

Governing Council

Report of the Provostial Committee on Centres and Institutes

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Preamble

The former Provost, now President David Strangway, charged the Provostial Committee on Centres and Institutes with the task of reviewing the existing relationships of centres and institutes and other similar groups in relation to the Haist Rules at the University of Toronto. We were asked to look at the administrative structure, appointment authority and academic role of such units and to look at the relationship among such units. We were asked to recommend a set of guidelines which would fit with existing rules or to propose changes to those rules where necessary. We have located over 300 units which are known as institutes, centres, groups or programmes. Of these, some two dozen or more are known as institutes or centres, with over half of these in the School of Graduate Studies.

Membership of the Committee reflects the wide range of activities in extra-departmental units in every part of the University. Those serving on the Committee are listed at the end of the report.

This report is intended for wide circulation within the University community. The report is organized into three main parts. In the first part, we have set out the premises and assumptions on which we based our work; the second part is a description of categories of units and their proposed administrative functions and relationship to the governing structure of the University. The third and final part of the report consists of our list of recommendations drawn together from the body of the report.

This report is presented to the Provost for action through the appropriate Councils and Committees of the University.

Part I: Introduction

The University of Toronto has a larger faculty than any other academic institution in Canada. The diverse research and teaching interests of this group have provided great strength in traditional departments and degree programmes. There are few departments which do not include some of the leading Canadian authorities in the discipline and scholars of international reputation. A salient feature of the University during the past fifty years has been the extent to which faculty members are permitted and encouraged to develop research and teaching interests which do not fit easily within rigid and orthodox disciplinary boundaries. Over the years this has given rise to a large and diverse range of co-operative groupings, some involving informal collections of two or three faculty members without elaborate administrative structures, and others formalized into large institutes with substantial budgetary and administrative support. It is no criticism of traditional departments to say that some of the most exciting and innovative work at this University has been stimulated by these initiatives. It is clear that the flexible policy of the university has encouraged these developments, and this situation contrasts notably with that at some other leading universities in this country. In the opinion of this Committee, such a policy has had academic and administrative advantages. The Provostial Committee, in undertaking a review of the various extra-departmental arrangements which have arisen, does not wish to take any action which would hamper or stifle innovative activities by the faculty. Thus, the task has been to determine if there are administrative measures of clarification and identification which can encourage and enhance such activities.

To differentiate extra-departmental units offering research and/or teaching programmes at the University of Toronto, the Provostial Committee on Centres and Institutes has drawn up a set of characteristics for four different types of units that operate within the University outside the basic structure formed by departments.

We recognize that the names of existing units are traditional, and it is not our intention in this report to advocate that these names necessarily be changed. Therefore, we have labelled the types of units EDU (Extra-Departmental Unit) with a number. The terms "institute", "centre", "group/research group" and "programme" describe those units with which we are familiar. It is our hope that the sets of characteristics we have differentiated can be recognized as institutes, centres, groups and programmes, and that those in such units will be consistent in the naming of their units where possible. EDU:01 = institute, EDU:02 = centre, EDU:003 = group, and EDU:004 = programme.

Some of the existing EDU's are "in" the School of Graduate Studies. We have begged the question of establishing the criteria by which a unit ought to be within or outside of the School. It is our opinion that the School should continue to have the exclusive responsibility to approve graduate courses and programmes and to recommend them to the Academic Affairs Committee of Governing Council. In addition, rights to make appointments to the graduate faculty should be retained by the School for all units, including EDU's. However, if the recommendations of this report are accepted, a process of evolution will take place in units as they move into alignment with what has been proposed. In that evolutionary process, we suggest that the budgetary and reporting responsibilities for each EDU should be determined in discussions involving the unit, the School, and the cooperating deans and chairs of departments.

For units formed in cooperation with other universities or outside agencies, such as research ancillaries, the relevant principles of organization and responsibility as listed below should apply; the Vice-President (Research and Government Relations) is normally responsible for overseeing such agreements.

Part II: Units and Their Administrative Functions

The pages below describe the processes and procedures involved in the establishment and work of each type of unit. These are intended to establish lines of authority and reporting, and to clarify issues concerning reviews and the work of coordinators or directors.

