

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
<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> <p>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.</p> <p>(As stated in the revised policy, 4.3, Reporting Procedures, page 7)</p>

Memo



To: Georgina Moore, University Secretariat

From: Steven N. Liss, Vice-Principal (Research)

Date: September 8, 2010

Re: Revised Procedures Governing the Establishment of
Research Centres and Institutes

Vice-Principal (Research)
251 Richardson Hall
Queen's University
Kingston, ON K7L 3N6
Tel: (613) 533-6933
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At its meeting of June 7, 2010, the Senate Advisory Research Committee (SARC) members reviewed revisions to the *Procedures Governing the Establishment of Research Centres and Institutes* policy, and recommend it to Senate for final approval. A list of major changes is attached for your convenience. If you have any questions please, do not hesitate to let me know.

Steven



Memo



To: Bonnie Stewart
From: Sonja Verbeek
Date: May 28, 2010
Re: Senate Policy on Centres and Institutes

Vice-Principal (Research)
251 Richardson Hall
Queen's University
Kingston, ON K7L 3N6
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1. The "Procedures Governing the Establishment, Reporting and Review of Research Centres, Institutes, and other entities at Queen's University" was brought to the Deans/Associate Deans (Research) meeting held on January 25, 2010 for discussion.
 2. It was then emailed for comments and review to the Deans/Associate Deans (Research) and Research Centre and Institute Directors on March 22, 2010 requesting feedback from both groups.
 3. It was revised and sent again to the Research Centre and Institute Directors on April 23, 2010 after changes made from feedback.
 4. In a final request for comments on the report, it was brought to the Deans/Associate Deans (Research) meeting on May 18, 2010 and emailed to the Research Centre and Institute Directors on May 20, 2010.
 5. Subsequent feedback has been received from Research Centre and Institute Directors and Deans/Associate Deans (Research) leading to the final version of the policy.

Major Changes 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.
10. Increased accountability: The Centre/Institute Director may be expected to meet with a subcommittee of SARC to discuss their annual report and address any of SARC's concerns with the documentation provided (4.3); SARC has the mandate to 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.
11. Research Entities (5.0 to 5.3) – requirements for reporting and approval have been changed. Approval is for 3 years, with reporting required every 2 years
12. Conformity with Procedures outlined in the document (6.0 – 6.2)
13. New Appendices include:
 - i. Nomenclature: Centre vs. Institute and Faculty-Based vs. University-Based (II)
 - ii. Framework for Provisional Approval Proposal (III)
 - iii. Guidelines for Conducting a Five Year Review (VI)
 - iv. Terms of Reference for the Advisory Review Committee (VII)
 - v. Annual Report Template (VIII)
14. The Provost and Vice-Principal (Academic) will be issuing the letters for provisional approval and will sign letters of appointment for Centre and Institute Directors
15. The Queen's Planning Committee will now be reviewing all Centre and Institute approval documentation after SARC and prior to Senate

Procedures Governing the Establishment, Reporting and Review of Research Centres, Institutes, and other entities at Queen's University

Approved March 3, 1970.

Amended May 28, 1970; March 30, 1995; May 29, 2002, June 2010

1.0 Preamble

The Senate of Queen's University approved a set of "Procedures Governing the Establishment, Reporting and Review of Centres, Institutes and Groups at Queen's University" in March 1970. At that time, it was recognized that Research Centres, Institutes, and other entities such as Groups were desirable "when their objectives and scope of activities are unlikely to be realized through existing structures or through less formal arrangements".

Over the years, a number of Research Centres, Institutes and other entities have developed intellectual strength and have become recognized for the excellence of their research and scholarship. Over the course of time, other Centres, Institutes and entities have become inactive as opportunities, circumstances and the interests of participants have changed. This is recognized as a natural part of the lifecycle of the research enterprise.

The environment for research and scholarship has changed substantially in recent years. Partly as a result of new programs and the evolving expectations of government and society, opportunities for the funding of collaborative work are now much greater. It is recognized that multidisciplinary or interdisciplinary teams of researchers or scholars can address problems and issues of both a fundamental and an applied nature in a synergistic manner. We, therefore, need to facilitate the establishment of such teams to enhance collaboration and to take advantage of opportunities.

Research Centres and Institutes play an integral role in advancing the research mission and in attracting and retaining leading researchers at Queen's. Research Centres and Institutes also are excellent indicators of research strengths and at Queen's, Research Centres and Institutes also are utilized as a vehicle for promoting and facilitating multidisciplinary collaboration.

