies of the relevant Health Authority will also apply.

The Institute Director is normally appointed for a five-year term, which can be renewed once, upon successful review and at the recommendation of the Vice Dean, Research to the Dean. These appointments, where appropriate, will be a joint appointment with a Health Authority. For Institutes based at a Health Authority partner, the Institute Director may also hold the position of the FoM Associate Dean, Research of the Health Authority Research Institute. Normally Institutes will be reviewed prior to the reappointment of the Director at five-year intervals, alternating between internal and external reviews, to monitor progress, productivity and relevance to the strategic vision of the Faculty of Medicine and UBC. The format of the review will be broadly similar to that of Departments and Schools, with an increased emphasis on the effective interdisciplinary research, and will not be expected to engage directly in undergraduate student curriculum delivery. The Director will receive advice from a Steering Committee on the strategic directions and management of the Institute and will normally have an external Advisory Committee or Board.

There are three proposed primary types of membership associated with FoM Research Centres/Institutes:

- **Core Investigators** are faculty members whose primary research affiliation will be based with the Research Centre/Institute. Generally, 50% or more of the Core Investigator's research activities will be conducted within the Centre/Institute (typically at a minimum of 75%). Core Investigators must contribute significantly to the advancement of the strategic priorities of the Centre/Institute, and will typically have dedicated research, lab, or office space at the Centre/Institute. A faculty member can be a member in more than one centre or institute, but they should only be a Core Investigator in one Centre/Institute, as their total research time commitments across the Centres must be equivalent to a sum of no more than 1.0 FTE. Centres/Institutes must have formal processes in place to approve applications from members in order for them to become Core Investigators.
- **Associate Investigators** are faculty members, including clinical faculty members, who will be associated with the Centre/Institute, but typically do not hold office or research space at the Centre/Institute. Generally, less than 50% of the Associate Investigator's research activities will align with the research mandate of the Centre/Institute. A faculty member may be an Associate Investigator with more than one Research Centre and/or Institute.
- **Affiliate Investigators** are faculty members who will be affiliated with the Centre/Institute, but have no space allocation on premise, and have no signing authority (in case of hospital budget) or the ability to supervise hospital-paid staff (if applicable).

For investigators appointed to Centres/Institutes that are based at a Health Authority, they may have to comply with the relevant institutional policies as determined by the Health Authority.

A Research Centre/Institute may be **Faculty of Medicine-approved** or **UBC Senate-approved**. The Centre/Institute should first be Faculty of Medicine-approved and in operation for one calendar year as a Faculty of Medicine-approved Research Centre/Institute, before it can proceed forward for UBC



Senate approval consideration. Ultimately, UBC Senate approval should be sought for Centres/Institutes where there is foreseeable need for clarification on governance, particularly if the unit involve multiple Faculties within the University, with complex inter-faculty memberships. The following figure presents an at-a-glance overview of the key differences between the Faculty of Medicine-approved and UBC Senate-approved Research Centres and Institutes:

Unit Type Characteristics	FoM-Approved Research Centre	Senate-Approved Research Centre	FoM-Approved Research Institute	Senate-Approved Research Institute
Research Activity/Alignment	FoM-based research activities	Inter-faculty and interdisciplinary	FoM-based research activities	Inter-faculty and interdisciplinary
Number of Core Investigators	A minimum of 10 FTE Core Investigators	A minimum of 15 FTE Core Investigators	A minimum of 50 FTE Core Investigators	A minimum of 50 FTE Core Investigators
Annual Research Grant Funding	> \$2M per year	> \$2M per year	> \$25M per year	> \$25M per year

Research Programmes and Groups are informal small semi-permanent research groupings of 5 to 10 investigators, usually in a single location with a single research and scholarship-based theme. These units may be within a single discipline or across Departments/Divisions/Schools on that site and will not be formally approved or reviewed by the FoM. Additionally, there may be research programs and groups that have the term ‘Centre’ as part of the unit’s name, as well as centres that are not officially FoM-approved or UBC Senate-approved units. As these units are not formally approved units within the FoM or UBC, they will not undergo formal periodic reviews by the FoM.

Academic Reviews of Research Centres and Institutes

The academic unit reviews of Research Centres and Institutes within the FoM are typically conducted at five-year intervals, alternating between internal and external reviews, and would normally take place prior to the end of the Centre/Institute Director’s or the Associate Dean, Research’s term. Based on the findings of the unit review, the Director’s or the Associate Dean, Research’s appointment may be renewed upon recommendation from Vice Dean, Research to the Dean, or a search for a new Director or Associate Dean, Research may be initiated. A Centre/Institute Director or Associate Dean, Research may be appointed for terms of up to five years, and will not normally serve more than ten consecutive years in the role.

Generally, reviews are conducted by a two- to three-member review committee, and take place over a two-day period. Following the review, the review committee is required to produce a report with recommendations, to which the leadership of the Centre/Institute will provide an official response and action plan going forward. The review committee’s involvement in the review will be noted on the review report and other review-related documents, which can be disclosed under British Columbia’s freedom of information legislation.



Purpose of the Review

- To provide the Centre/Institute with an opportunity to reflect on its research programs, operations, governance structure and performance.
- To monitor progress and productivity and obtain advice to guide the continuing improvement of research performance and operational quality.
- To evaluate the unit prior to the conclusion of the Director's or the Associate Dean, Research's term.
- To provide an assessment of the unit and leadership to the Vice Dean, Research and the Dean and, when appropriate and applicable, the qualities and experiences that are needed for the new Director or Associate Dean, Research.

Review Types and Committee Composition

Internal Reviews:

- Internal reviews are normally conducted in between external reviews at the five-year mark, to align with the end of the Centre/Institute Director's term. An external review may be considered in place of an internal review in exceptional circumstances.
- A two- to three-person review committee, approved by the Vice Dean, Research and the Dean, will conduct the review. All members of the committee are external to the Centre/Institute being reviewed but internal to the University of British Columbia, and are expected to be leaders in the field with the appropriate background. For Centre/Institute that are based at a Health Authority, the accountable Executive(s) within the relevant Health Authority will be consulted in regards to the review committee composition, with the potential to add a committee member who may not be a UBC faculty member. The Vice Dean, Research will select one member as Chair of the review committee.

External Reviews:

- External reviews are conducted in accordance with the UBC's [Principles, Procedures and Guidelines for External Academic Reviews](#) and the FoM's policies and procedures.
- For Senate-approved Centres/Institutes, external reviews are required as per UBC policy to be conducted within ten years of the last external review. External reviews are normally undertaken within five years of the last internal review to align with the end of the Centre/Institute Director's or Associate Dean, Research's term.
- A two- to three-person review committee, approved by the Vice Dean, Research, the Dean, and the Vice-Provost & Associate Vice President, Academic Affairs, will conduct the review. All members of the review committee are external to the University of British Columbia, and are expected to be leaders in the field with appropriate background. The Vice Dean, Research will select one member as Chair of the review committee.



Internal/External Review Process Summary

- The Centre/Institute will prepare an internal or external self-study report, in the standard FoM format (please see Appendix III). These reports will normally be provided to the review committee four weeks prior to the scheduled review.
- The Dean's Office will invite confidential comments from the Centre/Institute members, staff and trainees of the unit through an online survey. A summary report (excluding names) will be provided to the review committee.
- The review will normally be conducted over a two-day period, where the review committee will meet with various representatives and stakeholders.
- An itinerary for the review will be prepared by the Dean's Office in consultation with the Centre/Institute.
- Following the review, the review committee will prepare a formal written report with recommendations for the unit and leadership, but not pertaining to the Centre/Institute Director's or Associate Dean, Research's re-appointment, to be submitted to the Vice Dean, Research. For Centre/Institute based at a Health Authority, the formal written report will also be forwarded to the accountable Executive(s) within the Health Authority.
- The Centre/Institute members will review the report and the Centre/Institute Director or Associate Dean, Research will provide a written Centre/Institute response, identifying any factual errors within the reviewer's report.
- The Vice Dean, Research will discuss the report and action plan with the Centre/Institute Director or Associate Dean, Research
- The final review report and the unit's response are first emailed to the Dean's Executive (DEX) for feedback/questions. Thereafter, presentations on the final review report and the unit's response are made by the Centre/Institute Director at an upcoming Research Committee (RC) meeting, then a Faculty Executive (FEX) meeting, before the review is finally notified at the Full Faculty meeting for information purposes. For external review of Senate-approved Centre/Institutes, the Dean's Office will forward the report and response to the Vice Provost and Associate Vice-President, Academic Affairs, who will provide the documents to the Senate. For Centre/Institute that are based at a Health Authority, the accountable Executive(s) within the Health Authority will also receive the final review report and response document, for both internal and external reviews.
- *At the conclusion of the Centre/Institute Director's term:*
 - For consideration of reappointment, an advisory reappointment committee chaired by the Vice Dean, Research will be constituted and tasked with making a recommendation to the Dean on the incumbent's second term. The Centre/Institute Director position is normally renewable once after the first term.
 - If the Centre/Institute Director is on their second term, a search committee will be constituted to begin the search for the new Director.
- *At the end of the Associate Dean, Research's term:*
 - For consideration of reappointment, UBC decanal role will be dependent on the Health Authority partner's reappointment decision of the Executive Director role as both roles are normally held by the same incumbent. The Vice Dean, Research will provide feedback to the Health Authority partner for reappointment consideration.



- The Associate Dean, Research term will end when the incumbent no longer holds the Health Authority partner's Executive Director role. At that time, a search will begin led by the Health Authority partner with the Vice Dean, Research's involvement in the search for the new incumbent.
- At the mid-term point of approximately 21 months after the review date, the Centre/Institute Director or Associate Dean, Research will be asked to provide a report on 'progress and/or future plan' on each of the recommendations in the review report. For external reviews of Senate-approved Centre/Institutes, this report will be submitted to the Vice Provost and Associate Vice-President, Academic Affairs.
- A meeting between the Vice Dean, Research and the Centre/Institute Director or the Associate Dean, Research will be set up to go over the report and progress on the recommendations from the review report.

Roles and Responsibilities of Chair(s) of the Review Committee

- Ensure the review committee reviews pertinent documents prior to the review.
- Manage the review process, ensuring committee members understand their role and the questions provided in the review report template.
- Understand the review process and address any potential or perceived conflicts of interest declared by the review committee.
- Keep review meetings on schedule and request additional documentation on behalf of the review committee, as required.
- Oversee and participate in the preparation and writing of the review report, which should include: an assessment of the unit, the leadership, future priorities, and recommendations and, when appropriate and applicable, the qualities and experience that are optimal for the new Centre/Institute Director.
- Ensure the final report is submitted to the Vice Dean, Research via the Dean's Office representative within one month of the review date.



Roles and Responsibilities of the Review Committee

- Review pertinent documents prior to the review, such as the self-study report [part A & B], strategic plan, review report template, itinerary and confidential comments submitted by the Centre/Institute members.
- Understand the responsibility to conduct a purposeful, thorough, and equitable review process.
- Understand the importance of maintaining strict confidentiality and to protect individuals who are providing feedback, and to protect information about any individuals from unauthorized access, use, disclosure, or disposal. All discussion and documentation related to the review process is strictly confidential and may only be used for the purpose for which it was collected.
- Ensure the unit members, staff, and trainees within the Centre/Institute are consulted and their comments are considered.
- Assess the contributions of the Centre/Institute, answer outlined questions and develop recommendations related to the productivity and impact of research and scholarly activities, leadership, training environment, efficiency and effectiveness of administrative operations, sustainability of the Centre/Institute, and the challenges facing the unit.
- Prepare a review report within one month of the review: include an assessment of the unit, the leadership, future priorities, recommendations and, when appropriate and applicable, qualities and experiences that are optimal for the new Centre/Institute Director or Associate Dean, Research.
- Adhere to the UBC and Faculty of Medicine policies and guidelines listed above and the FoM expense guidelines.
- The review committee will be required to sign the final review report, and to shred or delete all materials relating to the review.

