

Senate Advisory Research Committee
Report to Senate— September 23, 2010

Revisions to the Senate Policy on the
Procedures Governing the Establishment of Research Centres and Institutes

Recommendation 1:

that Senate approve the revised Senate Policy Procedures Governing the Establishment of Research Centres and Institutes, effective immediately.

Recommendation 2:

that Senate approve amendments to the terms of reference of the Senate Advisory Research Committee, effective immediately, as follows:

Current	Proposed
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<p>c) Approve the formation of research groups, centres and institutes in accordance with the Senate Policy: "Procedures Governing the Establishment, Reporting and Review of Research Centres, Institutes, and Other Entities at Queen's University";</p>	<p>c) i. Approve the formation of research groups, centres and institutes in accordance with the Senate Policy: "Procedures Governing the Establishment, Reporting and Review of Research Centres, Institutes, and Other Entities at Queen's University";</p>
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ii. Suspend Centre/Institute operations and activities based on concerns raised during review of the Annual Reports, or in the event of failure to produce a suitable annual report.

(As stated in the revised policy 4.3, Reporting Procedures, page 7)



To: Bonnie Stewart

Vice-Principal (Research)
251 Richardson Hall

From: Sonja Verbeek

Queen's University
Kingston, ON K7L 3N6

Date: May 28, 2010

Tel: (613) 533-6933

Re: Senate Policy on Centres and Institutes

Fax: (613) 533-6034

in the Research Centre/Institute Policy document

1. Complete restructuring of the document
2. The document only speaks about the provisional approval process in terms of establishing a new

Centre/Institute

3. Procedures for establishing provisional approval are much more specific (Section 3)
4. Increased clarity on the procedures of Faculty board and SARC (3.1.3)
5. Specific information regarding the appointment of the Research Centre/Institute Director has been added (3.2)
6. Five year review procedures are much more explicit (3.3)
7. The structure of the formal proposal and the constitution have been updated (IV and V)

8. Increased clarity on the liaison role of the Centre/Institute Director (4.1) and specific operating procedures around the Research Centre/Institute Advisory Board (4.2) have been included
9. Reporting procedures have been updated and the Annual report has been completely revised (4.3 and App VIII). A test run was held this past year and additional revisions to the template were made based on feedback from the Centres/Institutes.

... Director may be expected to meet with a

entities (Groups, Units, Laboratories, Networks, Circles) can only use those titles when approved by the Senate Advisory Research Committee (SARC), this document seeks to clarify the request and process required for seeking and retaining status as a university approved entity. The procedures for the recognition of such entities are, therefore, simplified and clarified in this document.

There are a number of entities in which Queen's faculty participate, including some bearing the names Centre, Institute or Group, which are designated as such by bodies external to the University. There are also a number of resource and service centres at Queen's. These entities are outside the scope of this policy statement. A listing of the possible types of entities including those covered by this policy is given in Appendix I.

Normally, proponents of a Research Centre or Institute will request provisional approval for Research Centre or Institute status when:

1. a large research project has received a substantial amount of funding and the scale of the project is such that it is necessary to expedite the establishment of a suitable management structure for administering the funds and monitoring the activities of the project.
2. a group of researchers have engaged in a collaborative initiative and in order to expand their research program and attract funding from external agencies or University benefactors, official recognition by the University is required.

To request provisional status, the proponents must prepare a written request to the Dean of the Faculty, for faculty-based Research Centres/Institutes, or to the Vice-Principal (Research), for university-based Research Centres/Institutes, for consideration.

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of the SARC. Should provisional approval be granted, it will be in effect for a twenty-four-month period. Under exceptional circumstances a one-year extension of the provisional approval period may be approved by the Vice-Principal (Research) but failure to get approval by Senate within this period will automatically imply closure of the provisionally approved Centre/Institute.

interim Director of the Centre/Institute.

Faculty-based Centres/Institutes will only be approved if they have the support of the Dean to whom they will report. The proposal, the report and recommendation of the Advisory Review Committee will be reviewed by Faculty Board and upon the recommendation of the Dean(s), who may be affected by formation of the Centre/Institute, the documentation and recommendation from Faculty Board will be forwarded to the Senate Advisory Research Committee (SARC) for review, comment and approval. The Interim Director will normally be available to SARC to respond to questions. Based on the feedback from SARC, the proponents may be requested to make modifications to their proposal before final approval by SARC.

After consideration by SARC, the final documentation, with a recommendation from SARC will be submitted to the Queen's University Planning Committee (QUPC) for review and comment. Following the QUPC review, the documentation and recommendations will be forwarded to Senate for final approval.