	EDU:01	EDU:02	EDU:003	EDU:004
1. Description of Extra- Departmental Units	This is a multidisciplinary, multi-departmental group with faculty and students working in a defined area of academic study and research investigation. It is a centrally established and independent unit designed to foster research and teaching in new or highly specialized areas.	This is normally a multidisciplinary multidepartmental research unit with a broad research domain in a particular area of academic work. It exists to foster research and scholarly interest in the area. It may sponsor EDU:004's	This is a cluster of scholars who have come together for the purpose of pursuing specific research objectives. It may be multidisciplinary or it may arise within a single discipline or department, EDU:01 or EDU:02.	This refers to a set of courses in a area of academic interest not offered under departmental course offerings. Such programmes may be offered jointly by more than one Faculty or may exist between departments in a Faculty. An EDU:004 may also be established in an EDU:02
2. Establishment	Faculty from at least two fields draft a proposal for a multidisciplinary teaching and research unit with University base budget funds and possible external funding. If approved by the departments and division(s) involved, proposal for the multidepartmental unit is brought by the dean(s) before the Academic Affairs Committee through the Vice-President and Provost, the Planning and Resources Committee through the President, and then the Governing Council for approval.	Proposal for a multidepartmental research unit is brought for approval before the council or governing body of the division(s) concerned, by the faculty in several fields who are developing the concept of the unit. If approved, proposal for the unit, including recommendations on internal University and external grant funding and on staffing, is reported to the Vice-President and Provost, the Vice-President (Research and Government Relations), and the Office of Research Administration by the dean(s) of the divisions(s) involved, who have agreed upon resource commitments and budget.	Proposal for a research unit is brought for approval before the head(s) of the division(s) concerned, by faculty in the department(s) within the division(s) involved in developing the research project(s). The existence of the unit and the name of the Coordinator are reported to the Vice-President and Provost, the Vice-President (Research and Government Relations), and the Office of Research Administration.	Proposal for a programme is brought for approval before the department(s) and curriculum committee(s) concerned, by faculty in the department(s) involved in developing the proposed course of study. Consideration by the Academic Affairs Committee or its subcommittees may be required.
3. Appointment of an Administrator: Director Coordinator	See University of Toronto Policy Statements (The Haist Rules): Academic Administrators: Sections 23-27 Termination of the appointment of a director follows the procedures in the Haist Rules.	For SGS Units, see School of Graduate Studies The Yellow Book: Item 11-1-2 to 11-1-3: The Search for a Director If not in the SGS, a director is appointed for a fixed term by the dean(s) by whom the unit was created. Termination of the appointment of a director rests with the dean(s) of the division(s) concerned. The name of the director is filed with the ORA. Any change in status of the director must be reported to the ORA.	The Coordinator is appointed by the head(s) of the division(s) concerned to serve a fixed term determined by the department(s) involved. The Coordinator serves as designated authority of the unit, but may share authority for a specific research project with another member so designated. Termination of the appointment of a Coordinator rests with the head(s) of the division(s) concerned.	The Coordinator is appointed by the head(s) of the department(s) or division(s) concerned for a fixed term. Termination of this appointment rests with the head(s) involved.