Roles and Responsibilities of Review Participants

- Participate in a fair and objective review process.
- Meet with the review committee during the designated timeslot, according to the review itinerary. If possible, arrive at least five minutes before the start of your meeting so that it can begin on time.
- Provide responses to questions posed by the review committee.
- Maintain strict confidentiality with respect to discussions and documentation pertaining to the review. Protect information about any individuals from unauthorized access, use, disclosure, or disposal.



Approval Procedures for New Research Centres and Institutes

Research excellence and innovation helps drive the missions of the FoM and UBC, and the formation of new Research Centres and Institutes offer both the Faculty and the University timely responses to new and emerging areas of research opportunities and focus that cross traditional disciplinary boundaries. Research Centres and Institutes facilitate and strengthen collaborations not readily undertaken within traditional academic structures of Departments and Schools, as Centres and Institutes can help promote collaborative and interdisciplinary research endeavours, enhance research networking capacity and infrastructure, and foster an environment for accelerating innovation, discovery, and knowledge mobilization.

Groups of faculty members considering the formation of a new research centre or research institute are encouraged early in the planning process to consult with: 1) the Vice Dean, Research, 2) the Department Heads/School Directors of the faculty members to be involved in the Centre or Institute, and 3) for Research Centres only: the relevant Associate Dean(s) of Research of the Health Authority Research Institute(s) involved, if applicable. The new Centre/Institute should have a clearly defined vision and mission that supports the advancement of the goals and objectives of the [Strategic Plan](#) of the FoM, and adds value to both the Faculty and the University. The mission and strategic priorities of the proposed Centre/Institute should not duplicate those of existing academic units within the FoM, and should be reviewed in the context of other ongoing activities within the FoM to ensure that the Faculty's overall enterprise within particular fields of inquiry is strengthened.

For existing Research Centres or Research Institutes under a Health Authority that is seeking formal designation as either a FoM-approved or a UBC Senate-approved Centre/Institute, the unit will be required to proceed through the same approval process as a newly created Centre/Institute. The Research Centre or Research Institute must also complete a consultation, obtain endorsement and letter of support from leadership of the Health Authority.

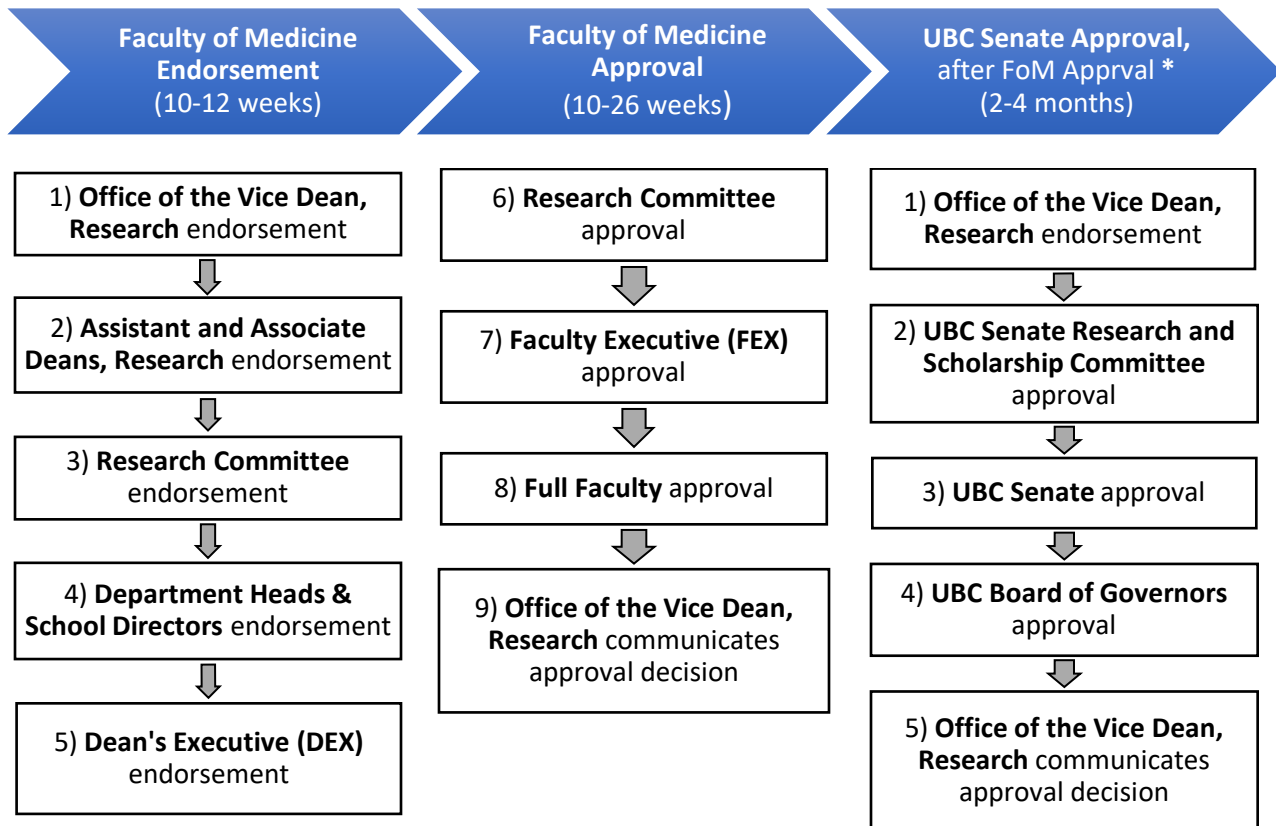
A proposed Director of the Centre/Institute should be identified as part of the planning process, as the individual will be responsible for working with the Office of the Vice Dean, Research, in coordinating the proposal through the various stages of the approval process. The proposed Centre/Institute Director should submit a proposal document to the Office of the Vice Dean, Research, outlining the following:

1. The **vision** or vision statement of the proposed Centre/Institute.
2. The **mission** of the proposed Centre/Institute, with a description of the proposed research, scholarship, and where appropriate, community service activities to be undertaken in the first five years.
3. The proposed Centre/Institute's **alignment with the FoM's strategic plan**, and how the planned activities of the Centre/Institute will help advance the goals and objectives of the plan.
4. The proposed Centre/Institute's **envisioned impact** with the local environment external to UBC, including contribution to improved health, and the use of research by public advocacy groups.



5. The **governance structure and function** of the Centre/Institute, and how administrative policy decisions will be made within the unit. Identify any proposed internal committees, their functions, and their meeting schedules.
6. The Centre/Institute's intended **interdisciplinary/inter-professional research** and **learner's training outcomes**.
7. The **list of proposed members**, along with their Departmental/School affiliations, rank, association with the Centre/Institute, research areas, contact information and key publications. Include letters of support from the Head/Director of each member's Department/School expressly indicating their support for the faculty member to join the proposed Centre/Institute and a letter from each member indicating their membership type (Core Investigator or Associate Investigator).
8. If the proposed Centre/Institute will contain **affiliated learners**, summarize the proposed number of trainees and graduate students, and the programs they will participate in.
9. Identify the **process for evaluation** and continued affiliation of Centre/Institute members.
10. A **detailed budget** covering the first five years of operation for the proposed Centre/Institute, with a summary of funding sources. If there are any funding gaps between the proposed budget and funding available for the Centre/Institute, please outline the detailed plans for addressing these gaps.
11. Identify any **space** currently available and approved for use for the proposed Centre/Institute, and include a list of core facilities. Also identify any space needs (gaps) and provide a detailed plan to address these needs. Outline the space management plan within the proposed Centre/Institute.
12. A proposed **staff human resources plan**, if applicable.
13. For Senate-bound Centre/Institute proposals, include a detailed overview of the affiliation/linkage between the proposed Centre/Institute and the **Health Authority/Authorities to be engaged** in this Centre/Institute. Provide letters of support from the leadership of the Health Authority/Authorities that will be affiliated.

Please see Appendix IV of this document for the FoM Research Centre/Institute Proposal template. After review by the FoM Office of the Vice Dean, Research, the application provided by the proposed Centre/Institute shall be discussed and approved in the following order by the listed administrative and governing bodies:



**To occur at least one calendar year after FoM approval*

Please note that the suggested timeframe above is subject to the availabilities of the various administrative and governing bodies, as certain representative bodies only meet at regularly set intervals throughout the year. The Centre/Institute proposal, as well as any supportive documentations, should be sent to the respective administrative and governing bodies at least two weeks in advance of the date of the meeting, in order to ensure their inclusions into the agenda. The Office of the Vice Dean, Research, will be responsible for working with the proposed Centre/Institute Director in identifying an appropriate timeline for the approval and endorsement pathway of the proposed unit.

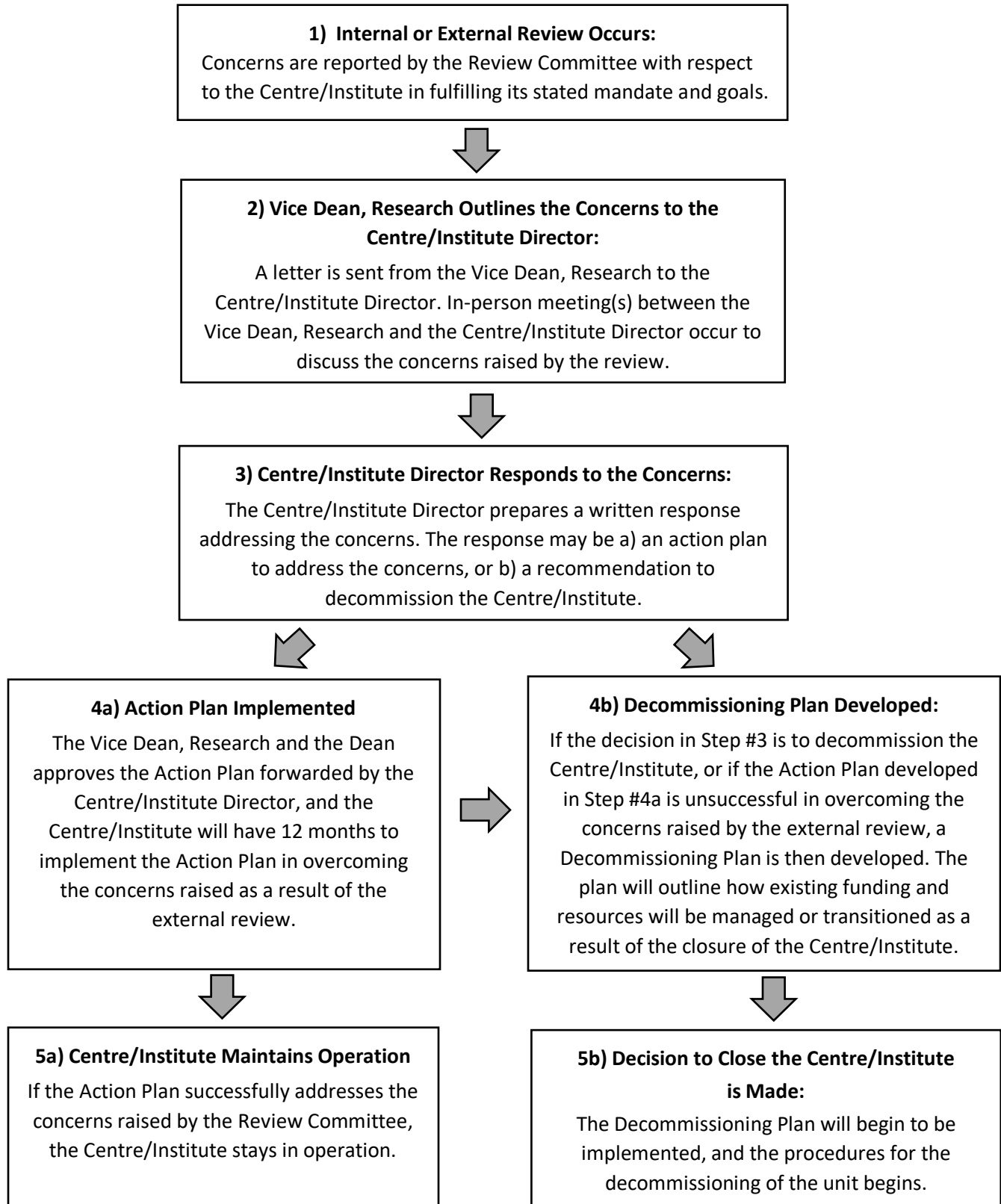
Decommissioning Procedures for Research Centres and Institutes