This document supersedes the 2002 Senate "Procedures Governing the Establishment, Reporting and Review of Centres, Institutes and Groups at Queen's University". It recognizes that the University must have procedures in place for the establishment, review and ongoing monitoring of Centres and Institutes. It also recognizes the desirability of less formal entities, including Groups, Units, Laboratories, Networks, Circles, etc. to help scholars and researchers collaborate and to establish recognition that may enhance external funding opportunities. Since Centres, Institutes and other

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.

2.0 Exclusions

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.

3.0 Establishment of Research Centres and Institutes

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.

Please see **Appendix II: Nomenclature** for the **differentiation between Research Centres and Institutes** and for the scope of **Faculty-based vs. University-based Research Centres/Institutes**.

Please see **Appendix III** for the detailed requirements of the **Provisional Approval Proposal**.

Once approved by the Dean or the Vice-Principal (Research), the submission will be sent to the Office of the Vice-Principal (Research) for review by the SARC. The SARC will make a recommendation to the Provost and Vice-Principal (Academic), who may then grant provisional status or request further information, depending upon the recommendation

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.

Each provisionally approved Research Centre/Institute must have an Interim Director and Interim Advisory Board appointed by the Provost and Vice-Principal (Academic) on the recommendation of the Dean or Vice-Principal (Research).

3.1 Procedure for Achieving Formal Research Centre/Institute Status

During the twenty-four-months of the provisional approval period, the proponents of the Research Centre/Institute must complete the required documentation to seek formal approval for Centre/Institute status and ensure that the documentation is submitted to the Dean or the Vice-Principal (Research), as appropriate, at least three months prior to the end of the provisional approval period. Not doing so will normally result in the revoking of provisional status.

Please see **Appendix IV** for the detailed requirements of the **Formal Proposal for Research Centre/Institute Status**.

3.1.1 Formal Proposal

The proponents should prepare a formal proposal in accordance with Appendix IV and Appendix V for submission to the Dean or Vice-Principal (Research), as appropriate, at least three months prior to the end of the provisional status period.

3.1.2 Establishment of an Advisory Review Committee

Once the Dean or Vice-Principal (Research) receives the formal proposal, they will appoint an Advisory Review Committee to consider the application of the proposed Centre or Institute. This Committee will normally include some of the heads or representatives of relevant departments and of other Research Centres/Institutes having direct interest in the proposal. The Dean or Vice-Principal (Research) will make a public announcement of the formation of this Advisory Committee and will invite comments from interested members of the Queen's community.

Please see Appendix VI for the Terms of Reference for the Advisory Review Committee

In consideration of the application, the Advisory Review Committee may request additional information or suggest modifications to the proposal and will meet with the

interim Director of the Centre/Institute.

3.1.3 Faculty Board and SARC Review of the Proposal

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.

3.1.4 Final Step - Senate Approval

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.

3.2 Research Centre/Institute Director

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.

3.3 Five Year Review Procedures

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

Please see Appendix VII for the Guidelines for Conducting a Centre/Institute 5 year review.

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 remaining year of its authorized life.

Additionally, the Committee will make a recommendation concerning the renewal of the Director of the Centre or Institute. It is also the purview of the Advisory Review Committee to make recommendations that will strengthen the operations of the Centre/Institute.

Please see Appendix VI for the Terms of Reference for the Advisory Review Committee.

Once the Review Committee's report is finalized, it will be forwarded to the Centre/Institute Director, Dean or Vice-Principal (Research), as appropriate. If the Centre/Institute is faculty-based, Faculty Board must review and approve the Committee's report prior to submission to SARC for consideration. For a university-based Centre/Institute, the report will be forwarded directly from the Vice-Principal (Research) to SARC for review.

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.

4.0 Liaison, Reporting, Review and Closure Procedures for Research Centres and Institutes

4.1 Liaison

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.

4.2 Research Centre/Institute Advisory Board

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. **Please see Appendix VIII for the Annual Report Template.**

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).

4.3 Reporting Procedures

Annually, by the last working day of February each year, the Director of the approved or "provisionally approved" Centre or Institute must submit to the Vice-Principal (Research) the following documents:

- a. An annual report, summarizing the activities, income and expenditures of the past calendar/fiscal year (The Centre/Institute may choose the reporting period, provided it is used consistently from year to year).
- b. A plan of activities for the forthcoming year, including anticipated income and expenses.
- c. Any changes in research direction or administration that may necessitate altering the constitution as originally approved by Senate.
- d. Queen's University Research Centres and Institutes Annual Report Template may be found in Appendix VII.