	EDU:01	EDU:02	EDU:003	EDU:004
4. Reporting Authority	The director, under the guidance of an advisory panel of three or more members appointed by the dean(s) concerned, is responsible for policy and administrative and financial operations to the dean(s) of the division(s) with significant involvement in the unit. Governing Council, through the recommendations of the Vice-President and Provost to its committees, is the ultimate reporting authority.	The director, with the guidance of an advisory panel appointed by the dean(s) concerned, is responsible for policies and administrative operations to the dean(s) of the division(s) with significant involvement in the unit, as specified in Section 2 above. The director is responsible for financial operations to the dean(s) involved, and registers the unit with the ORA.	The Coordinator is responsible for administrative operations to the head(s) of the division(s) concerned. To simplify reporting, reporting authority should be formalized at the time of establishment of the unit. The Coordinator is responsible for financial operations to the head(s) involved, and registers the research project(s) with the ORA.	The Coordinator is responsible for administrative operations to the head(s) of the department(s) or division(s) concerned.
5. Appointing Rights for Faculty	See Manual of Staff Policies Academic Staff: Policy and Procedures on Academic Appointments: Code number 3.01.02 Pages 4, 22 Faculty usually are cross-appointed, but the units have the right to make tenure-stream appointments.	All faculty are cross-appointed. Faculty members may not hold their primary appointment in an EDU:02. Cross-appointment of faculty rests with the dean(s) of the division(s) involved, with the original department or college as the unit of primary appointment. All appointments are reviewed from time to time. Advice on merit pay, tenure review, or other matters relating to the appointment of faculty will be sought from the director in accordance with the policies of the University.	No rights of appointment or cross-appointment exist. Research fellows are appointed through the related department(s) or division(s).	No rights of appointment exist.
6. Teaching Role	Students enrol in a distinctive course of study at the undergraduate and/or graduate levels. These courses of study are established and reviewed in a manner similar to those of a department. However, since the academic requirements will span departments or divisions, approvals must be sought in all units involved, and may be required ultimately from any external agencies concerned.	EDU:02's do not register students.	None.	A set of courses in an academic area is the reason for the existence of an EDU:004. Students follow a designated programme as prescribed in the calendar(s) of the units involved. Students register for information with the programme coordinator who is responsible for their guidance through the course of study.
7. Research Role	In addition to its teaching role, an EDU:01 is concerned with a broad area of research.	An EDU:02 is concerned with a well-defined area of multidisciplinary research.	An EDU:003 is formed to pursue specific research objectives. Each proposal for outside research funds and the name of its designated head for grant management should be reported to the appropriate divisional head(s).	None.

	EDU:01	EDU:02	EDU:003	EDU:004
8. Budgetary Authority	The director administers an operating budget from divisional budget(s) and external research grant sources. Ultimate financial authority goes through the appropriate dean(s). Annual budgets are operated through the appropriate dean(s).	The director administers an operating budget from divisional budget(s) and external research grant sources. Financial authority rests with the appropriate dean(s), who coordinate the annual budget as part of the appropriate decanal budget(s).	Research funds are administered through a department or Faculty. This is normally the department, EDU:01, EDU:02, or Faculty to which the Coordinator reports.	The Coordinator may administer funds, if so delegated by the division(s). Ultimate financial authority goes through the appropriate head(s) to the dean(s) of the division(s) involved.
9. Administration of Grievances	Faculty have access to the grievance procedures in the Memorandum of Agreement between The Governing Council of the University of Toronto and The University of Toronto Faculty Association (Article 7: Grievance Procedure). Administrative staff have access to procedures in the Manual of Staff Policies (Code number 4.02.11). Students have access to the academic or administrative appeal procedures of the divisions(s) concerned. Step No. 1 authority for faculty is the director, Step No. 2 authority the appropriate dean(s).	Faculty may pursue grievances through their department or division. Administrative staff working solely in the unit have access to the procedures in the Manual of Staff Policies (Code number 4.02.11).	Faculty and staff may pursue grievances through their department or division.	Faculty, staff and students may pursue grievances through their department or division.
10. Process of Review	Reviews should be undertaken by the Office of the Vice-President and Provost at the fixed intervals set aside for the appointment of a director, and reported to the Academic Affairs Committee under its guidelines.	Reviews should be undertaken by the dean(s) of the appropriate division(s) at the fixed intervals set aside for the appointment of a director. The review procedures should be defined by the division(s) at the unit's inception and approved by the Vice-President and Provost as being consistent with University-wide standards.	A periodic review is conducted by the division(s) concerned, at such times as the appointment of a coordinator, the review of the division(s), and the evaluation of the research project(s).	A periodic review of courses or the course of study is conducted by the department(s) or division(s) concerned through normal curriculum committee procedures.
11. Disestablishment	Dissolution of the unit, upon the decision of a regular or special review or for academic or budgetary reasons, is finalized through Governing Council, upon the recommendations of the Vice-President and Provost and the Academic Affairs Committee.	Dissolution of the unit, upon the decision of a regular or special review or for academic or budgetary reasons, is finalized through the dean(s) of the divisions(s) whose departments constitute the unit, and is reported to the Vice-President (Research and Government Relations).	Dissolution of the unit, for lack of divisional or external support or at the completion of the research project(s), is through the head(s) of the division(s) concerned.	Dissolution of the unit, for lack of departmental or divisional support or at the ending of the unit's course of study, is through curriculum committee procedures and, by the established process, the Academic Affairs Committee of Governing Council.