Following an internal or external review of a Research Centre or Institute that may be initiated outside of the normal review cycle, if the result of the review determines a lack of productivity, sustainability, academic relevance, or a lack of alignment of the unit with the Strategic Plan of the Faculty, the Dean and the Vice Dean, Research, may initiate a decommissioning process of the Centre/Institute. The key criteria leading to the decommissioning of a Centre/Institute may include any or a combination of the following:

- Alignment with another existing academic unit for strategic merger
- Lack of productivity or impact
- Loss of a critical mass (i.e., insufficient number of Core Investigator members)
- Insufficient funding or the inability to attract sufficient funding for financial stability
- Lack of alignment with the Faculty of Medicine Strategic Plan



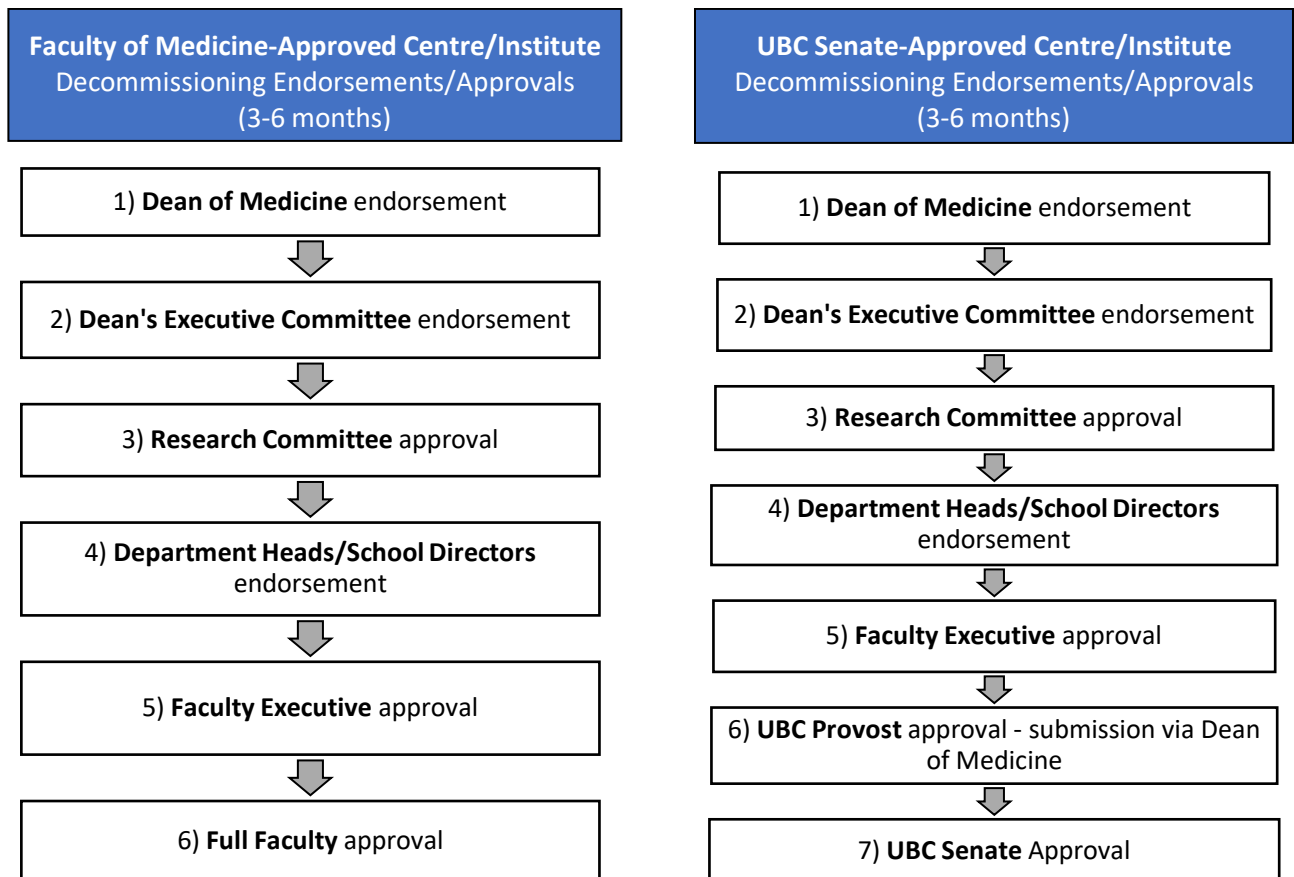
The procedures leading toward the dissolution of the Centre/Institute are to occur as follows:





Once the decision to decommission the Centre/Institute has been made, the Vice Dean, Research will confer with the Dean of Medicine for endorsement of the decision. The Director or the individual(s) to last serve in the role shall be responsible for developing a decommissioning plan and for coordinating the appropriate and orderly closure of the Centre/Institute. The Decommissioning Plan should contain provisions including but not limited to the completion or reassignment of research activities and projects in the Centre/Institute, the resolution of financial matters, and the disposition of infrastructures and other physical resources. Any potential issues from the closure of the Centre/Institute that may result in financial or legal risks for the Faculty as well as the University should be identified early and notified to the respective leadership in order to avoid or mitigate such circumstances. If there are staff members (e.g., Research Associates) with appointments through the Centre/Institute that may be impacted by its closure, the Director or the individual(s) to last serve in the role shall prepare a proposal to the Vice Dean, Research to provide optimal transition for staff members. It is anticipated that the closure process should be completed in no more than two years following the decision to decommission the unit.

For UBC Senate-approved Research Centre/Institute, the formal approval of the UBC Senate and ultimately, the UBC Board of Governors, will be required as part of the decommissioning process. The Office of the Vice Dean, Research and the Office of the Dean will be responsible for coordinating the appropriate decommissioning procedures with the Office of the Senate, UBC. The following endorsements and approvals will be required for Faculty of Medicine-approved and UBC Senate-approved Centres/Institutes as part of the formal decommissioning of the unit:





Please note that the suggested timeframe above is subject to the availabilities of the various administrative and governing bodies, as certain representative bodies only meet at regularly set intervals throughout the year. In order for the motion regarding the decommissioning of the unit to be included as part of the agenda, a memo as well as any required documentations should be sent to the respective administrative and governing bodies at least two weeks in advance of the date of the meeting, in order to ensure their inclusions into the agenda. The Office of the Vice Dean, Research will be responsible for identifying an appropriate timeline for the approval and endorsement pathway for the decommissioning of the unit.

Accountabilities, Roles and Responsibilities of Faculty of Medicine Centre and Institute Directors

PURPOSE

The purpose of this section is to provide direction on the general accountabilities, roles and responsibilities of Centre and Institute Directors within the FoM. Upon confirmation of their appointment as Centre/Institute Director, the Director agrees to comply with the terms and conditions included herein. Other roles and responsibilities that are specific to individual Centre/Institute will be identified in the job description of the applicable Centre/Institute.

Accountabilities

1. The Centre/Institute Director is accountable to the Vice Dean, Research.
2. For Centres that are academic units within a Faculty of Medicine School, the Centre Director will report jointly or primarily to the School Director. For Centres that are units within a Health Authority Research Institute, the Centre Director may also report jointly to the Associate Dean, Research, of the Health Authority Research Institute.
3. For Institutes that are part of the Health Authority, the Institute Director may also report to accountable executive(s) within the Health Authority.
4. The Centre/Institute Director must disclose all actual and potential conflicts of interests to the Vice Dean, Research, prior to their appointment. At least annually, and whenever there is a material change, the Director must disclose circumstances that give rise to an actual or potential conflict of interest through their respective UBC department or through UBC's Conflict of Interest policy.
5. In the event the Centre/Institute Director is unable or unwilling to continue serving as the Director, they must provide at least 3 months' written notification to the Vice Dean, Research, of their intention to step down from the role. For Centres/Institutes based at a Health Authority, the written notification must also be provided to the accountable Executive(s) within the Health Authority. After appropriate consultation, the Vice Dean, Research, and the Dean will appoint an Interim Director and initiate the search process to fulfill the position.

**Roles and Responsibilities**

6. The Centre/Institute Director will provide administrative, intellectual, social, and academic leadership to the Centre/Institute, as well as to advance its research agenda, programs, and activities.
7. The Centre/Institute Director will be responsible for overseeing the operations and manage the budget of the Centre/Institute.
8. The Centre/Institute Director will manage working groups or committee within the Centre/Institute to provide appropriate guidance and advice in support of their responsibilities.
9. The Centre/Institute Director will ensure that the Centre/Institute and its members comply with all applicable institutional policies, including but not limited to:
 - a. University of British Columbia (UBC):
 - Policy LR2 (formerly Policy #87): [Research Policy](#)
 - Policy LR9 (formerly Policy #89): [Human Research Policy](#)
 - Policy LR11 (formerly Policy #88): [Inventions Policy](#)
 - Policy FM4 (formerly Policy #90): [Research Over-Expenditure Policy](#)
 - Policy SC1 (formerly Policy #7): [Health and Safety Policy](#)
 - Policy SC3 (formerly Policy #97): [COI Policy](#)
 - Policy SC4 (formerly Policy #6): [Environment Protection Policy](#)
 - Policy SC6 (formerly Policy #85): [Scholarly Integrity Policy](#)
 - Policy SC10: (formerly Policy #8): [Disaster Management Policy](#)
 - Policy HR10: (formerly Policy #2): [Employment Equity Policy](#)
 - [UBC Statement on Respectful Environment for Students, Faculty and Staff](#)
 - b. Faculty of Medicine:
 - [Indirect Costs of Research \(ICR\) Policy](#)
 - [Relationship with Industry Policy](#)
 - [Academic Administrative Space Policy](#)
 - [Academic Research Space Policy](#)
 - [Professional Standards for the Faculty of Medicine and Dentistry](#)
10. For Research Centres/Institutes that are part of a Health Authority, the Centre/Institute Director will ensure that the Centre/Institute and its members comply to all applicable institutional policies of the relevant Health Authority. For conflict of interest (COI) declarations for Centre/Institute members, they must follow the COI policies of UBC, as well as the COI policies of the relevant health authority when applicable, for Centres/Institutes that are based at a Health Authority.



