



POLICY ON RESEARCH ORGANIZATIONS

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Research organizations are divided into three different types, based upon the scope, sources of funding and management structure. The three types of organizations are:

Research Group: An informal research organization involving a number of investigators with shared research objectives. A research group will not be formally recognized by Senate, but will be recognized by the Office of Research and Graduate Studies.

Research Centre: A research organization consisting of a minimum of 3 researchers and normally involving only Trent faculty, students or staff. A Research Centre will be formally recognized by Senate and the Board of Governors. There will be a management structure, a process for appointment of members, an operational plan, a budget, and possibly some assignment of space and appointment of dedicated research personnel. The Director will be appointed according to formal procedures (see Appendix I). A Research Centre is required to submit an annual report on research activities and finances to the Dean of Research and Graduate Studies.

Research Institute: A research organization that normally involves stakeholders from outside of Trent University (e.g. private sector, public sector, other universities or colleges), and may require significant investment by Trent University of financial, human and space resources. The establishment of this type of research venture requires a formal agreement with the University, and a budget that includes capital costs, operating costs and the salaries of the Director and staff. Agreements regarding Intellectual Property Management, sharing of any commercialization costs and revenues and the disbursement of research overheads will be key components of the formal agreement. A Research Institute will be approved by the Senate and Board of Governors of Trent after development of a business plan that projects a return on investment (financial or otherwise) over the life of the agreement. The Institute will have a formal administrative structure, with a Management Committee that includes the Vice-President Academic and Vice-President Administration of Trent University. The Director of the Research Institute will be recommended by the Management Committee to the Vice-President Academic, and the Board of Governors will approve the Director following a recommendation from the Vice-President. The Director of the Institute will be responsible for preparing an Annual Research Report and an Annual Financial Report for review by the Management Committee, before forwarding to the Vice-President Academic and the Board of Governors.

All proposals for the establishment of research organizations must initially be reviewed by the Dean of Research and Graduate Studies. In the case of Research Groups, this will largely be an advisory process, with all documentation to be deposited in the Office of Research and Graduate Studies as a matter of record. Proposals for the establishment of Research Centres and Institutes will involve negotiations for funding, space, etc. and therefore, will involve the following steps:

i) Consultation, commitment and design of a proposal by the prospective participants in the research endeavor to determine the parameters of the organization, degree of involvement of faculty members, space requirements, budgetary requirements and sources of funding.

ii) Consideration of a preliminary proposal by the Dean of Research and Graduate Studies and the Research Policy Committee, plus any faculty or staff from administrative units (e.g. Associate Deans, Human Resources, Purchasing, Finance, Physical Resources, Advancement) whose expertise might contribute to a thorough evaluation. The proposal should address the questions outlined in Appendix II and should include:

- a) A statement of the goals and objectives of the Centre or Institute; its value to the faculty and to the university.
- b) The projected research and administrative contributions of faculty involved in the Centre or Institute.
- c) Sources and expected levels of funding; proposed university commitments of space, facilities and human resources.
- d) Administrative and financial implications of the proposal.
- e) The term of the proposed agreement. Normally, the agreement will be for a term of 7 years, with an opportunity to renew the agreement.

iii) Following review, a final proposal will be prepared that addresses any comments from the review process. In the case of a Research Institute, a business plan will be prepared that describes the expected revenues and expenditures of the Institute and the prospects for return on investment (financial or otherwise) over the short, medium and long-term. This proposal will be submitted by the Dean of Research and Graduate Studies to the Vice-President Academic and Vice-President Administration, to be forwarded to Senate for consideration of the academic implications and to the Board of Governors for consideration of the financial implications of the proposal.

iv) One year prior to the term of operation of a Centre or Institute (i.e. normally every 7 years), there will be a review process to determine whether the organization will be renewed, renegotiated or terminated. The review will be conducted by the Dean of Research and Graduate Studies and the Research Policy Committee, and recommendations will be forwarded to the Vice-President Academic for consideration. The President will report to Senate and the Board of Governors on the outcome of the review and any request for renewal. A request for renewal will be evaluated according to the terms of reference used to evaluate original proposals.