The Office of the Vice-Principal (Research) will ensure all Annual Reports for faculty-based Centres/Institutes are collected and forwarded to the appropriate Dean. All Centre/Institute Annual Reports will be reviewed by the SARC. A formal letter from SARC will be sent to each Centre/Institute acknowledging receipt of the Annual Report. Review of the reports may raise questions requiring further clarification or requests for information and it is expected that the Centre/Institute will provide a timely response.

The Director of the Centre/Institute may be required to meet with a sub-committee of SARC to respond to questions regarding the annual report. The sub-committee may provide recommendations to SARC regarding the operation of the Centre/Institute. SARC has the mandate to 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.

4.4 Closure Procedures

The University reserves the right to close a Centre or Institute during its approved period for financial exigency or other reasons, with due regard to human resources policies and employment standards legislation.

In the event that a Centre or Institute is not recommended for renewal during its scheduled review, if the University closes a Centre, or if a "provisionally approved" Centre fails to submit a Centre application to Senate or it is not approved, the following procedure is to be followed:

An individual at arm's length from the Centre/Institute is to be appointed by the Dean or Vice-Principal (Research) to review the assets, liabilities and ongoing obligations of the Centre/Institute and to make recommendations on the disposition of assets and liabilities. As part of this review, a financial statement is to be presented and certified either by Queen's University Financial Services or an external auditor as may be needed/appropriate for the complexity of the Centre/Institute financial situation.

Upon acceptance of the reports outlined above, and upon consultation with the Board of the Centre or Institute, the Dean or Vice-Principal (Research) will undertake to implement the recommendations contained in the reports, in accordance with existing Queen's University policies and procedures.

5.0 Establishment and Recognition of Research Entities other than Centres and Institutes

A group of faculty may form a collaborative entity to further their research or scholarly activities and may seek recognition by application to the Vice-Principal (Research). The differentiating characteristic between a Research Group and a Research Centre or Institute is the maturity and complexity of the entity in terms of existing level of collaboration, the level of resources required by the research team and the formal structures governing the Centre and Institute.

5.1 Recognition and Initial Approval of an Entity's Name

Any appropriate name reflecting the activities of the entity may be selected (subject to approval by SARC), excepting Centre and Institute (and the names of academic units, i.e. Department, Faculty, School, etc.) The letter seeking recognition of the entity should include the following information:

- proposed name of the entity
- rationale for the establishment of the entity
- a short description of the planned research or scholarly activities
- the names of faculty who are supportive and active participants (all individuals listed must have agreed to be involved in the membership)
- the name of the Coordinator and the means by which this person was selected
- mode of operation
- signed approval from the appropriate Department Head(s) and Dean(s) from whom the Entity will draw its membership
- signature of Coordinator and date

These entities will not receive funding from the University and normally will not have special requirements (space, staffing, etc.). If there are any special requirements, these must be specified.

The letter proposal will be submitted to the Senate Advisory Research Committee (SARC) for approval. In the event that the next scheduled meeting of the SARC is not within a one-month period, the research group may request an "approval in principle" from the SARC. In this instance, the Chair of the SARC will forward the full proposal to

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.

5.2 Renewal of an Entity's Approved Status

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:

- formal request for continuance of the entity's name
- summary of group activities over the past two years
- listing of those actively involved in group activities and their Department/Faculty affiliation
- any changes in the mode of operation
- the name of the Coordinator for the next three year period

If a report is not received by SARC within 30 days of the January 31st deadline, the entity will be considered inactive and its recognition will terminate on June 30th of that year. The SARC will include a listing of recognized entities in its report to Senate each year.

The request for renewal will be forwarded by the VP (Research) to the relevant Dean(s) for comment and then forwarded to the SARC for approval. Approvals will normally be for a period of three years.

5.3 Notification of Change in Leadership of an Entity

The Vice-Principal (Research) shall be advised of any change in leadership of the entity.

6.0 Conformity with Procedures Outlined in this Document

6.1 Centres and Institutes Reporting and Operational Requirements

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.

6.2 Research Entities Other than Centres and Institutes

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.

Appendix I:

Centres, Institutes and Other Entities at Queen's University

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

- B. [Research Groups, Units, Laboratories, Programs, etc.](#) (established at Queen's University)

- C. [Provisionally Approved Centres](#) (established at Queen's University)

- D. [Resource and Service Centres](#)

- E. [Groups, Centres and Institutes \(designated as such by external organizations\)](#)

All entities listed under Categories A, B and C are subject to the reporting and review requirements of this policy statement.