11. The Centre/Institute Director will be responsible for space utilization within the Centre/Institute. The FoM and the relevant Health Authorities, if applicable, will have oversight over allocation of the space to the Centre/Institute. The Director acknowledges that the Centre/Institute does not own any space made available to its members. If the space is not being efficiently utilized by the Centre/Institute and/or its members (in accordance to the FoM *Allocation & Management of Academic Administrative Space Policy* and/or the FoM *Allocation & Management of Academic Research Space Policy*, and/or space policies of the relevant Health Authorities), the FoM and/or the relevant Health Authority, if applicable, may make adjustment to the space allocation.
12. The Centre/Institute Director will foster engagement and inclusivity across the Centre/Institute and its stakeholders and will create an environment that promotes the Faculty's values of excellence, mutual respect, caring, and integrity where civility, diversity, opportunity, and inclusion are valued and central to all encounters. The Centre/Institute Director will promote the highest level of professionalism in interactions with all members of the community.
13. The Centre/Institute Director will ensure that the Centre/Institute and its members follow:
 - a. Quality, health and safety standards of UBC and the relevant Health Authorities, if applicable, pertinent to the research activities undertaken by the Centre/Institute;
 - b. Applicable quality, health, and safety standards, guidelines and policies issued by the relevant regulatory college(s) under the *Health Professions Act* (British Columbia) of which the Centre/Institute members belong to.
14. The Centre/Institute Director will ensure that the Centre/Institute and its members provide timely and reasonable assistance (including providing records and other information and responding to questions) as requested by any committee referred to in Section 51 of the *Evidence Act* (British Columbia) for quality improvement purposes.
15. The Centre/Institute Director will ensure that the Centre/Institute and its members conduct themselves in a civil, respectful and cooperative manner, and will ensure that all members who have access to a UBC owned or controlled facility and/or equipment comply with all applicable UBC policies.
16. The Centre/Institute Director will ensure that all financial contributions for research are managed in accordance with applicable institutional policies. Determination of which finance and corporate policies apply to the Centre/Institute will depend on where the relevant funds are retained (UBC or affiliated institution).
17. The Centre/Institute Director will ensure that the negotiation of contracts/agreements for research conducted at the Centre/Institute is undertaken by UBC and/or the affiliated institution, as appropriate.



18. The Centre/Institute Director will ensure the Centre/Institute and its members will follow the relevant policies and procedures around hosting municipal, provincial and/or federal government officials.
19. The Centre/Institute Director will ensure that the Centre/Institute and its members will comply with the obligations set out in this section.
20. The Centre/Institute may form a Scientific Advisory Committee to make recommendations on Centre/Institute activities.



Appendix I: Allocation & Management of Academic Administrative Space Policy

Title:	ALLOCATION & MANAGEMENT OF ACADEMIC ADMINISTRATIVE SPACE POLICY
Approved:	January 15 th , 2020
Approved by:	DEAN’S EXECUTIVE ADVISORY COUNCIL
Audience:	FACULTY-WIDE
Purpose:	TO ESTABLISH THE EFFICIENT AND EFFECTIVE ALLOCATION OF ACADEMIC ADMINISTRATIVE SPACE
Contact:	FACILITIES COORDINATOR – 604 822 8584

1.0. PURPOSE

Space is a finite resource that must be effectively and efficiently managed. Furthermore, best practice in space planning and management is founded on developing and implementing a set of coordinated and interrelated space planning principles and policies, allocation standards and practices.

Working together with our health authority and university partners across the province, the UBC Faculty of Medicine (FoM) will maximize and efficiently utilize all resources to achieve the goals established in both the UBC and the FoM strategic plans. Effective and efficient space management is a collaborative, ongoing process requiring the FoM to optimize the use of all facilities and to efficiently address physical space needs.

This policy governs the allocation and management of all academic administrative space allocated to the FoM, including academic administrative space in Research Centres and Institutes. (A separate [policy](#) governs the allocation and management of all academic research space allocated to the FoM.) This academic space policy is intended to institute a consistent and transparent framework for making strategic decisions regarding space allocations. It is recognized that space requirements vary depending on function and activities, and allocation may be limited by facility layout as well as space availability.

The purpose of this policy is to:

- Ensure efficient and effective planning and management of space to achieve the goals established in both the UBC and the FoM strategic plans.
- Establish roles and responsibilities for the allocation, management of, and issues resolution related to academic administrative space.
- Establish transparent, agreed-upon principles and guidelines for the organization and allocation of academic administrative space.
- Establish the fundamental terms of use of allocated academic administrative space.
- Provide guidance on how to maximize efficiency and facilitate optimal utilization of physical resources while supporting a rigorous teaching and research mandate.
- Maximize use of limited university and health authority space resources.

2.0. ROLES & RESPONSIBILITIES

2.1. CONTROL & ALLOCATION OF SPACE

2.1.1. The Dean

- Ensure overall equitable and optimal use of FoM space resources.
- Allocate space to Departments, Schools, Centres/Institutes, Programs and Units.
- Exercise final authority over all FoM academic administrative space allocations, designations and changes in use of space.
- Strike an *ad hoc* and impartial committee to advise on space issues and disputes as required.

2.2. EFFECTIVE MANAGEMENT AND ALLOCATION OF SPACE

2.2.1. Department Heads, School Directors, Centre/Institute Directors and Regional Associate Deans

- Provide day-to-day operational management of academic administrative space on behalf of the **Dean**.
- Review and approve requests for additional space within their respective allocated space footprints.
- Ensure space reviews are conducted annually or as required by the **Dean** and the **Executive Director, Finance and Operations**.

2.2.2. Administrative Leaders (Division Heads, Associate Deans and Administrative Directors)

- Provide day-to-day operational oversight of the allocation, utilization and management of academic administrative space on behalf of **Department Heads, School Directors, Centre/Institute Directors and Regional Associate Deans**.
- Provide the **FoM Space Planning and Facilities Management Unit** with annual updates on the allocation of space in the FoM Academic Space Inventory.

2.2.3. FoM Space Planning and Facilities Management Unit

- On behalf of the **Dean**, review and approve:
 - Requests for additional space.
 - Proposals for construction or renovations in academic administrative space.
 - Allocation of academic administrative space for new faculty recruits identified on the [FoM Recruitment Planner](#).
- Develop and manage processes and procedures for space reviews; ensure space reviews are conducted annually and/or as required by the **Dean** and the **Executive Director, Finance and Operations**.
- Provide support, guidance and recommendations to **Department Heads, School Directors, Centre/Institute Directors, Regional Associate Deans and Administrative Leaders (Division Heads, Associate Deans and Administrative Directors)** on the implementation of this policy.
- Maintain the FoM Academic Space Inventory.

2.3. RESOLVING SPACE ISSUES

2.3.1. Department Heads, School Directors, Centre/Institute Directors and Regional Associate Deans

- Resolve space issues and appeals at a local/site level, with support from the **FoM Space Planning and Facilities Management Unit**.

2.3.2. Facilities and Capital Planning Committee

- Resolve space issues and appeals that are complex, or cannot be resolved at the local/site level, with support from the **FoM Space Planning and Facilities Management Unit**.

2.4. SPACE PLANNING FOR NEW HIRES AND/OR PROGRAM/UNIT EXPANSION

2.4.1. Department Heads, School Directors, Centre/Institute Directors and Regional Associate Deans

- Determine academic administrative space allocation for new faculty and staff in consultation with **FoM Space Planning and Facilities Management Unit**.
- Identify proposed space allocation for new faculty recruits on the [FoM Recruitment Planner](#).
- Engage the **FoM Space Planning and Facilities Management Unit** prior to the commencement of any proposed construction or renovations in academic administrative space to ensure compliance with applicable regulatory, health authority and university standards.

2.4.2. Facilities and Capital Planning Committee

- Plan for future FoM space needs, including development of new facilities and measures to ensure sustainability of space.
- Ensure that the FoM's facilities strategically support its mission and priorities.

2.4.3. FoM Space Planning and Facilities Management Unit

- Lead projects related to the planning and utilization of academic administrative space on behalf of the **Dean, the Facilities and Capital Planning Committee and the Executive Director, Finance and Operations**.

3.0. GUIDING PRINCIPLES

The following principles promote accountability, equity, transparency, flexibility and effectiveness in the planning, allocation and management of academic administrative space across the FoM. The FoM operates in the context of a partnership between UBC, health authorities and partner universities and the **FoM Space Planning and Facilities Management Unit supports FoM** Departments, Schools, Centres/Institutes, Programs and Units to operationalize these principles.

3.1. OWNERSHIP

Academic administrative space allocated to the FoM is an institutional asset and its use must support the goals established in both the UBC and the FoM strategic plans. This space is owned and operated by the University of British Columbia or our health authority and other university partners. The allocation and utilization of academic administrative space must comply with university space policies and align with any site-specific and/or health authority guidelines, including the [Academic Space Protocol](#). Space is a shared resource; it does not belong to an individual or Unit.

3.2. SPACE ALLOCATION CRITERIA

Space allocations are not considered permanent and are subject to change in support of the academic and strategic priorities of the FoM. The following criteria must be used in the allocation of all FoM space types:

- Alignment with overall FoM mission and strategic goals.
- Conforming to specific Department, School, Centre/Institute and Program/Unit goals.
- Providing appropriate spatial resources required for program accreditation.
- Demonstration that space is being utilized optimally for its stated purpose.
- Demonstration that existing space is being optimally used in instances where additional space is requested.

3.3. SPACE UTILIZATION

It is expected that any allocated academic administrative space is properly utilized: defined as being occupied 70% of the typical work week or 3.5 days minimum. Any space deemed vacant or underutilized will be reviewed, reclaimed and reallocated or repurposed under the authority of the **FoM Space Planning and Facilities Management Unit**, following appropriate notice and consultation.

Academic administrative space and offices must not be used for storage of obsolete equipment, waste, archives or personal belongings. Intra-departmental sharing of academic administrative space and facilities is expected to optimize utilization (i.e. support spaces, equipment rooms, conference rooms, touchdown space). Optimal use of space includes alignment of existing infrastructure and design construction with functional use, i.e. office space must not be used for storage of files. Recognizing that work functions are constantly changing and evolving, workspace will support scalability, flexibility and technological integration.

3.4. EQUITY

Decisions regarding space allocations must be made in an open and transparent manner in accordance with the principles and guidelines of this policy. Any change needed to conform to this policy must be discussed in advance with the appropriate **Department Heads, School Directors, Centre/Institute Directors, Regional Associate Deans, Administrative Leaders** and the affected faculty or staff member. Faculty and staff will be treated with equity; they will be provided with healthy, safe and accessible workplaces.

4.0. SPACE ALLOCATION GUIDELINES

Academic administrative space allocations are not considered permanent and are subject to change in support of the academic and strategic priorities of UBC and the FoM. At any particular site/location, allocations may be limited by the existing infrastructure, building configuration and type of space that is available. Space allocations are based on a number of criteria including operational activities and requirements, utilization and position functions. These guidelines are a reference for space planning and management and are not intended as entitlements.

It is recommended that Units incorporate a variety of workspace types at sites/locations where possible to support flexibility and daily operations. The following table describes the various workspace functions and identifies allocation criteria for each:

Type	Description	Criteria for Allocation
Dedicated Workspace	<ul style="list-style-type: none"> Intended for the dedicated use of specific users. 	Faculty and staff that spend at least 70% of a typical work week (or 3.5 days/week) on-site.
Shared Workspace	<ul style="list-style-type: none"> Workspaces shared by 2 or more allocated users. Schedules are coordinated to maximize utilization. 	Faculty and staff that spend at least 40% of a typical work week (or 2 days/week) on-site.
Swing Space	<ul style="list-style-type: none"> Workspaces that are shared between multiple users and/or groups and are intended for use by the allocated users/groups. Schedules are coordinated to maximize utilization. 	Faculty and staff that spend at least 20% of a typical work week (or 1 day/week) on-site.
Touchdown Space	<ul style="list-style-type: none"> Typically smaller workspaces not allocated to any particular user/s. Space cannot be claimed for long-term or repetitive use. 	Visitors or faculty/staff requiring interim space during a short visit, layover or temporary transition.