Appendix I

Procedures for the appointment of the Directors of Research Centres

- 1) Following formal approval of a Research Centre, the members of the Centre will strike a personnel committee that will recommend a candidate for Director of the Centre to the Dean of Research and Graduate Studies. Normally, the term of the Directorship will be for 3 years. The Dean of Research and Graduate Studies will have the option of asking the Personnel Committee to recommend another candidate for the Directorship.
- 2) The Dean of Research and Graduate Studies will formally invite the candidate to take up the Directorship. Any negotiations regarding the conditions of appointment to the Directorship will be conducted between the candidate and the Dean of Research and Graduate Studies and the Dean of Arts and Science.
- 3) Following a satisfactory resolution of the conditions of appointment to the Directorship, the candidate will submit a written acceptance of the Directorship to the Dean of Research and Graduate Studies.
- 4) At the end of the term of the Directorship, the personnel committee of the Centre may submit a request for renewal of the Directorship to the Dean of Research and Graduate Studies. Along with this request, the Personnel Committee must submit a performance review of the incumbent to the Dean of Research and Graduate Studies

Appendix II

Questions to be addressed when preparing proposals

1. Purposes and Functions:

- a) What is the main purpose of the proposed research organization?
- b) Will the research organization contribute to the Trent University strategic research plan?
- c) Will the proposed research organization involve external partners, such as private sector companies, public sector agencies, non-governmental organizations, or other educational institutions (e.g. universities, colleges)?
- d) Will Trent University contribute significant resources to the proposed organization, including finances, space and human resources?
- e) How will the organization perform its functions (i.e. research, training, publications, library enrichment)?
- f) Will the organization cover a field of study already covered within an existing research organization or academic unit at Trent?
- g) Will the organization facilitate or influence the work of:
 - Undergraduate study?
 - Graduate study?
 - Faculty members?
- h) In what ways might the organization enhance the reputation of the University and help attract faculty and students?

2. Membership:

- a) Will the membership be restricted to faculty and staff at Trent University? If not, what outside group will be represented, to what extent, and how will they be chosen?
- b) Will the organization draw members from several academic units? If so, from which?

- c) Who will be eligible for membership and are there different classes of membership?
- d) Will members be exempted from normal departmental responsibilities?
- e) How will members be appointed and will membership be continuing or renewable?

3. Management:

- a) Describe the proposed organizational framework, including a description of the duties and responsibilities of the Director and other officers. In the case of Research Institutes, what will be the administrative relationship between the Director and the Management Committee?
- b) How will the Director and other officers be selected or appointed? Will there be a process in place to review the performance of the Director and/or officers?
- c) Will the Chairs of cognate academic units or members of the Trent administration be *ex officio* members of the organization?
- d) Does the organization have a plan for communicating with the academic and non-academic community?
- e) Will the organization include graduate students? If so, what is the proposed relationship to the Office of Research and Graduate Studies and to graduate programs at Trent in terms of:
 - Advertising and recruiting
 - Admissions
 - Student support
 - Student supervision

4. Staffing, Physical Requirements and Liability:

- a) Are separate offices, meeting spaces and laboratories required? Will these be needed immediately or in the medium/long term?

- b) Is space required in direct association with certain academic units? Is it necessary for this space to be on the Symons campus or at Traill College?
- c) What are the requirements for administrative and technical staff? Will there be professional staff in the organization who are not members of an academic unit?
- d) If there are requirements for permanent research staff, should these individuals be hired as Trent employees within a collective bargaining unit?
- e) What special demands might be made on the library, computing, communications, finance or other university services?
- f) What demands will be made on the university in terms of training (e.g. Health and Safety, Radiation Safety, WHMIS)?
- g) What are the potential liability issues for the university related to establishment of the research organization (i.e. financial, safety, ethics).

5. Financing and Support:

- a) What funds will be required from Trent University and when will these be required?
- b) Will the Advancement Office be involved in raising funds for the organization?
- c) What are the estimated total budgets of the research organization for the first year, after a 3 year period and after 7 years of operation and how could these be met?
- d) What financial arrangements are proposed with respect to the special demands referred to in 4d (above)? This can include payment of research overhead to Trent University.
- e) Will members of the research organization receive any personal remuneration from the organization at any time?

6. Commercialization of Research:

- a) Will there be opportunities within the research organization for commercialization of research?
- b) Potentially, how will Trent contribute to research commercialization?
- c) How will the revenues of commercialization be distributed among the members of the research organization?
- d) Will there be opportunities for Trent University to share in the revenues generated by commercialization?