

Procedure for the Administration of Research Centres and Institutes (Procedure B)

The following Procedure is under the purview of the Vice-Principal (Research) and is in accordance with the Senate [Policy on the Establishment of Research Centres and Institutes](#). It is referenced in that document as *Procedure B*.

Scope

Procedure B focuses on the development of the Operational Plan required for the establishment, and the ongoing administration of RCIs. The development of the Operational Plan will provide the process through which the responsibilities of the Faculties, the Vice-Principal (Research), Provost, other administrative units and relevant stakeholders will be delineated to position the RCI for success.

Operational Plan to support the Establishment of Research Centres and Institutes

The application for the establishment of an RCI must include both a Research Plan and an Operational Plan; please refer to the [Procedure for the Establishment, Categorization, Renewal and Dissolution of Research Centres and Institutes \(Procedure A\)](#) for the relevant information for the Research Plan.

The Vice-Principal (Research) will collaborate with the applicants of a proposed RCI and other relevant parties, such as the Associate-Deans (Research) of associated Faculties, to provide specific guidance on the required elements of the proposed Operational Plan. The role of the Vice-Principal (Research) is to ensure the RCI is positioned administratively for success. This may include establishing an appropriate administrative committee to support the development of the Operational Plan; the structure of such a committee will vary based on the complexity of the proposed RCI (i.e., interfaculty, interdepartmental etc.). 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.

Operational Plans are to be developed assuming that no additional central resources will be provided. If SARC and Senate recommend Tier 1 categorization, and additional central resources are provided, the Operational Plan will be modified accordingly.

Operational Plan Details

RCIs require operational clarity at establishment and through periodic review. The Operational Plan will provide clarity regarding the administrative and oversight structures, which will support the RCI in achieving its research mission, as well as detail the relationships between the RCI and other elements of the university. The Operational Plan

will outline the mechanisms to manage the overall affairs of the RCI, realize opportunities and resolve conflicts that may arise.

While the Operational Plan will have mandated sections and requirements, each RCI will have its own unique characteristics, which needs to be considered at establishment, at the various stages of review and in the coordination of the ongoing relationships with other entities in the university. Furthermore, the category level assigned by SARC may necessitate modification to the Operational Plan.

The Operational Plan must include a list of all Faculties/Departments/Schools and/or other internal and external entities, which are directly involved in the operations of the RCI, describe the nature of the relationship with these entities, and include the authorized documentation indicating support (financial and/or in-kind).

In addition, the Operational Plan will include the following activities/areas:

Governance

- Appointment of leadership and management structure
 - The scale of the management structure will depend on the scope and nature of the proposed RCI's activities; however, all RCIs must have a Director and
 - clear reporting relationships.
 - A proposed Director will normally be appointed for a five-year term (to coincide with the natural review and renewal process of RCIs) and will be a full-time faculty member of the university.
- Advisory Board model and membership
 - All Tier 1 RCIs will be required to have an Advisory Board to guide the implementation of the Research Plan and support operational decisions:
 - The membership of the Advisory Board should complement the membership of the proposed RCI and have the necessary knowledge and skills to provide valuable advice and guidance to management of the RCI.
 - The Advisory Board will be proposed by the Director of the RCI; the Vice-Principal (Research) will formally appoint the members of the Advisory Board.
 - Specific Terms of Reference for the Advisory Board may vary, depending on the size and scope of the RCI; however, at a minimum it would be expected that the Advisory Board will meet at least twice per year.
 - Other boards, committees, groups, and/or networks may be appropriate and should be included as part of the Operational Plan.

Administrative Details

- Reporting and accountability
 - Agreement on content and frequency of reporting, to whom, etc.

- Financial plan, including a five-year budget
- Staffing plan
- Physical Space Requirements
- Research tools and equipment, including IT infrastructure
- Risk assessment details and processes
- Naming, branding, promotional material and outreach activity
- Dissolution and closing procedures, including responsibly for costs and any residual liability associated with a wind-down

Operational Plans are developed in collaboration with, and approved by, the Vice-Principal (Research). Relevant Faculties and Departments will be involved in the development of the Operational Plan and their formal endorsement and approval will be required prior to finalization of the Operational Plan.

Operational Updates, Reviews and Renewals

Once an RCI has been established, the leadership of the RCI will establish with the Vice-Principal (Research) a schedule for periodic reporting on its Operational Plan. The requirements of operational updates will be determined in coordination with the Vice-Principal (Research) and in alignment with requests from SARC for periodic updates. At minimum, the following information will be requested annually:

- Financial results and analysis
- Budget projections
- Minutes from the Advisory Board (if relevant)

The Director of the RCI may be required to meet with the Vice-Principal (Research), or designate, if there are questions relating to operational matters. The Vice-Principal (Research) will provide a regular update and notify SARC if there are any changes regarding the operations of an RCI.

RCIs in their first term will be required to present a detailed update to SARC, consistent with the requirements of an end of term review outlined in *Procedure A*, at the end of the second year of operation. This will also include an update to SARC from the Vice-Principal (Research) on the RCI Operational Plan; details will be required from the RCI.

As outlined in *Procedure A*, an RCI will undergo review if an additional term is being requested. At this stage, the RCI will be required to report on operational matters for the completed term and prepare an Operational Plan, in consultation the Vice-Principal (Research) and other relevant stakeholders, for the requested term. Should category status change as a result of the review process, the Operational Plan would be modified as appropriate.

Dissolution and Closure Procedures

The University reserves the right to close an RCI 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 an RCI is not recommended for renewal during its scheduled review, if the University closes an RCI, or if an approved RCI fails to follow the review schedule as outlined within this procedure document, an individual at arm's length from the RCI is to be appointed by the Vice-Principal (Research) to review the operations and ongoing obligations of the RCI and to make recommendations on the dissolution. As part of this review, a final statement of operations may be required 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 RCI's financial situation. Details on dissolution and closing procedures, including responsibility for costs and any residual liability associated with a wind-down, are to be included in the Operational Plan.

Other

RCIs may wish to evolve to more formalized structures including the offering of credit courses and degree programs. In that instance, the RCI must undertake an enhanced approval process to ensure that all other established university policies are followed.

Related Policies

<https://www.queensu.ca/secretariat/policies/senate/naming-policy>

<https://www.queensu.ca/secretariat/policies/senate/certificate-and-diploma-programs>

<https://www.queensu.ca/secretariat/policies/board-policies/affiliated-entities-policy>