ADDITIONAL NOTES

- Work areas can include space within single, dual or multi-occupancy offices and open office layouts.
- **Single occupancy** offices must **only** be allocated to faculty and staff with a demonstrated requirement for private space to conduct unscheduled, confidential meetings for a minimum of 4 hours/day.
- For faculty and staff that are allocated space in multi-occupancy areas, access must be provided to meeting rooms and other spaces to support private conversations.
- Any changes to current work environments or workstations/locations of CUPE 2950 staff must be made within the Collective Agreement (CUPE 2950) Articles 19 and 24.

4.1. Working at Multiple Locations

An individual requiring a dedicated workspace must only be allocated one dedicated workspace. Should a job function require work at more than one location, access to shared or swing space will be provided, depending on availability. The need for multiple workspaces must be addressed on a case-by-case basis and in consultation with the respective **Department Heads, School Directors, Centre/Institute Directors and Regional Associate Deans**. Refer to **3.3 Space Utilization** for utilized space expectations.

4.2. Full-time Academic Faculty/Staff

Full-time academic faculty/staff should be allocated one dedicated workspace, provided that the individual spends at least 70% of a typical work week (or 3.5 days) of their time at a particular site/location.

4.3. Part-time Academic Faculty/Staff

Part-time academic faculty/staff should be allocated one dedicated workspace, provided that the individual spends at least 70% of a typical work week (or 3.5 days/week) at a particular site/location. Part-time academic faculty/staff who spend less than 3.5 days/week at a particular site are provided with a workspace that is allocated to 2 or more users and shared based on pre-determined days/times. Schedules are coordinated to maximize space utilization.

4.4. Faculty with Administrative Appointments

Associate Deans, Assistant Deans and faculty members with additional administrative appointments (i.e. Site/Program Directors) should be provided with dedicated, shared or swing workspace. Allocations are based on functional requirements and frequency of use.

4.5. Senior Administrative Roles

Some roles may require that a particular office be allocated to that role. Individuals may have an existing faculty office prior to taking on the new role. Efforts must be made to make the faculty office available for temporary reallocation, as needed.

4.6. Clinical Faculty

Clinical faculty may be provided access to shared workspace within respective Unit space allocations, if academic administrative time is required and space is available. Some clinical faculty may hold an academic administrative role that requires more regular access to workspace. These needs must be determined on a case-by-case basis in consultation with the respective **Department Head** and **School Director**.

4.7. Professor Emeritus

Professors emeriti active in teaching and/or research may be allocated shared workspace within respective Unit space allocations. Allocation must be reviewed annually by the **FoM Space Planning and Facilities Management Unit**, on behalf of the **Dean**, and in consultation with respective **Department Heads, School Directors, Centre/Institute Directors** and **Regional Associate Deans** based on level of academic activity.

4.8. Adjunct Professors/Associate Members

No space is allocated to adjunct professors or associate members unless they also hold an administrative appointment.

4.9. Visiting Professors

Visiting professors may be provided with access to shared work space within respective Unit space allocations if available.

4.10. Periods of Leave

If a faculty or staff member will be away for more than four months, their office or work space will be made available for temporary use. Although a faculty member may not be asked to release their office, a faculty member on leave must make their office or workspace available for temporary use.

4.11. Vacating Space

When an allocated workspace is being vacated, the former occupant is responsible for ensuring that the space is cleared of any equipment, files and other materials in adherence to any applicable university and health authority policies, procedures and guidelines. All costs associated with the removal and disposal of remaining items shall be borne by the departing Unit.

5.0. PROCEDURES

5.1. Construction or Renovation Work

Any proposed construction or major renovation work in academic administrative space requires the notification and involvement of **FoM Space Planning and Facilities Management Unit** to ensure compliance with applicable regulatory, health authority and university standards. Any proposed renovations on UBC campus require the notification and involvement of **UBC Facilities Planning**. All costs associated with discretionary alterations/renovations to a space shall be borne by the requesting Unit. Refer to **Appendix A Definitions** for major and minor renovations.

5.2. Furniture

The procurement of furniture:

- on UBC campuses, must comply with [UBC Technical Guidelines](#).
- on health authority and partner university sites, must comply with their respective standards.

5.3. Storage (digital, paper records, equipment)

Units are encouraged to use [UBC Records Management Office](#) processes and procedures for disposition of records and guidelines on document storage. Equipment that is unlikely to be used in the near future is expected to be decommissioned and disposed of per relevant processes and procedures.

5.5. Requests for Additional Space

All requests for additional space must be submitted in writing to the respective **Department Head, School Director, Centre/Institute Director, and Regional Associate Dean** and relevant **Centre/Institute Space Committee** in consultation with the **FoM Space Planning and Facilities Management Unit**. Requests must be submitted well in advance of anticipated time of need and must include the kind of space required, the funding to support the new activities, the period during which the space is required and a brief rationale for the request.

6.0. REVIEW OF ADMINISTRATIVE SPACE POLICY

This policy will be reviewed by the UBC FoM Facility and Capital Planning Committee every 5 years and may be revised at any time to reflect changes in institutional needs and priorities.

APPENDIX A - DEFINITIONS

The following is provided to establish a common understanding of workspace types and terminology related to space.

Change-of-use: Changes to the primary use of any space (i.e. lab into office; office into storage).

Daily administration/day-to-day operational administration: Allocation of space; resolution of space issues; verification that space is being used for the purposes specified; and prompt reporting of changes in allocation, use or configuration of space.

Dedicated workspace: Intended for dedicated use by specific users.

Major renovation: Construction to modify or upgrade the existing facility. A major renovation involves activities that cause a service disruption, require demolition or require removal of a fixed facility component (i.e. sink) or assembly (i.e. countertop). Examples include but are not limited to:

- A space, room or area that is undergoing a change of use
- Removal of floor coverings, ceiling tiles and cabinetry
- Replacement of windows
- New wall construction
- Heating, ventilation and air-conditioning upgrades
- Plumbing work that requires disruption of the water supply for more than 30 minutes

Minor renovation: Small-scale improvement work, usually cosmetic in nature. Examples include but are not limited to painting and redecorating. A minor renovation does not involve activities that require demolition or require removal of a fixed facility component.

Office: Enclosed space offering both visual and acoustic privacy. A typical office is 9m²/100 sq. ft., single occupancy and can be shared depending on job role/function and schedules. Offices greater than 14m²/150 sq. ft. can accommodate more than two (2) people concurrently. Offices must be made available for use as meeting space when not occupied.

Program/Unit: Administrative and/or organizational groups, including departments, schools, centres, institutes, programs and administrative units.

Shared workspace: Space shared by two (2) or more allocated users. Schedules are coordinated to maximize utilization.

Space allocation: Global distribution of space by the **Dean** to Departments, Schools and Research Centres/Institutes, and Programs to be managed primarily by **Department Head, School Directors, Centre/Institute Directors and Regional Associate Deans.**

Local distribution of space by Departments, Schools and Research Centres/Institutes, and Programs for the placement of individuals, purposes and functions for a period of time.

Space manager: Individual delegated the authority to provide the day-to-day operational administration and oversight of space allocated to their respective program/Unit.

Swing space: Workspace shared between multiple users and/or groups and intended for use by the allocated users/groups. Schedules are coordinated to maximize utilization.

Touchdown space: Typically smaller workspaces, sometimes equipped with basic equipment (computer, phone) and not allocated to any particular user(s). Touchdown space cannot be claimed for long-term or repetitive use.

APPENDIX B – EFFECTIVE SPACE MANAGEMENT

These following factors are provided to facilitate transparent and equitable decision making in the prioritization and allocation of academic administrative space. These are listed in no particular order.

- Availability of suitable space
- Demand for space
- FTE status of individual(s) that space is allocated to
- Human resource designation of individual(s) that space is allocated to
- Job function(s)
- Location of current space allocated to individual(s) or Unit(s)
- Office size/space/layout
- Office size vs. time spent on site
- Privacy/confidentiality requirements and considerations



Appendix II: Allocation & Management of Academic Research Space Policy

Title:	ALLOCATION & MANAGEMENT OF ACADEMIC RESEARCH SPACE POLICY
Approved:	January 15 th , 2020
Approved by:	DEAN’S EXECUTIVE ADVISORY COUNCIL
Audience:	FACULTY-WIDE
Purpose:	TO ESTABLISH THE EFFICIENT AND EFFECTIVE ALLOCATION OF ACADEMIC RESEARCH SPACE
Contact:	FACILITIES COORDINATOR – 604 822 8584

1.0. PURPOSE

Space is a finite resource that must be effectively and efficiently managed. Furthermore, best practice in space planning and management is founded on developing and implementing a set of coordinated and interrelated space planning principles and policies, allocation standards and practices.

Working together with our health authority and university partners, the UBC Faculty of Medicine (FoM) will maximize and efficiently utilize all resources to achieve the goals established in both the UBC and the FoM strategic plans. Effective and efficient space management is a collaborative, ongoing process requiring the FoM to optimize the use of all facilities and to efficiently address physical space needs.

This policy governs the allocation and management of all academic research space assigned to the FoM (refer to the [Academic Administrative Space Policy](#) for academic administrative space in Research Centres and Institutes). This policy is intended to institute a consistent and transparent framework for making strategic decisions regarding space allocations. It is recognized that space requirements vary depending on function and activities, and allocation may be limited by facility layout as well as space availability.

The purpose of this policy is to:

- Ensure efficient and effective planning and management of space to achieve the goals established in both the UBC and the FoM strategic plans.
- Establish roles and responsibilities for the allocation, management of, and issues resolution related to academic research space.
- Optimize the use of academic research space assigned to the Faculty of Medicine.
- Establish transparent, agreed-upon principles and guidelines for the organization and allocation of academic research space.
- Establish the fundamental terms of use of allocated academic research space.
- Provide guidance on how to maximize efficiency and facilitate optimal utilization of physical resources while supporting a rigorous teaching and research mandate.
- Establish equitable, consistent, efficient and flexible parameters for renovating, reallocating and adding space.
- Maximize use of limited university and health authority space resources.

2.0. ROLES & RESPONSIBILITIES

2.1. CONTROL & ALLOCATION OF SPACE

2.1.1. The Dean

- Ensure overall equitable and optimal use of FoM academic research space resources.
- Allocate space to Departments, Schools, Centres/Institutes, Programs and Units.
- Exercise final authority over all FoM academic research space allocations, designations and changes in use of space.
- Consult respective UBC Deans for changes to joint-Faculty research space.
- Strike an *ad hoc* and impartial committee to advise on space issues and disputes as required.

2.1.2. Executive Associate Dean, Research

- Exercise final authority over all FoM academic research space allocations on behalf of the Dean.
- Approve changes of use in academic research space – i.e. allocation of space to early-stage companies that are affiliated with the University.
- See section: **SPACE PLANNING FOR NEW HIRES AND/OR PROGRAM/UNIT EXPANSION**

2.2. EFFECTIVE MANAGEMENT AND ASSIGNMENT OF SPACE

2.2.1. Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research and Regional Associate Deans

- Provide day-to-day operational management of academic research space on behalf of the **Dean and Executive Associate Dean, Research**.
- Review and approve requests for additional space within their respective allocated space footprints.
- Ensure space reviews are conducted annually, or as required by the **Dean, the Executive Associate Dean, Research and the Executive Director, Finance and Operations**.