Part III: Recommendations

1. The Committee recommends that the University of Toronto retain the flexibility inherent in the formation and functioning of extra-departmental units which has been at the heart of much of the creative activity occurring across disciplinary lines. This flexibility is implied in the guidelines which we propose in this report. Extra-departmental units may change from one form to another over time and as circumstances change.
2. We recommend that those interested in proposing the formation of new or transformed extra-departmental units follow the classification in this report and the guidelines for structure and administration.
3. We recommend that the guidelines proposed in Part II of this report be formally adopted by the University through the appropriate councils and committees, and applied consistently in the administration of extra-departmental units.
4. We recommend that Section 26 of the Haist Rules be amended to make the term of a director of an EDU:01 five years.
5. In order to obtain a comprehensive and up-to-date directory, we recommend that all EDU:01's, EDU:02's, and EDU:003's be asked to register for information with the Office of Research Administration, by a deadline to be established by the Provost. We recommend that no existing institute, centre, programme or group be required to change its name to conform to these proposals, but only that they be encouraged - insofar as history, tradition and circumstances allow - to achieve consistency with these guidelines.



University of Toronto

Policy on Interdisciplinary Education and Research Planning

Scope

The University is committed to fostering and facilitating interdisciplinary teaching, learning and research as they are essential to our academic mission. The University has a rich tradition of interdisciplinary work as shown in the breadth and strength of its interdisciplinary programs and research. These serve to enhance scholarship and the student experience both in teaching and exposure to research.

The University has a strong foundation of disciplinary education and research. Academic disciplines define epistemologies, theoretical studies and standards for research and education in a well-defined area of inquiry. Disciplines serve as platforms and frameworks for further scholarship and are defined in part by traditional groupings of scholars within academic institutions. The University remains strongly committed to fostering strength and excellence in the disciplines, as strong disciplines are the basis for strong interdisciplinary work.

Procedures

The University will foster and promote interdisciplinary education and research through the development of academic guidelines and practices, organizational structures, and budgetary and financial frameworks that permit and enable interdisciplinary education and research to grow. The University will promulgate best practices for the evaluation and promotion of teaching staff who are engaged in interdisciplinary research and teaching.

Development of guidelines for administrative frameworks and protocols for organizational structures, and planning for budgetary and financial frameworks that permit and enable interdisciplinary education, are delegated to the Office of the Vice-President and Provost. Any significant changes to such guidelines will be presented to Governing Council for information.

The creation and review of interdisciplinary units will be facilitated through this administrative framework. The Office of the Vice-President and Provost is charged with maintaining an inventory of units created under the guidelines for administrative frameworks.

Accountability

The University, as part of its annual accountability reports, will assess interdisciplinary education and research.

Note:

Key changes proposed to the administrative criteria related to the *Report of the Provostial Committee on Centres and Institutes (Marsden Report, 1984)* include:

- The change to letter rather than number EDU listing has been undertaken in an effort to provide a clear demarcation point henceforth so that any re-classification of EDU from the previous criteria does not lead to confusion.
- Division of current EDU:1 into EDU:A and EDU:B with EDU:As having a critical mass of activity that includes the ability of the unit to engage in the appointment of faculty and admission of students to a program of graduate or undergraduate study. EDU:B also admits students, however, does not have primary faculty appointing rights.
- Current EDU:2s are classified as EDU:C.
- EDU:3 (research) and EDU:4 (teaching) are combined into one EDU:D that includes both research and/or teaching aspects.

The EDU taxonomy may represent an evolutionary path of sorts, with some EDUs evolving in time from EDU:D to EDU:A as an interdisciplinary field attains recognized stature. It should be noted that most units will not evolve in such a manner as fields of scholarship change over time. We must be prepared to disestablish units that are no longer necessary.