Establishment and operation of the Centre or Institute will normally be approved for a period of five years.

The Interim Director's term will normally be for the 24 month provisional period. Towards the end of the 24 month period, if the Centre/Institute proceeds with a formal application for full Centre/Institute status, an Advisory Review Committee as part of its terms of reference, will provide comment on the leadership and make recommendations regarding the appointment of the Director for a further five years, based on a review of performance during the interim period and the Centre/Institute's recommendations. The Director's term will normally be for a five year period, coincident with the period of approval of the Centre/Institute; however, shorter terms may be arranged.

In preparation for each five year review, the Centre/Institute should review its leadership and make a recommendation for the Director for the following five year period.

The leadership of the Centre/Institute will be reviewed by the Advisory Review Committee as part of the five-year review process and a recommendation will be made at this time regarding the Director for the following five years. In the cases where a Director may not serve a full five-year term, a new Director will be appointed in accordance with the constitution of the Centre/Institute, subject to approval of the Dean or Vice-Principal (Research), as appropriate, and the appointment will be in effect until the end of the five year period, or for the term arranged. The Director is eligible for re-appointment for the following five-year period, to a maximum of ten years.

The Provost and Vice-Principal (Academic) will appoint the Centre/Institute Director on the recommendation of the Dean or Vice-Principal (Research). An appointment letter will be issued for the full-term of the appointment.

Each Centre or Institute shall be authorized initially for a period of up to five years.

Towards the end of the penultimate year, the operations of the Centre/Institute and its leadership will be formally examined by a review committee, to be named by the Dean or Vice-Principal (Research), as appropriate.

The review committee will normally recommend either:

- a. that the Centre/Institute be authorized for a further period of up to five years, or
- b. that the Centre/Institute be phased out of existence during the Tc 0 Twd(r)-D(r V)

After consideration by SARC, the final documentation, with a recommendation from SARC will be submitted to the Queen's University Planning Committee (QUPC) for review and comment. Following the QUPC review, the documentation and recommendations will be forwarded to Senate for final approval.

It is the responsibility of the Director of the Centre or Institute to ensure that the activities of the Centre or Institute operate in a manner consistent with University or Faculty policy. The Director must also maintain effective communication with the Dean or Vice-Principal (Research), particularly with regard to information on promotional brochures, appeals for funds, staffing, offers to prospective students, and negotiations concerning contract research and grants from funding organizations.

The frequency of Advisory Board meetings may vary depending on the needs of the Centre/Institute but it is expected that the Research Centre/Institute Advisory Board will meet a minimum of two times per year. A copy of the Board meeting minutes are to be attached to the Annual Report.

The Advisory Board is to be chaired by an individual other than the Director of the Centre/Institute and it is the responsibility of the Chair to call the Board meetings. Board meetings must include a mid-year and year-end review of the financials of the Centre/Institute. The end-year review must include detail of in-year revenues and expenditures, as well as a financial forecast for the Centre/Institute for the coming fiscal year.

The Provost and Vice-Principal (Academic) will appoint the Research Centre/Institute Advisory Board on the recommendation of the Dean or Vice-Principal (Research).

Annually, by the last working day of February each year, the Director of the approved or

members of the SARC for comment and approval in principle. Members will be given one week to respond to the request. In the absence of any substantive objections, approval in principle will be granted by the Chair of the SARC subject to discussion and ratification at the next full SARC meeting.

The proposal will then be considered by the SARC at its next meeting. Once approved, the entity will normally be established and recognized for a period to June 30th, two years following the year of approval.

Upon approval or approval in principle, the entity may use the approved name on letterhead, in promotional material, in applications to external agencies, etc.

By January 31 in the year that the entity's recognition terminates, the entity shall submit a report to the Vice-Principal (Research) requesting an extension of their recognition as an approved entity. The following information must be included:

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Revised reporting requirements as indicated in this document will come into effect for all reports due in February 2011. Revisions to the Centre/Institutes' constitution and operating procedures to be in conformance with this revised policy will be implemented prior to the next 5 year review of the Centre/Institute.

Existing approved entities other than Centres and Institutes will be notified by the Vice-Principal (Research) of the new procedures and the period of approval will be staggered to allow renewal of existing groups in a staggered manner over the period 2011 – 2014. These entities will only be required to provide a report as they approach the end of their approved period as defined in section 5.2. These entities should report any change in leadership to the Vice-Principal (Research) as they occur according to section 5.3.