2.2.2. Administrative Leaders (Division Heads, Associate Deans and Administrative Directors)

- Provide day-to-day operational oversight of the allocation, utilization and management of academic research space on behalf of **Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research and Regional Associate Deans**.
- Provide the **FoM Space Planning and Facilities Management Unit** with annual updates on the allocation of space in the FoM Academic Space Inventory.

2.2.3. FoM Space Planning and Facilities Management Unit

- On behalf of the **Dean**, review and approve:
 - Requests for additional space.
 - Proposals for construction or renovations taking place in academic research space.
 - Allocations of academic research space for new faculty recruits identified on the [FoM Recruitment Planner](#).
- Develop and manage processes and procedures for annual reviews; ensure space reviews are conducted annually and/or as required by the **Dean, the Executive Associate Dean, Research and the Executive Director, Finance and Operations**.
- Provide guidance and recommendations to **Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research, Regional Associate Deans and Administrative Leaders (Division Heads, Associate Deans and Administrative Directors)** on the implementation of this policy.
- Maintain the FoM Academic Space Inventory.

2.3. RESOLVING SPACE ISSUES

2.3.1. Executive Associate Dean, Research

- Resolve space issues and appeals that are complex or cannot be resolved at the local/site level, with support from the **FoM Space Planning and Facilities Management Unit**.

2.3.2. Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research, and Regional Associate Deans

- Establish local/site space committees that oversee and/or advise the **Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research, and Regional Associate Deans** on space issues.

2.3.3. Local Space Committees

- Oversee the operational allocation, use and management of shared spaces and equipment.
- Ensure space allocations are transparent, equitable and meet FoM space guidelines.
- Discuss upcoming space requirements and planning accordingly.
- Discuss and resolve issues; communicate outcomes and decisions to stakeholders.

2.4. SPACE PLANNING FOR NEW HIRES AND/OR PROGRAM/UNIT EXPANSION

2.4.1. Executive Associate Dean, Research

- Determine the appropriate allocation of academic research space for new recruits in consultation with respective **Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research and Regional Associate Deans**.

2.4.2. Department Heads, School Directors and Centre/Institute Directors

- Determine academic research space allocation for new faculty and research team members in consultation with the **Executive Associate Dean, Research** and respective **Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research and Regional Associate Deans**.
- Identify proposed space allocation for new recruits on the [FoM Recruitment Planner](#).
- Seek approval of the **Executive Associate Dean, Research** prior to re-assigning research space to researchers outside of the respective Department or Faculty.
- Consult **Department Heads and School Directors** regarding any proposed changes to assignment of space for affected **Investigators**.
- Engage the **FoM Space Planning and Facilities Management Unit** prior to the commencement of any proposed construction or renovation work in academic research space.

2.4.3. Facilities and Capital Planning Committee

- Plan for future FoM space needs, including development of new facilities and measures to ensure sustainability of space.
- Ensure that the FoM's facilities strategically support its mission and priorities.

2.4.4. FoM Space Planning and Facilities Management Unit

- Lead projects related to the planning and utilization of academic research space on behalf of the **Dean**, the **Facilities and Capital Planning Committee** and the **Executive Director, Finance and Operations**.

3.0. GUIDING PRINCIPLES

The following principles promote accountability, equity, transparency, flexibility and effectiveness in the planning, allocation and management of academic research space across the FoM. The FoM operates in the context of a partnership between UBC, health authorities and partner universities. The **FoM Space Planning and Facilities Management Unit** supports **FoM Departments, Schools, Centres/Institutes, Programs and Units** to operationalize these principles.

3.1. OWNERSHIP

Academic research space allocated to the FoM is an institutional asset and its use must support the goals established in both the UBC and FoM strategic plans. The space is owned and operated by the University of British Columbia or our health authority and other university partners. The allocation and utilization of academic research space must comply with university space policies and align with any site-specific and/or health authority guidelines, including the [Academic Space Protocol](#). Space is a shared resource; it does not belong to an individual or Unit.

3.2. SPACE ALLOCATION CRITERIA

Space allocations are not considered permanent and are subject to change in support of the academic and strategic priorities of UBC and the FoM. The following criteria must be used in the allocation of all FoM academic research space:

- Alignment with overall UBC and the FoM research priorities.
- Conforming to specific Department, School, Centre/Institute and Program/Unit goals.
- Scientific and scholarly productivity and impact of the research, including peer-reviewed publications.
- Research funding.
- Research intensity (size of research team and time commitment).

It is understood that space requirements of an individual **Investigator** or a research team are dynamic and will expand and contract over time. Careful projection of current and future needs is an integral part of the space allocation process.

3.3. SPACE UTILIZATION

It is expected that any allocated academic research space is properly utilized: defined as being occupied 70% of the average work week or 3.5 days minimum. Any space deemed vacant or underutilized will be reviewed, reclaimed and reallocated or repurposed under the authority of the **Executive Associate Dean, Research**, following appropriate notice and consultation.

Academic research space and offices must not be used for storage of obsolete equipment, waste, archives or personal belongings. Research space, equipment and materials must adhere to all health and safety regulations and procedures as defined by UBC Risk Management. Academic research space utilization is reviewed regularly by the **Executive Associate Dean, Research** and **FoM Space Planning and Facilities Management Unit**.

Sharing of research space among compatible faculty and interests, when possible, is encouraged. Optimal use of research space includes shared use of resources and facilities. Space used only part time for research must accommodate other compatible activities to achieve full utilization of space.

3.4. EQUITY

Decisions regarding space allocations must be made in an open and transparent manner, in accordance with the principles and guidelines of this policy. Any change needed to conform to this policy must be discussed in advance between **Research Centre/Institute Directors** and **Department/School Heads** and the affected faculty or staff member.

The FoM will make every effort to provide **Investigators** with the most appropriate scientific environment which includes suitable research space, workspace (some may be shared), and access to core research facilities. Faculty and staff will be treated with equity; they will be provided with healthy, safe and accessible workplaces.

4.0. SPACE ALLOCATION GUIDELINES

Academic research space allocations are not considered permanent and are subject to change in support of the academic and strategic priorities of the UBC Faculty of Medicine. At any particular site/location, allocations may be limited by the existing infrastructure, building configuration and type of space that is available.

4.1. PRIORITIZATION OF RESEARCH FUNDING

The FoM prioritizes research funding per the following levels when allocating research space:

Level I: Institutionally approved, peer-reviewed funded research obtained by competition from international, national or provincial granting agencies and foundations. Funding for trainees granted through externally funded peer-reviewed awards (i.e., Tri-Council, Michael Smith Foundation for Health Research and post-graduate studentships, fellowships and doctorships) will also be included in space allocation assessments.

Level II: Research supported by institutionally approved donations, where intellectual property rights will reside with UBC and its partners.

Level III: Research supported by institutionally approved non-competitive grants-in-aid, where intellectual property rights will reside with UBC and its partners.

Level IV: Contract research, includes industry-supported contracts, where industry maintains intellectual property or other rights and service contracts from any source.

4.2. ALLOCATION METRIC

The baseline planning metric (refer to section **5.0 Additional Considerations** for other planning factors) to determine research space allocation is the average of a **Principal Investigator's** (PI) last three (3) fiscal years of research funding from eligible external funding sources. Eligible funding sources for space allocation only include funding administered through the UBC Office of Research Services and include peer-reviewed grants and funding for trainees as listed in RISE. The quality and impact of the research is also taken into consideration when making justification for space allocation.

Academic research space is allocated and assessed at **\$400** of research funding per assigned square foot.

4.2.1. Exclusions

- Actual space allocations may be constrained by type of space that is available and by the physical layout of the facility.
- Infrastructure funding, such as Canada Foundation for Innovation (CFI) grants for technology/equipment
- Faculty salary/remuneration awards.
- Component of funding spent at research centres outside of FoM purview or on contracting out research tasks.
- Faculty offices, conference rooms, break rooms, core laboratory facilities and administrative space are excluded from a PI's assignable research space.
- A combination of formulae may be applied for **Investigators** who are involved in research activities with unique space requirements, or whose labs are located in different facilities.

4.3. SPACE ASSIGNMENT

4.3.1. Principal Investigator

Established **Investigators** are expected to maintain productivity levels to justify their space assignment on an annual basis. In the event of a significant decrease in grant support, productivity and/or personnel, space assignment will be reviewed and space will potentially be reclaimed and reassigned. **Investigators** are given a grace period of up to 2 years to regain sufficient grant funding levels, provided that demonstrated efforts are made to obtain new funding or extend existing grants at the earliest possible opportunity.

Additional space for established **Investigators** will be based on demonstrated need and availability, per the prioritization of research funding metric, guidelines and principles as defined in this policy and must support the goals and mandate of the University, the FoM and the Research Centre/Institute.

4.3.2. New Investigator

New Investigators should be provided with space consistent with initial start-up funding, including space for initial research team members and are expected, within 3 years, to achieve funding levels to justify their assignment.

4.3.3. Clinical Faculty

Some clinical faculty may conduct academic research that requires access to space for specialized equipment or research team members. Such needs will be determined on a case-by-case basis in consultation with the respective **Centre/Institute Directors, Associate Deans, Research** and the **Executive Associate Dean, Research**.

4.3.4. Professor Emeritus

Professors emeriti may be provided with research space at the discretion of the Program/Unit, if space is available and if the emeritus faculty remain actively engaged in research that aligns with the programmatic needs and priorities of their Department/School/Centre/Institute. Assignment must be reviewed annually by the **Executive Associate Dean, Research**, based on the level of academic activity of the professor.

4.3.5. Research Associates, Research Assistants, Postdoctoral Fellows and Graduate Students

Eligible for a workspace in a shared office or open work area within research space.

4.3.6. Undergraduate Students and Summer Students

Undergraduate students are eligible for access to a shared workspace. A recommended guideline ratio of 3:1 (undergraduate students to workspaces) can be used when determining total number of workspaces.

4.3.7. Individuals on part-time, short-term or temporary contracts and volunteers

Eligible for access to swing workspaces and will not be considered when research space is allocated.

4.3.8. Periods of Leave

Investigators with assigned space must contact their respective **Department Head, School/Centre/Institute Director** if they are planning to take a leave of absence for a period longer than 6 months. Adjustments in assignment and/or use of the space may be made for the period of leave.

4.3.9. Vacating Space

Upon vacating the space, the **Investigator** is responsible for ensuring that their lab(s) are cleared of any equipment, files and chemicals, in adherence to any applicable university and health authority policies and procedures. All costs associated with the removal and disposal of remaining items shall be borne by the departing **Investigator's** Unit.

5.0. ADDITIONAL CONSIDERATIONS FOR SPACE ALLOCATIONS

5.1. Research Team Size

Investigators that have significant personnel may be allocated additional space, providing there is adequate justification and available space.

5.2. Utilization Rate

Space is assessed for utilization at a rate of 49 sq. ft. per 1.00 Full-Time Equivalent (FTE). This metric is used as a secondary indicator to test if allocated space is adequately and appropriately utilized. **Investigators** whose FTE ratio is greater than their allocated space may be eligible for further review and additional space, if available. Individuals that are counted in determining FTEs in an **Investigator's** research program are:

- Research staff
- Post-doctoral research scholars (fellows and research associates)
- Graduate research students
- Paid undergraduate research students

5.3. Multi-Investigator and Collaborative Research

For research programs with multiple **Investigators** or cross-departmental collaborations, funding and credit for FTEs may be shared among/split between **Investigators** according to the distribution of work and upon mutual agreement of the **Investigators**. However, the portion of research funding and FTEs will be counted only once.

5.4. Joint-Faculty Research

Allocations of research space involving **FoM Investigators** and **Investigators** outside of the FoM or in space that is jointly managed by the FoM and one or more other UBC Faculties will require consultation with the **Centre/Institute Director** and the **Executive Associate Dean, Research**, as well as the **Dean(s)** of the other UBC Faculty(s). Where possible, the guidelines outlined in this policy will be respected.