The EDU taxonomy highlights a range of interdisciplinary units that differ in stage of development and divisional protocol:

- An EDU:A has a well-established and defined area of scholarship as a focus. The unit has attained a critical mass of interdisciplinary scholarship at the University that allows for the unit to engage in the appointment of faculty, admission of students to a program of graduate or undergraduate study, and engage in interdisciplinary research. EDU:As differ from departments in that departments generally offer a full range of undergraduate and graduate programs and research. It is expected that the total number of EDU:As at any given time will be small.
- An EDU:B has a defined area of scholarship as a focus and also admits students to interdisciplinary programs and engages in interdisciplinary research. However, faculty appointments are made in established departments with faculty cross-appointed to the EDU:B.
- An EDU:C unit does not have a program to which students are admitted.
- An EDU:D represents a group of scholars who have come together for the purpose of pursuing specific research objectives or offering a set of courses in an area of academic interest not offered under departmental, EDU:A and EDU:B course offerings. It may be multidisciplinary or it may arise within a single discipline or department, EDU:A or EDU:B.

The creation of EDU:A and B must be approved by Governing Council, while the creation of EDU:C must be delegated to Faculty Councils, and EDU:D to the relevant academic unit.

Guidelines for Administrative Functions and Protocols of Extra-Departmental Units

The table below outlines the administrative frameworks and procedural guidelines involved in the establishment and work of each type of unit. These are intended to set lines of authority and reporting, and to clarify issues concerning reviews and the work of coordinators or directors.

	EDU:A	EDU:B	EDU:C	EDU:D
1. Description	<p>Multidisciplinary, multi-departmental group with faculty and students working in a well-established and defined area of academic study and scholarship. It is a centrally established and independent unit designed to foster research and teaching in specialized areas.</p> <p>EDU:As offer programs where the number, quality, and research support of the faculty can foster an established program and where the resources available to faculty and students can guarantee a "critical mass" of scholarship and admissions.</p>	<p>Multidisciplinary, multi-departmental group with faculty and students working in a defined area of academic study and scholarship. It is a centrally established unit designed to foster research and teaching in new or highly specialized areas.</p> <p>EDU:Bs offer programs where the number, quality, and support of the faculty can foster a new or ongoing program and where the resources available to faculty and students can guarantee a "critical mass" of scholarship and admissions.</p>	<p>Normally a multidisciplinary multidisciplinary research and/or academic unit with a defined research domain in a particular area of academic work. It exists to foster research and scholarly interest in the area.</p>	<p>A group of scholars who have come together for the purpose of pursuing specific research objectives or offering a set of courses in an area of academic interest not offered under departmental, EDU:A and EDU:B course offerings. It may be multidisciplinary or it may arise within a single discipline or department, EDU:A or EDU:B.</p>
2. Establishment	<p>A proposed interdisciplinary teaching and research unit is discussed with the Deans and the Vice-President and Provost. The proposal should be in accordance with the University's <i>Policy for Assessment and Review of Academic Programs and Units</i>. The EDU is approved by the departments and division(s) involved. Following, the proposal for the unit is brought forward by the Vice-President and Provost before the appropriate Governing Council committees for approval.</p>	As per EDU:A	<p>Proposal for a multi-departmental research unit and/or academic program is brought for approval before the council or governing body of the division(s) concerned. The proposal should be in accordance with the University's <i>Policy for Assessment and Review of Academic Programs and Units</i>. After approval, the proposal for the unit/program, including recommendations on internal University and external grant funding and on staffing, will be reported to the Vice-President and Provost and the Vice-President Research and Associate Provost by the dean(s) of the divisions(s) involved, who have agreed upon resource commitments and budget.</p>	<p>Proposal for a research unit is brought for approval before the head(s) of the unit(s) concerned. The existence of the unit and the name of the Coordinator are reported to the Vice-President and Provost and the Vice-President Research and Associate Provost and the Office of Research Services.</p>
3. Appointment of an Administrator	<p>See: <i>Policy on Appointment of Academic Administrators</i>: Section II. The Office of Director of an Academic Centre or Institute.</p> <p>External reviews should be undertaken by the dean(s) of the appropriate division(s) at fixed intervals set aside for the appointment or re-appointment of a director. The review</p>	As per EDU:A	<p>A director is appointed for a fixed term by the dean(s) by whom the unit was created.</p> <p>Reviews should be undertaken by the dean(s) of the appropriate division(s) at fixed intervals set aside for the appointment or re-appointment of a director. The review procedures</p>	<p>A Coordinator is appointed by the head(s) of the department(s) or division(s) concerned to serve a fixed term determined by the department(s) involved. Termination of the appointment of a Coordinator rests with the head(s) of the department(s) or division(s) concerned.</p>