Appendix II:

Nomenclature

Centre or Institute

The terms “Centre” and “Institute” are often used interchangeably. However, for the purposes of differentiation, normally a Research Centre is established to coordinate and advance the research activities of a number of faculty across several departments and is often a vehicle for interdisciplinary research. A Centre may act as an equivalent to an autonomous unit within the internal structure of the university.

An Institute is established for similar reasons, excepting that the activities may include more formalized structures, including the offering of credit courses and degree programs (e.g. collaborative graduate program) and/or may involve very significant funding and/or high level interaction with other universities. An Institute may act as an equivalent to an autonomous unit within the internal structure of the university.

In both cases, the proponents will have had a record of successful collaboration, and it will be evident that there are substantial opportunities to generate financial support for the maintenance of a modest administrative infrastructure and a long term program of research and scholarship. A Centre may evolve into Institute status.

Faculty-Based or University-Based

Faculty-based Centres and Institutes are those which can be identified as significantly positioned within one Faculty. Although Faculty-based Centres may have extensive space, infrastructure and financial structures, and occasionally the Vice-Principal (Research) may assist in coordination of inter-university or inter-institutional activity, they are predominantly based within one particular Faculty enabling oversight at the Decanal level.

University-based Centres and Institutes will involve such extensive financial implications for more than one Faculty, and/or complex relationships with multiple faculties or institutions, that it is not reasonable to expect one Dean to provide oversight and, therefore, it is essential that oversight be provided at the VPR level, in consultation with all affected Deans.

Appendix III

Framework for Provisional Approval Proposal

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
 - Membership and rationale for nomination
 - Method of selecting a Chair
7. Physical and human resources needed
 - Physical resources
 - Human resources
 - Source of support for the provisional period
 - Budget
8. Signature of Department Heads supporting the initiative
 - Letters of support from affected Department Heads and Dean(s)
9. Proposed timeline for submitting the required documentation for obtaining formal approval

Appendix IV:

Structure of the Formal Proposal for Research Centre/Institute Status

The Proposal will normally include the following components:

1. Introduction

- a. This should briefly summarize the context and proposal

2. Purposes and Functions

Respond to the questions below as appropriate:

- a. What is the main purpose of the proposed Centre or Institute?
- b. How will the Centre or Institute perform its functions (research, publication, etc.)?
- c. Will the Centre or Institute cover a field of research not now adequately or readily covered within an existing department, Centre or Institute?
- d. What department within Queen's and department at other universities will be significantly active and involved in the activities of the Centre/Institute?
- e. How will the Centre/Institute facilitate or influence the work of
 - i. Undergraduate students?
 - ii. Graduate students?
 - iii. Post-doctoral trainees?
 - iv. Faculty members?
- f. In what respects might it enhance the reputation of the University?

3. Membership

Respond to the questions below as appropriate:

- a. Have the proponents of the Centre or Institute been working together informally, and if so for how long, and what numbers of students have been involved?
- b. If outside groups will be represented, to what extent, and how are they chosen?
- c. Which are the critical departments with respect to drawing membership?
- d. Will all members of the Centre or Institute also hold positions in an established department? Will members seek exemption from any normal departmental responsibilities?
- e. Will membership be continuing or short term?
- f. Will members be brought to Queen's to work on their own projects? If so, what are the sources of such members and the probable means of financing them?

4. Constitution

Provide a constitution based on the structure given in Appendix V

5. Organization and Liaison

Respond to questions below as appropriate:

- a. In what ways, if any, does the constitution of the proposed organization differ from that envisaged in Appendix V?
- b. Does the formation of the Centre or Institute have the support of the heads of all the departments involved?
- c. Does the formation of the Centre/Institute have the support of the Deans of all departments involved?

6. Staffing and Physical Requirements

Respond to the questions below as appropriate:

- a. Will a space allocation be required? If so, how extensive might this be?
 - i. immediately?
 - ii. within five years?
 - iii. within ten years?
 - b. Is it necessary that any space required be i) directly associated with certain departments? ii) on the main campus?
 - c. Is it proposed that there be a professional staff of the Centre or Institute who are not staff of a department?
 - d. What office and administrative staffing is proposed?
 - e. What technical staffing is proposed?
- 7.** What special demands might be made on library, computing or other University services?