5.5. Type of Research

Certain types of research require more space or different configurations of space that would not be appropriately reflected within the baseline tool for assessing allocation of research space (research funding per square foot metric). **Investigators** whose research falls into this category may be allocated additional space, providing there is adequate justification and available space. Examples include but not limited to: clinical exercise/movement related studies; interventional or observational human subject research; and social science research. These instances will be considered on a case-by-case basis in consultation with the **Principal Investigator**, the respective **Department Head, School/Centre/Institute Director**, the **Executive Associate Dean, Research** and **FoM Space Planning and Facilities Management Unit**.

5.6. Storage Space (digital, paper records, equipment)

Investigators are encouraged to use university and health authority central storage servers for digital records (refer to section **6.3 Storage**). **Investigators** who have exhausted centralized options and continue to have significant storage requirements may be allocated additional space, providing there is adequate justification and available space.

5.7. Extensive and Specialized Equipment

Some research may require high-bay or industrial-type space to accommodate large-scale equipment and/or fixed infrastructure installations for research. **Investigators** who have significant or specialized equipment may be allocated additional space, providing adequate justification and available space. **Investigators** are encouraged to make available specialized equipment to other relevant PIs.

6.0. PROCEDURES

6.1. Construction or Renovation Work

Any proposed construction or major renovation work in academic research space requires the approval of the **Executive Associate Dean, Research** and the notification and involvement of **FoM Space Planning and Facilities Management Unit** to ensure compliance with applicable regulatory, health authority and university standards. Any proposed renovations on UBC campus, including change of use of space (i.e. wet lab to dry lab) require the notification, involvement and approval of **UBC Facilities Planning**. All costs associated with discretionary alterations/renovations to a space shall be borne by the **Investigator(s)**. Refer to **Appendix A Definitions** for major and minor renovations.

6.1.2. CFI Applications

UBC Facilities Planning is the first point of contact for CFI applications that require renovations on UBC campus to support research activities and/or upgrades to mechanical and electrical infrastructure to support equipment installation. The **UBC Facilities Planning** team together with **UBC Project Services** will produce a Scope of Work for the project for which an Order of Magnitude of Cost Estimate will be provided.

- **CFI JELF** applications: **UBC Facilities Planning** should be contacted 6 weeks in advance of the internal UBC review submission date to ensure completion of the CFI applicant's construction estimate.
- **CFI IF** applications: 8 – 12 weeks early notification is required as **UBC Project Services** may need to engage a team of consultants to produce a project feasibility study and estimate. Please note that Department funds will be required for the feasibility study in this instance.

Department Heads, School Directors, Centre/Institute Directors, Associate Deans, Research and Regional Associate Deans are the first point of contact for CFI applications that require renovations or equipment installations in research space at health authority sites.

6.2. Furniture

The procurement of furniture:

- on UBC campuses, must comply with [UBC Technical Guidelines](#).
- on health authority and partner university sites, must comply with their respective standards.

6.3. Storage and Disposition (digital, paper records, equipment)

Units are encouraged to use [UBC Records Management Office](#) processes and procedures for disposition of records and guidelines on document storage. Equipment that is unlikely to be used in the near future is expected to be decommissioned and disposed of per relevant processes and procedures.

6.4. Assigning Space to Affiliated Research Start-ups

In the interest of serving the community, the University can make academic research space available to companies with linkages to the University, to enable the companies to accelerate the commercialization of their products or delivery of services, provided that:

(a) similar facilities are not readily accessible commercially; and

(b) use of the facilities by the company will not interfere with the primary function for which the facilities were originally intended by the University. An early-stage company may not start operations within FoM research space until the **Executive Associate Dean, Research** and the **Dean** has approved the change in use of research space and all agreements through either UILO or UBC Treasury have been finalized, including a Space Rental Agreement. Early-stage companies may operate within FoM research space for a period of up to one (1) year.

6.5. Appeals

In the event that a PI disputes their space allocation as assigned by the **Department Head, School Director, Centre/Institute Director and Regional Associate Dean**, the following procedure will apply:

- A PI may submit a request to the **FoM Office of Research** for confirmation and validation of eligible research funding data used to guide current space allocation.
- Within 10 working days, the **FoM Office of Research** will provide the PI with their current funding record from the University's funding database.
- The PI will have 15 days to provide additions and/or corrections regarding eligible funding.
- To ensure completeness, accuracy and eligibility, the **FoM Office of Research** will validate within 10 working days the PI's additions or corrections, percentage contribution to grants and funds administered at the University.
- If warranted, a research space allocation review will be carried out by the **FoM Space Planning and Facilities Management Unit**, on behalf of the **Executive Associate Dean, Research** and the space allocation may be adjusted, subject to availability.

6.6. Requests for Additional Space

All requests for additional space must be submitted in writing to the respective **Department Head, School Director, Centre/Institute Director, and Regional Associate Dean** and relevant **Centre/Institute Space Committee**. Requests must be submitted well in advance of anticipated time of need and specify the kind of space required, the funding to support the new research activities, the period during which the space is required and a brief rationale for the request.

7.0. REVIEW OF ACADEMIC RESEARCH SPACE POLICY

This policy will be reviewed by the UBC FoM Facility and Capital Planning Committee every 5 years and may be revised at any time to reflect changes in institutional needs and priorities. Research funding per square foot allocation metric is to be reviewed on a 2-year basis for current applicability.

APPENDIX A – DEFINITIONS

The following is provided to establish a common understanding of workspace types and terminology related to space.

Change-of-use: Remodeling that changes the primary use of any space (i.e. lab into office; office into storage). This also applies to assignment of academic research space to early-stage companies.

Startup / Spin-off Company: An early-stage company that is affiliated with the University.

Core facilities: Facilities that provide services, analyses, instrument and technology access, or expertise needed and utilized by **Investigators** to conduct their research but which are generally too expensive, complex or specialized for **Investigators** to cost-effectively provide and sustain for themselves. Core facilities must be broadly available to all FoM researchers within a Centre/Institute on a service basis with no requirement for scientific collaboration or co-authorship other than normal acknowledgement based on contributions in accordance with normal scientific practice.

Computational space

The increasing need to support the visualization, shared storage, analysis and harnessing of data in research has resulted in a shift towards a higher ratio of dry space versus wet labs. Computational spaces are recognized for their high-density use of computer workstations.

Daily administration/day-to-day operational administration: Allocation of space; resolution of space issues; verification that space is being used for the purposes specified; and prompt reporting of changes in allocation, use or configuration of space.

Dedicated workspace: Intended for dedicated use by specific users.

Dynamic space reviews: Space reviews of an individual **Investigator** or a research team must recognize that research space allocations can be dynamic, and will expand and contract over time.

Major renovation: Construction to modify or upgrade the existing facility. A major renovation involves activities that cause a service disruption, require demolition or require removal of a fixed facility component (i.e. sink) or assembly (i.e. countertop). Examples include but are not limited to:

- A space, room or area that is undergoing a change of use
- Removal of floor coverings, ceiling tiles and cabinetry
- Replacement of windows
- New wall construction
- Heating, ventilation and air-conditioning upgrades
- Plumbing work that requires disruption of the water supply for more than 30 minutes

Minor renovation: Small-scale improvement work, usually cosmetic in nature. Examples include but are not limited to painting and redecorating. A minor renovation does not involve activities that require demolition or require removal of a fixed facility component.

Office: Enclosed space offering both visual and acoustic privacy. A typical office is 9m²/100 sq. ft., single occupancy and can be shared depending on job role/function and schedules. Offices greater than 14m²/150 sq. ft. can accommodate more than two (2) people concurrently. Offices must be made available for use as meeting space when not occupied.

Shared workspace: Spaces shared by two (2) or more assigned users. Schedules are coordinated to maximize utilization.

Space allocation: Global distribution of space by the **Dean/Executive Associate Dean, Research** to Departments, Schools and Research Centres/Institutes to be managed primarily by **Department Head, School Directors, Centre/Institute Directors and Regional Associate Deans**.

Local distribution of space by Departments, Schools and Research Centres/Institutes, and Programs for the placement of individuals, purposes and functions for a period of time.

Space manager: Individual delegated the authority to provide the day-to-day operational administration and operational oversight of space allocated to their respective program/Unit.

Swing space: Workspaces shared between multiple users and/or groups and intended for use by the allocated users/groups. Schedules are coordinated to maximize utilization.

Touchdown space: Typically smaller workspaces, sometimes equipped with basic equipment (computer, phone) and not allocated to any particular user(s). Touchdown space cannot be claimed for long-term or repetitive use.

**Self-Study Report Template**
CENTRE/INSTITUTE REVIEW**Overview**

The major goal of a review is to provide the unit with an opportunity to reflect on its research and training programs, operations and performance; to monitor progress and productivity, and to obtain advice to guide the continuing improvement of research and training performance and operational quality. The primary emphasis is on governance and structure, as well as effective interdisciplinary research and training and environment for research / educational trainees. Reviews also contribute to the public accountability of the University and the relevant health authorities, if applicable. Reflective self-study documents prompt a process to appraise, the scholarly, pedagogical, and professional activities of the unit, the success of its research and education programs and missions, as well as its other roles and responsibilities in health research, education and healthcare delivery. Reviews allow for assessment of the unit's performance relative to peers, and enables effective planning and resource allocation. The process itself offers the unit an opportunity for periodic in-depth analysis of its research and education programs, goals, and its achievement of the objectives and priorities identified in the university, the Faculty of Medicine, the health authority (if applicable) and the unit's own strategic plan.

The general principles and procedures of a review should include: the engagement of all appropriate members of the unit associated with the activities undergoing review; the assembly of comprehensive documentation and data appropriate to the review; a site visit by the appointed review team; and the opportunity for all interested faculty, trainees and staff to provide confidential feedback to the review team. The site visit should include meetings with faculty, trainees, staff, relevant university administrators, senior leaders from the relevant health authorities, and other relevant stakeholders. Once the reviewers' report is received, the unit will be asked to respond in writing to the review's recommendations.

The following is intended to provide guidance to the unit in preparing documentation for the review process. For each section, it is expected that the documentation will focus on self-assessment and critical analysis of the relevant issues. This could include, but would not be limited to: discussions of strengths, areas for improvement, opportunities and threats, benchmarks used to assess the program/activities, comparison with appropriate peer units, reflections from the unit on the progress achieved since the last review, current priorities, best practices, plans for the future, and ways in which unit's attainment of their goals and objectives will be assessed.



Report Sections & Responsibilities

Part A. Responsibility of the Unit Director

1. Executive Summary
2. Response/Follow-Up on the Previous Review (if applicable)
3. Overview of the Unit
4. Research
5. People and Work Environment
6. Financial Overview and Resources
7. Training and Education
8. Indigenous Engagement
9. Unit-Specific Questions

Part B. Responsibility of the FoM Office of Research

1. Research Funding Data
2. Research Impact Data (bibliometrics)

Please submit an electronic copy of the self-study report to:

Faculty of Medicine, Office of the Research

c/o Dr. Michelle Wong (Senior Director, Research, Faculty of Medicine)

michelle.wong@ubc.ca and cc. to hansen.chou@ubc.ca



**Self-Study Document
CENTRE/INSTITUTE REVIEW**

Unit Name:	Date of FoM Approval of Unit:
Current Director:	Current Term of Director: Term Start Date: Term End Date:
Date of Last Unit Review: Type of Review:	Report Date:

PART A:

1. Executive Summary

Provide a brief, critical, high-level overview of the unit, summarizing the strengths, challenges and opportunities related to the unit, and the alignment with the Faculty of Medicine’s strategic plan. *(one page max)*

2. Recommendation from the Previous Review and Unit’s Progress (If applicable)

Outline key recommendations of the previous review and how they have been responded to/progress to date. Include any existing plans for the future follow up. *(one page max)*

3. Overview of the Unit

3.1. Strategic Plans and Priorities of the Unit *(two pages max)*

- Describe the mission of the unit, identify the priority areas of research and education with an overview of each and relevance to the strategic plan of FoM.

