**Queen’s Research Centres and Institutes**

**Operational Plan Guidelines**

Please review the [*Policy on the Establishment of Research Centres and Institutes*](https://www.queensu.ca/secretariat/policies/senate/policy-establishment-research-centres-and-institutes), the [*Procedure for the Establishment, Categorization, Renewal and Dissolution of Research Centres and Institutes (Procedure A)*](https://www.queensu.ca/secretariat/policies/senate/policy-establishment-research-centres-and-institutes/procedure-establishment) and the [*Procedure for the Administration of Research Centres and Institutes (Procedure B)*](https://www.queensu.ca/vpr/sites/vprwww/files/uploaded_files/RCI/RCIsProcedureB-Final.pdf) in advance of preparing your Operational Plan.

An Operational Plan is required for the establishment, renewal and the ongoing administration of Research Centres and Institutes (RCIs). The Operational Plan will be approved by the Vice-Principal (Research) and included as part of the formal application to Senate Advisory Research Committee (SARC) for the establishment of an RCI. RCIs applying for renewal will be required to submit an updated Operational Plan. RCIs should develop their Operational Plans assuming that no additional central resources will be provided.

**Please include the following sections in your Operational Plan:**

1. Research Centre/Institute Name.

2. Director/proposed Director (name, appointment, Department). Directors are normally appointed for a five-year term and must be a full-time faculty member of Queen’s University.

3. Outline the proposed governance structure, including any existing members of the Advisory Board (Tier 1 only) if applicable. Provide an overview of any other committees, groups, networks, etc., associated with the governance of the RCI.

4. List all individuals, including their roles, who are directly involved in the management and administration of the RCI. Provide an organizational chart, which illustrates reporting relationships, roles and responsibilities including an overview of the content and frequency of reporting, to whom, etc.

5. List all Faculties/Departments/Schools and other internal (e.g., shared services) and external entities, which are directly involved in/support the operations of the RCI.

* describe the nature of the relationship with these entities
* include the authorized documentation indicating support (financial and/or in-kind)

6. Provide a financial plan, developed in conjunction with the relevant Faculty/Faculties, which includes the following:

* Five-year budget (see attached template). Tier I RCIs are expected to be supported, in part, by the relevant Faculty/Faculties.
* Describe the measures the RCI will undertake to promote financial sustainability beyond the five-year approval period
* Staffing plan and physical space requirements (including any in-kind contributions), if applicable
* Requirements for research tools and equipment, including IT infrastructure, if applicable

7. Describe the risk assessment process the RCI underwent and include the related risk management framework. A risk assessment is the process whereby RCI leadership identified risk factors that have the potential to cause harm (financial, reputational, etc.) to the RCI or the university. Level of risk management activity should be determined based on the size, complexity and risk profile of the RCI and its associated research activities. Please see the template provided in the Operational Package.

8. Describe the RCI’s activities related to naming, branding, promotional material and outreach activity, describing relevant consultation with Queen’s University Relations and Marketing departments as necessary to ensure consistency with institutional branding strategies and visual identity.

9. Provide an outline of dissolution and closing procedures, including responsibility for costs and any residual liability, should the RCI be shut down.

10. Provide an IT infrastructure and security overview; this should include identifying the role(s) responsible for day-to-day technology needs and managing technology related risks, including the protection of sensitive data. This outline should explain the processes in place for oversight to ensure the use of technologies within the unit is actively monitored, assessed as necessary, and document any risk mitigation plans required based on the IT risk profile of the unit.