8. Five Year Budget

Provide a tentative five-year budget, according to the following categories:

- a. **Salary requirements**, including benefits, for:
 - i. university staff,
 - ii. research staff,
 - iii. administrative staff,
 - iv. student assistants
- b. Space requirements for:
 - i. research,
 - ii. administrative purposes,
 - iii. other
- c. Services such as:
 - i. special library services,

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

9. Financing and Support

Respond to the questions below as appropriate:

- 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?

10. Additional Documentation that may strengthen the request (e.g. letters of support)

Appendix V

Constitution

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.

Suggested Items to Appear in the Constitution

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. procedures for the election and/or appointment of members.

4. Administrative structure:

- a. administration of the Centre or Institute by a Director and a Board,
- b. process for selecting the Director initially and for review of its recommendation for a Director for the following five years as part of procedures of each 5-year review appointment of Director,
- c. process for appointing a new Director if a Director steps down before the end of their five-year term.
- d. election of Board including at least one Vice-Principal (Research) representative for university-based Centres/Institutes or a Dean's representative for faculty-based Centres/Institutes
- e. powers and responsibilities of Director
- f. powers and functions of Board

- 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.

Appendix VI:

Terms of Reference for the Advisory Review Committee

The Committee will:

- Advise the Dean or Vice-Principal (Research) on the viability of the Centre/Institute and make a specific recommendation on whether or not the Centre/Institute should be authorized to operate for a period of up to five years or be phased out of existence during the remaining year of its authorized life.
- Comment on the leadership and make recommendations regarding the appointment of the Director for the coming five years based on a review of past performance and consideration of the recommendation from the Centre/Institute.
- Make recommendations or suggestions that the Committee deems appropriate and helpful for the future development and operation of the Centre/Institute.
- As part of the review the Committee should:
 - Consider the appropriateness of the organizational structure as described in the Centre/Institute's constitution.
 - Consider the accomplishments of the Centre/Institute and include in their report an assessment of what has been achieved.
 - Review Centre/Institute documents, including, but not limited to:
 - Annual Reports
 - Minutes of the Advisory Board
 - A five year budget and strategy document prepared by the Centre/Institute
 - Meet with the Centre/Institute Director to discuss the current and future state of the Centre/Institute
 - Review the current operating budget and the reasonableness of the five-year budget and comment on any financial risks and benefits to the university over the next five years
 - Review the adequacy of the human resources for sustaining the Centre/Institute for a further five year period
- The Committee may decide to solicit feedback from Centre/Institute members and Department Heads on the contributions of the Centre/Institute to the individual, department or university

Appendix VII:

General Guidelines for Conducting a Centre/Institute Review

The Office (Dean, Faculty, Vice-Principal (Research)) conducting/overseeing the review should:

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:
 - I. Review of the *Senate Procedures Governing the Establishment, Reporting and review of Research Centre, Institutes, and other entities at Queen's University*
 - II. Review of the initial documentation from the Centre/Institute
 - III. Review of feedback from the University Community, if any
 - IV. Identification of the process or actions for review, for example:
 - i. Identifying stakeholders with whom Committee may wish to meet
 - ii. Soliciting input from key individuals or Department Head(s)
 - V. Confirmation of dates for future meetings and timelines

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 comment and a recommendation from QUPC will be sent to Senate

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

Appendix VIII:

Queen's University Research Centres and Institutes Annual Report Template

SUMMARY Sheet

NAME of Centre/Institute: _____

Mailing Address: _____

Reporting Year: _____

Director of Centre/Institute: _____

Will Director continue next year? Yes ☐ No ☐

If no, please name proposed new Director: _____

Alternative Centre/Institute contact: _____

Comments: _____

NOTES:

- 1) Add rows in the tables as necessary or append information where noted
- 2) Indicate if financial values are based on fiscal or calendar year. Please ensure all values are reported by the same year type throughout the report – Fiscal Year ☐ Calendar Year ☐
- 3) Activities may be reported on a fiscal or calendar year basis and do not need to match the time frame utilized for financial reporting. The timeframe for reporting of activities must, however, be consistent throughout the report and from year to year. – Fiscal Year ☐ Calendar Year ☐

1. Complete the table below for the past year* (Use data from the “Income Statement from the PAST Year” found later in this report (Centre/Institute funds only))

Total Revenues	
Total Expenditures	
Balance Surplus/ (Deficit)	

2. Complete the table below for the forthcoming year* (Use data from the “Anticipated Budget for Forthcoming Year” found later in this report (Centre/Institute funds only))

Expected Revenues	
Expected Expenditures	
Expected Balance Surplus/(Deficit)	

***NOTE: Provide details ONLY for Centre/Institute funding (Do not include research grants that do not provide funds to support the Centre/Institute)**

SUMMARY SHEET

3. Complete the table below to indicate any anticipated research project funding that will generate funds for the Centre/Institute in the forthcoming year.