3.2. Organizational and Governance Structure *(two pages max)*

- Provide a current organizational chart showing personnel and briefly describe lines of responsibility and accountability.
- Please identify any internal committees and their functions. How frequently do they meet? (This information can be supplied in the form of a table or organizational chart showing internal committee structure).



- Describe how administrative and policy decision are made within the unit with respect to communications, IT, facilities, health & safety.

3.3. Role in Departments and Schools in Faculty of Medicine and UBC (*half page max*)

- Indicate the unit's catalytic effect on interdisciplinary/inter-professional research and training.

3.4. Relationships Internal and External to UBC (*one page max*)

- Describe the role of the unit with other partners and stakeholders (e.g., other universities, health authorities, local community, etc.).
- Examples of activities undertaken by the unit that serve the wider community, such as public lectures, community service learning programs, involvement in community health, social and learning initiatives.

4. Research

4.1. Uniqueness & Impact (*two pages max*)

- Provide an indication of the uniqueness, impact and effectiveness of the unit's interdisciplinary research to FoM, UBC and British Columbia, Canada.
- Describe how the unit has made an impact nationally and internationally, referencing any of the following:
 - Literature
 - New methods and databases
 - Contributions to new products/services (i.e. new diagnostic tests)
 - Conferences organized
 - Policy development and implementation
- Discuss the unit's impact within the local environment external to UBC, including:
 - Contributions to improved health – e.g. impact on prevention and treatment
 - Use of research by public advocacy groups and/or by local governments (e.g., municipal, provincial)
- List the unit's 15 most important publications over the past 5 years (author, title, journal, 1 sentence describing why each is important) (*two additional pages*).

4.2. Faculty awards and distinctions-external (*half page max*):

- Units should design metrics appropriate for the discipline that could be fairly used to assess the collective scholarly reputations of its faculty members, relative to appropriate peer units. These might include a list of fellowships, awards of prestige, Chairs, Professorships, editorships of journals, etc.

4.3. Knowledge Transfer (*one page max*)

1. Describe the key KT activities undertaken by the unit and its members, referencing any of the following:



- International public lectures, participation in high level discussion of emerging issues
- Impact in the media/increased public awareness
- Collaboration and outreach within and without FoM and UBC
- Licenses, spin-offs

4.4. Infrastructure (if applicable)

- List your core facilities, and briefly describe the role which each play in the overall research and education community

5. People and Work Environment

5.1. Faculty members:

- Describe how decisions are made in regards to equity, diversity and inclusion of faculty and leadership roles (one page max)
- List new appointments, changes in membership) during the last 5 years. (*one page*)

5.2. Awards, Recognitions, and Honours-internal (*one page max*):

- Describe how decisions are made in regards to equity, diversity, and inclusion for recognition of faculty and staff.
- Attach a list of the most significant awards to faculty and trainees received since the last review (#, name, award title).

5.3. Morale, Reputation, and Outstanding Work Environment:

- Assess the working and learning environment, morale and institutional culture of the unit as reflected in the experiences and perceptions of faculty members, staff and trainees. Units should evaluate the reputation of the faculty nationally and internationally. (*one page max*)
- Describe initiatives within the unit that ensures the best possible environment for working and learning, is one in which respect, civility, diversity, opportunity and inclusion are valued as respectful workplace for trainees, faculty and staff. (*half page max*)

5.4. Other Support Programs:

- Provide brief descriptions of any practices, policies and programs that support advancement and working environment, including methods for communicating these to the appropriate groups. (*one page max*)
 - Mentoring programs and procedures;
 - Health and Wellbeing;
 - Career Development;
 - Distribution of resources;
 - Awards and recognition;
 - Leadership development;
 - Succession planning; and or
 - Any other EDI initiatives.



6. Financial Overview and Resources:

6.1. Last five-Year Actuals, Current Budget or Forecast, and Five-Year Outlook (see Appendix A1):

- FoM Finance Managers will work with you on preparing a financial overview for your unit to ensure the plan is accurate prior to official submission. The final financial plan is required to be reviewed by the FoM Senior Director, Finance.

6.2. Space: *(half page max)*

- What is the space management plan within the unit/ how do you allocate space?
- Do you have a space management committee and, if so, who is the current Chair?

6.3. Fundraising: *(half page max)*

- If applicable, describe the roles in which the relevant hospital foundation and the Faculty of Medicine's Development team play in fundraising and in helping the unit achieve its goals and objectives

7. Training and Education

- In a table, please summarize the number of trainees, pre-, post- and doctoral students, and the programs they participate in. *(one page max)*
- Describe the interdisciplinary research training environment and any programs in place that serve trainees, and describe the collaborative work and/or interaction amongst trainees. *(one page max)*
- Describe the coordinated events/groups/seminars are available? Are these cross-site/interdisciplinary? *(half page max)*
- Graduate Education: Include this section [if applicable]; To assist the Centre/Institute with graduate programs hosted within and/or affiliated with the Centre/Institute, the Faculty of Graduate & Postdoctoral Studies will also provide some data for inclusion.

8. Indigenous Engagement

- Discuss research and educational opportunities for Indigenous people and opportunities for all trainees to learn about Indigenous issues. Provide examples of courses and community service learning and research/education opportunities that have an Indigenous component. *(one page max)*

9. Unit-specific topics

- The unit may provide a list of up to 5 questions for the review committee to address or assess as part of the review. Please note that the questions are subject to approval by the Dean's Executive Team (DEX).

**PART B: (Responsibility of FoM Office of Research)****1. Research Support**

- Funding data: including a summarized graphical representation, and on an individual researcher level, research funding data in the following categories over the review period (e.g., 5 years):
 - External salary support
 - Peer review operating funds
 - Non-peer reviewed operating funds
 - Infrastructure funding
 - Trainee funding
- Research Chairs & Faculty Salary Awards received (if any)

2. Research Impact (bibliometrics)

- Number of publications for the unit by year
- Field-weighted citation impact values of the publications of the unit by year
- Percentages of publications of the unit in top 10% and top 1% of most-cited publications within their respective subject areas
- Publications keywords and word cloud analyses
- Research topic clusters analyses
- Fifteen Most-cited publications
- Most-frequent collaborating institutions & breakdown of percentages of international/national collaborators analyses
- Career h-index, number of publications and times-cited data for investigators
- Five-year h-index, number of publications and times-cited data for investigators
- National and global comparators (if appropriate)



**FINANCIAL OVERVIEW
Self-Study Report Template**

FINANCIAL OVERVIEW OF CENTRE/INSTITUTE (NAME)

RESPONSIBILITY OF FOM DEAN'S OFFICE, FINANCE

Last five-Year Actuals, Current Budget or Forecast, and Five-Year Outlook

This is prepared by your Finance Manager to provide a financial overview of the unit, including a breakdown of the actual budget over the past 5 fiscal years, current budget or forecast, and 5-Year Outlook.

Prepared By: _____

Date: _____

FOM Finance Validation: _____
Andrew Glynn, Senior Director, Finance, FOM

Date: _____



Appendix IV: Faculty of Medicine Research Centre/Institute Proposal Template

General Centre/Institute Proposal Information

Name of the Proposed Centre/Institute:	Proposed Centre/Institute Director:
Proposed Date of Creation (DD/MM/YYYY):	Category of Centre/Institute (select one): <input type="radio"/> Faculty of Medicine-Approved Research Centre <input type="radio"/> UBC Senate-Approved Research Centre <input type="radio"/> Faculty of Medicine-Approved Research Institute <input type="radio"/> UBC Senate-Approved Research Institute
Proposal Contact Name(s):	Telephone: E-mail:

Please submit an electronic copy of the Centre/Institute Proposal to:
Faculty of Medicine, Office of Research
c/o Michelle Wong (Senior Director, Research, Faculty of Medicine):
michelle.wong@ubc.ca and cc to hansen.chou@ubc.ca



1) Overview of the Proposed Centre/Institute

Vision

- 1) Describe the vision or vision statement of the proposed Centre/Institute.

Mission

- 2) Describe the proposed research, scholarship, and, where appropriate, community service activities to be undertaken in the first five years by the unit.

Alignment with the FoM Strategic Plan

- Describe the proposed Centre/Institute's alignment with the Faculty of Medicine's [Strategic Plan](#), and how the planned activities of the Centre/Institute will help advance the goals and objectives of the plan.

Intended Impact

- Discuss the Centre/Institute's envisioned impact within the local environment external to UBC, including:
 - Contributions to improved health – e.g. impact on prevention and treatment.
 - Use of research by public advocacy groups.

Governance and Administration

- Describe the governance structure and function, and how administrative and policy decisions will be made within the Centre/Institute.
- Please identify any proposed internal committees, their functions and their meeting schedules. (This information can be supplied in the form of a table or organizational chart showing internal committee structures).

Interdisciplinarity

- Please indicate the Centre/Institute's intended interdisciplinary/inter-professional research and learner's training outcomes.

2) Faculty Members

Identify the Membership of the Proposed Centre/Institute

- In a table, please list the proposed members of the Centre/Institute, along with their Departmental/School affiliations, ranks, membership type (Core Investigator or Associate Investigator) with the proposed Centre/Institute, research areas, contact information and key publications. Also, please provide letters of support from the Head/Director of each member's Department/School expressly indicating their support for the faculty member to join the proposed Centre/Institute.



- If the proposed Centre/Institute will contain affiliated learners¹, in a table, please summarize the proposed number of trainees and graduate students, and the programs they will participate in.

Performance Evaluation

- Please identify the processes for evaluation and continued affiliation of Centre/Institute members.

3) Resources

Funding

- In an appendix, please provide a detailed budget covering the first five years of operation for the proposed Centre/Institute.
- Please provide detailed information regarding any funding sources available for the proposed Centre/Institute; note: the information should be sorted by funding agency, listing the total amount of funding by agency.
- If there are any funding gaps between the proposed budget and funding available for the Centre/Institute, please outline the detailed plans for addressing these gaps.

Space

- Identify any space currently available and approved for use for the proposed Centre/Institute.
 - *Please include a list of core facilities.*
- Please identify any space needs (gaps) and provide a detailed plan to address these needs.
- Please outline the space management plan within the proposed Centre/Institute.

Staff

- Please provide a proposed staff human resources plan, if applicable.

4) Relationship to Health Authority (for Senate-bound Centre/Institute proposals only)

Overview

- Please provide a detailed overview of the affiliation/linkage between the proposed Centre/Institute and the Health Authority/Authorities to be engaged in this Centre/Institute.
- Please provide letters of support from the leadership of the Health Authority/Authorities that will be affiliated with the Centre/Institute.

¹ If the proposed Centre/Institute will have FoM-affiliated learners, Senate-approval is required.



Signature:

Signature(s) of Proposed Director of Research Centre/Institute:	Print Name(s):	Date:
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Review History

Committee	Date	Status
Dean's Executive Committee	2020 October 21	Endorsed
Assistant & Associate Deans, Research + Centre/Institute Directors	2020 December 7	Endorsed
Research Committee	2021 February 5	Approved
Faculty Executive + Dean's Executive Committee	2021 March 16	Approved
Full Faculty	2021 May 18	Approved