



# University of Toronto

## Guidelines for Extra-Departmental Units

### Type C (EDU:C)

# University of Toronto

## Guidelines for Extra-Departmental Units

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

# Contents

Summary .....	3
Proposal for a new EDU .....	4
Common Elements.....	4
Approval of new EDU's .....	5
Academic Leadership .....	6
Responsibilities of the Director/Coordinator .....	7
Governance/Administrative Structure .....	9
Collaborations .....	10
Faculty Appointments.....	12
Other Non-Budgetary Appointments .....	13
Teaching .....	14
Review.....	15
Appendix A: EDU Proposal Checklist.....	16
Statement of Purpose .....	16
Academic Rationale .....	16
Consultation .....	16
Faculty Participation .....	17
Structure/ Administration.....	17
Budget.....	18
Research Funds .....	18
Review.....	18

# Summary

## 1 EDU: A

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

## 2 EDU: B

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

## 3 EDU: C

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

## 4 EDU: D

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

# Proposal for a new EDU<sup>1</sup>

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

## Common Elements

- Every new EDU should have a clearly designated lead Faculty/Division
  - The Dean of the lead Faculty/Division assumes full responsibility for the EDU including administration and budget
  - Other Faculties/Divisions may be full, *active partners* in the EDU<sup>2</sup> in which case it should be approved by their Council or may simply be *associated with it* through involvement of their faculty
- The Dean of the lead Faculty/Division is responsible for consulting with all Deans whose faculty may be involved or associated with the EDU
- Where more than one Faculty/Division is *actively engaged* in an EDU, the Deans should lay out their understanding of the nature of that involvement and respective obligations in a brief Memorandum of Agreement. The latter should be submitted to the Provost's Office for future reference
- The proposal need not include the full MOA but should explicitly outline the extent of the resource commitment being made in support of the proposed EDU by each Faculty/Division
- Every proposal should include a draft budget in line with the *Checklist*
- Every proposal should be structured in such a way that it is in line with and supports the University's fundamental goals and values
- The lead Dean should consult with the Provost's Office on a draft proposal prior to consideration by governance

## 1 EDU: A's and B's

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

## 2 EDU: C's and D's

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

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<sup>1</sup> The *EDU Proposal Checklist* following provides an outline and additional information.

<sup>2</sup> Active engagement is normally reflected in a financial or administrative commitment.

# Approval of new EDU's

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

## 1 EDU: A's and B's

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

## 2 EDU: C

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

## 3 EDU: D

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

# Academic Leadership

## 1 EDU: A's and B's

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

## 2 EDU: C

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

## 3 EDU: D

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

# Responsibilities of the Director/Coordinator

## 1 EDU: A's and B's

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

## 2 EDU: C<sup>3</sup>

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

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

### 3 EDU: D

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

## Governance/Administrative Structure

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

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

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

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

# Collaborations

EDU's may involve external parties.

## 1 EDUs in collaboration with Fully Affiliated Health Care Institutions

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

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

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

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

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

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

## 2 Other Institutions or Groups

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

# Faculty Appointments<sup>5</sup>

## 1 EDU: A

- Only EDU: A's can hold primary or majority budgetary faculty appointments, e.g. 51% or more
- Where individual faculty members are proposed as members of an EDU the lead Dean must consult with the Dean(s) of the Faculty/Division(s) involved and the original unit of primary appointment
- Where a faculty member has their primary appointment in an EDU: A, the Director is responsible for all aspects of the appointment including for example tenure, promotion, assignment of workload and the annual merit process
- Only EDU: A's may hold Status-only and Adjunct Appointments<sup>6</sup>
- See *Policy and Procedures on Academic Appointments*

## 2 EDU: B

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

## 3 EDU: C

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

## 4 EDU: D

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

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<sup>5</sup> This refers to practice going forward.

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

## Other Non-Budgetary Appointments

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

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

# Teaching

## 1 EDU: A's and B's

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

## 2 EDU: C

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

## 3 EDU: D

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

# Review

## 1 EDU: A's and B's

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

## 2 EDU: C

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

## 3 EDU: D

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

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

# Appendix A: EDU Proposal Checklist

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

## Statement of Purpose

- What is being created / changed?
  - Provide full proper name of EDU being proposed/changed<sup>8</sup>
  - Proposed status / proposed change (in name, status)
  - Have you clearly identified a single lead Faculty/Division that will assume active administrative and budgetary responsibility for the EDU?
  - Have you identified other participating Faculties/Divisions (you may wish to distinguish between *active participating* Faculties/Divisions and Faculties/Divisions/units that may be *associated with* the EDU by virtue of the involvement of individual faculty)
  - Effective date / effective date of change

## Academic Rationale

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

## Consultation

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

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

## Faculty Participation

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

## Structure/ Administration

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

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

<sup>10</sup> At the very most one might distinguish between active, participating and collaborating.

## Budget

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

## Research Funds

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

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

## Review

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