	Project Title or Theme	Anticipated Total Value (annualized)	Anticipated Funding Generated to Support the Centre/Institute
Grants			
Contracts			
Other funding sources			

4. If you anticipate a DEFICIT in the forthcoming year, please indicate how you plan to address it.

SUMMARY SHEET

5. For members of the Centre/Institute indicate the following for the PAST CALENDAR YEAR (append list of items to the end of the report):**

Item	Quantity
Number of Centre members (they must all have agreed in writing to have their names included as members of the Centre).	
Total value of NSERC/CIHR/SSHRC grants held by centre members that do not directly generate funds for the centre but do generate indirect costs of research for the University.	
Number of conferences organized	
Number of lectures organized	
Number of external awards/honours	
Number of journal papers published	
Full conference papers published	
Books published	
Reports published	

** Do not double count those with two or more authors, or co-PIs, who are members of the Centre

6. Graduate students and post-doctoral fellows (HQP) associated with the Centre/Institute over the past calendar year***

	Number
Number of RAs Supervised	
Number of PDFs Supervised	
Number of PDFs Completed	
Number of PhD Students Supervised	
Number of PhD Students Graduated	
Number of Master Students Supervised	
Number of Master Students Graduated	
Other	

*** Do not double count co-supervised HQP

SUMMARY SHEET

- 7. Significant Planned Activities for the Forthcoming Year (if you need more space, please append items to the end of the report)**

- 8. Issues or problems encountered over the past year (explain)**

Financial Reporting

1. List all account codes under the Research Centre/Institute's purview NOTE:
Provide details **ONLY** for Centre/Institute funding (Do not include research grants

Account Name	Account Number

that do not provide funds to support the Centre/Institute)

2. Income Statement from the PAST Year (Centre/Institute funds only)* NOTE:
Provide details ONLY for Centre/Institute funding (Do not include research grants
that do not provide funds to support the Centre/Institute)

*Include other expense types as necessary

	Item	Budgeted	Actual	Percentage Variance
Revenues				
Expenditures				
	Salaries and Benefits			
	Equipment and Computer			
	Supplies			
	Travel			
	Printing			
	Repairs and Maintenance			
	Professional Fees			
	Overhead			
	Miscellaneous*			
	Total Expenditures			
Net income				

3. Financial Variance Report

Please refer to the variances reported in the “Income Statement from the PAST Year” and explain in the table below any variances greater than 20%

	Item	% Variance	Explanation
1.			
2.			
3.			

4. Anticipated Budget for Forthcoming Year (Centre/Institute funds only)* NOTE:
Provide details ONLY for Centre/Institute funding (Do not include research grants
that do not provide funds to support the Centre/Institute)

*Include other expense types as necessary

	Item	Budgeted	Actual	Percentage Variance
Revenues				
Expenditures				
	Salaries and Benefits			
	Equipment and Computer			
	Supplies			
	Travel			
	Printing			
	Repairs and Maintenance			
	Professional Fees			
	Overhead			
	Miscellaneous*			
	Total Expenditures			
Net income				

Current Centre Activities

1. Staffing (List all non-academic staff including their title, appointment date and duration of contract)

Name	Title	Appointment Dates	Contract Duration

2. Faculty members actively involved in the Centre/Institute (List names and primary departments) NOTE: All people listed **MUST** have agreed in writing to be listed

Name	Department

3. Non-faculty members and staff actively involved in the Centre/Institute (e.g., community researchers, partners, other Queen's staff not employed by the centre, etc.) (List names and primary departments or affiliations) NOTE: All people listed **MUST** have agreed in writing to be listed

Name	Department/Affiliation

4. List of research projects with funding attributed to the Centre/Institute

	Project Name	Principal Investigator	Total Funding	Funding Source	Start/End Dates
1.					
2.					
3.					

5. Advisory Board (List members, their institutional affiliation and length of term)

NOTE: Provide a copy of minutes from all Advisory Board meetings

Member	Institutional Affiliation	Term Length

Dates of Board Meetings:

_____	_____
_____	_____

Signature of Director

Date