	EDU:A	EDU:B	EDU:C	EDU:D
	<p>procedures should be defined by the division(s) at the unit's inception and approved by the Vice-President and Provost as being consistent with University-wide standards and reported to the Committee on Academic Policy and Programs under the University's policies and guidelines.</p> <p>Continuation of the unit is dependent on periodic review of the unit.</p>		<p>should be defined by the division(s) at the unit's inception and approved by the Dean(s) as being consistent with University-wide standards.</p> <p>Termination of the appointment of a director rests with the dean(s) of the division(s) concerned as per divisional guidelines. The name of the director is filed with the Office of the Provost. Any change in status of the director must be reported to the Office of the Provost.</p>	<p>A periodic review is conducted by the unit(s) concerned, at such times as the appointment or re-appointment of a coordinator, the review of the division(s), and the evaluation of the research project(s) and/or course offerings.</p>
4. Reporting and Budgetary Authority	<p>The director, under guidance of an advisory panel of three or more members appointed by the dean(s) concerned, is responsible for policy and administrative and financial operations to the dean(s) of the division(s) with significant involvement in the unit.</p> <p>The director administers an operating budget from ongoing divisional budget(s) and external grant sources.</p>	As per EDU:A	<p>The director, with the guidance of an advisory panel appointed by the dean(s) concerned, is responsible for policies and administrative operations to the dean(s) of the division(s) with significant involvement in the unit, as specified in Section 2 above.</p> <p>The director is responsible for financial operations to the dean(s) involved. The director may administer an operating budget from divisional budget(s) and external grant sources.</p>	<p>The Coordinator is responsible for administrative operations to the head(s) of the division(s) concerned and is responsible for the financial operations of the unit and administration funds, if so delegated by the division(s). Proposals for outside research funds and the name of the designated head for grant management should be reported to the appropriate divisional head(s). Ultimate financial authority goes through the appropriate head(s) to the dean(s) of the division(s) involved.</p>
5. Teaching Staff	<p>EDU:As have the ability to make faculty appointments, although faculty should normally be cross-appointed to a cognate department. The unit also has the ability to cross-appoint faculty members as per an EDU:B. <i>See Policy and Procedures on Academic Appointments</i></p> <p>Faculty have access to the grievance procedures in the policies and memoranda of the University. Step No. 1 authority for faculty is the Director, Step No. 2 authority the appropriate dean(s).</p>	<p>No primary faculty appointing rights; faculty members may not hold their primary appointment in an EDU:B. Cross-appointment of faculty rests with the dean(s) of the division(s) involved, with the original department or college as the unit of primary appointment. Graduate membership may be extended as a cross-appointment.</p> <p>Faculty may pursue grievances through their department or division.</p>	As per EDU:B	No rights of appointment or cross-appointment exist.

	EDU:A	EDU:B	EDU:C	EDU:D
6. Teaching Role	Students enrol in a distinctive course of study at the undergraduate and/or graduate levels. Programs are established and reviewed in a manner similar to those of a department. However, since the academic requirements will span departments or divisions, approvals must be sought in all units involved, and may be required ultimately from any external agencies concerned. Students have access to the academic administrative appeal procedures of the divisions(s) concerned.	As per EDU:A	EDU-Cs do not register students. They offer a set of courses in an academic area. Students follow a designated program as prescribed in the calendar(s) of the departments or division(s) involved. Students register for information with the program coordinator who is responsible for their guidance through the course of study.	As per EDU:C