An inventory of Centres, Institutes and other entities at Queen's is maintained by the University Secretariat. Four categories are used:

A. [Centres and Institutes](#) (established at Queen's University)

University Centres and Institutes
Faculty Centres and Institutes

Centre or Institute

The terms "Centre" and "Institute" ar

1. Proposed name
2. Rationale for establishment of the Centre/Institute may include:
 - Mandate
 - The importance for Queen's and alignment with the Strategic Plan
 - Why now?
3. Faculty involvement:
 - Preliminary membership list (Individuals listed must have agreed to be listed)
4. Proposed structure of Centre/Institute
5. Name of proposed Interim Director and means by which the person was selected
 - Priorities for the Interim Director
6. Interim Advisory Board
 -

- ii. computer services,
- iii. animal care services
- d. Equipment or source materials
- e. Supplies

- a. As direct University financial support usually cannot be provided, the budgetary expenses under 8 must be met by grant and contract funds or by contributions from departments, Faculties or the School of Graduate Studies. What method is proposed in this case?
- b. Is there a need for any deviation from normal University financial and administrative policies?

Will members of the Centre or Institute who are full-time members of a department receive any personal remuneration from the Centre or Institute at any time?

It is recognized that the formulation of a constitution is specific to the type of entity envisioned by its investigators. As such, the administrative structure of a Centre or Institute must reflect its intent and complexity. The roles and responsibilities of all interested parties should thus be outlined. It is not the purpose of a constitution to create an unwieldy administrative structure, but rather to protect both the rights and obligations of the participants and the University.

1. Name:

2. Objectives, as these may affect:

- a. society,
- b. the University,
- c. the disciplines involved,
- d. the staff,
- e. the students.

3. Membership:

- a. classes - such as member, ex-officio member, associate member,
- b. eligibility for membership,
- c. voting rights,
- d. founding members,
- e. procedure.5 -1.22 416.31 0 Td()TjEMC /P A\MCID T0 1 Tf0.005 Tc Ic 0 Tw5,

- g. amendment of Constitution

5. Relationship to the University:

- a. the Centre or Institute will be governed by the pertinent regulations of the Senate,
- b. the Centre or Institute will maintain liaison with the University, the procedures for which shall be specified in its constitution and will submit reports at the prescribed intervals.

6. Closure

- a. disposition of assets upon closure,
- b. allowance for costs related to closure to be included in the budget for the final year of operation.

7. Intellectual Property

- a. statement on any specific agreements that will be prepared in regard to intellectual property stemming from activities of the Centre or Institute
- b. statement recognizing the requirement to follow the guidelines set out by Senate and the QUFA Collective Agreement.

1. Upon receipt of the letter from the Secretary of the Senate indicating the upcoming review of a Centre/Institute, contact the Centre/Institute Director to indicate that a five year review process will be taking place and that documentation will be required for the Review Committee
 - I. Documentation requested may include the following:
 - i. Annual reports
 - ii. Minutes of the Advisory Board
 - iii. A five year budget and strategy
 - iv. Constitution of Centre/Institute
2. Identify potential Advisory Review Committee candidates:
 - Normally 3 to 5 members, plus Committee Secretary
 - Committee candidates may include arm's-length members with little to no knowledge of the Centre/Institute under review and those who may be members of the Centre/Institute.
 - Committee should be balanced and be knowledgeable of the key areas of the Centre/Institute's research mandate
3. Issue formal invitation to Committee members
4. Upon confirmation of the Committee members, the Dean or Vice-Principal (Research) will announce the review of the Centre/Institute, the members of the Committee and request input from the Queen's community
5. Initial Committee meeting organized and may include:

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6. The subsequent Committee meetings should include a presentation or Q&A with the Centre/Institute Director and discussion of further information required to complete the review
7. Draft a final report, including recommendations
8. Organize Committee sign-off on final report
9. Ensure a report is provided to the Dean or Vice-Principal (Research) for review
10. Send report to the Centre/Institute Director
11. Send report to Faculty Board (if faculty-based Centre/Institute) then to Senate Advisory Research Committee (SARC) or directly to SARC (if university-based) for review, comment and approval. Further modification may be required and requested.
12. Once approved, SARC will forward the final documentation, including its recommendation to Queen's Planning Committee (QUPC) for review and

Yes	No

Total Revenues	
Total Expenditures	
Balance Surplus/ (Deficit)	

Expected Revenues	
Expected Expenditures	
Expected Balance Surplus/(Deficit)	

—

Grants			
Contracts			
Other funding sources			

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*Include other expense types as necessary

	Salaries and Benefits			
	Equipment and Computer			
	Supplies			
	Travel			
	Printing			
	Repairs and Maintenance			
	Professional Fees			

1.					
2.					
3.					

Signature of Director

Date