

Category:	<i>Research</i>
Approval:	<i>Senate and Board of Governors</i>
Responsibility:	<i>Vice President, Research and International</i>
Date:	<i>Date initially approved: 2003</i> <i>Date of last revision: May, 2011</i>

Definitions:

Research Centre: a research organization constituted by Senate and the Board of Governors of the University consisting of a minimum of 3 Trent faculty members. Additional members may come from outside Trent, but external partners are not required. Research Centres will have an established management structure, a process for appointment of members, an operational plan, and a budget. The Director will be appointed according to procedures outlined below. A Research Centre is required to submit an annual report on research activities and finances to the Office of Research. Research Centres will be operationally and financially responsible to the University through the Vice-President Research and International (VP:RI).

Research Institute: a research organization constituted by Senate and the Board of Governors of the University that involves a minimum of 3 Trent faculty members, as well as partners from outside of Trent University (e.g. private sector, public sector, other universities or colleges). External partnerships also need to be formalized and documented following relevant University policies and procedures. The establishment of a Research Institute requires a formal agreement with the University, and a budget that includes capital costs, operating costs and the salaries of relevant staff. Agreements regarding Intellectual Property Management, sharing of any commercialization costs and revenues, and the disbursement of research overheads will be included in relevant agreements. A Research Institute will be approved by the Senate and Board of Governors of Trent after development of a business plan covering the life of the agreement. The Institute will have a formal administrative structure, with a Management Committee that includes the VP:RI (or designate). The Director will be appointed according to procedures outlined below. 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 VP:RI. All research institutes will be operationally and financially responsible to the University through the VP:RI.

Other Research Organizations: the University also recognizes that a number of more informal research organizations (e.g., research groups, research labs, and research collectives) also exist involving a number of investigators with shared research objectives. These informal research organizations will not be formally recognized by Senate or the Board of Governors, but can be recognized by the Office of Research.

Purpose/Reason for Policy:

The purpose of this policy is to define research organizations at the University, the intended scope of their activities, and their required governance and reporting structures.

Scope of this Policy:

This policy encompasses all Research Centres, Research Institutes, and similar organizations at Trent University that are not parts of administrative or academic units. A list of approved Centres and Institutes is maintained by the Office of Research. See http://www.trentu.ca/research/about_centres.php

Policy Statement:

Research is central to Trent's mission. In pursuing this mandate, the University has identified in the Strategic Research Plan a set of principles for research at Trent that includes excellence in research with

national and international recognition, diversity of research across scholarly disciplines, an emphasis on interdisciplinary research, and involvement of students in research. Research organizations like Centres and Institutes are essential tools for Trent’s research mission. Centres and Institutes are differentiated based upon the scope of research activities, sources of funding and management structure.

Responsibilities:

Indicate what responsibilities are assigned, and to whom, under the policy. If there are different categories or levels of responsibility, this section can be used to delineate these.

<i>Contact Officer</i>	<i>Coordinator, Office of Research</i>
<i>Date for Next Review</i>	<i>2015, June</i>
<i>Related Policies, Procedures and Guidelines</i>	
<i>Policies Superseded by This Policy</i>	<i>Policy on Research Organizations 2003</i>

PROCEDURE

for Creating Research Centres or Research Institutes



Contact Officer

Coordinator, Office of Research

PROCEDURE	Purpose	All proposals for the establishment of new research centres or institutes (See Policy on Research Organizations) must initially be reviewed by the Vice President Research and International (VP:RI). In the case of more informal research institutions (e.g., Research Groups), this will largely be an advisory process, with all documentation to be deposited in the Office of Research as a matter of record. Proposals for the establishment of research centres and research institutes will involve negotiations for space and resources and therefore will involve the following steps:
	Procedure	<i>The steps and/or actions that <u>must</u> be undertaken to implement a particular policy. Not all policies will require a procedure document, whilst others will require more than one. Each step to start with an action word / verb.</i>
	<i>Group Proposing Centre or Institute</i>	<i>Step 1</i> Consultation, commitment and design of a proposal by the prospective participants in the research endeavour to determine the parameters of the organization, degree of involvement of faculty members, space requirements, budgetary requirements and sources of funding.
	<i>Research Policy Committee</i>	<i>Step 2</i> Consideration of a preliminary proposal by the Research Policy Committee, plus any faculty or staff from administrative units (e.g. 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 I and should include: <ul style="list-style-type: none"> 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.
	<i>Group Proposing Centre or Institute</i>	<i>Step 3</i> Following review, a final proposal will be prepared that addresses any comments and concerns 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. The final proposal will be submitted to the Research Policy Committee, 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.
	<i>Research Policy Committee</i>	<i>Step 4</i> 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 retired. The review will be conducted by the Research Policy Committee and the request for renewal will be evaluated according to the terms of reference used to evaluate original proposals. Recommendations will be forwarded to Senate and the Board of Governors on the outcome of the review.

Date Approved	<i>May 2011</i>
Approval Authority	<i>Vice President Research and International</i>
Date of Commencement	<i>May 2011</i>
Amendment Dates	<i>List the dates the policy has been amended (Year Month Day)</i>
Date for Next Review	<i>2015, June</i>
Related Policies, Procedures and Guidelines	<i>Policy on Research Organizations</i>

PROCEDURE

for the Appointment of Directors to Research Centres or Research Institutes



Contact Officer

Coordinator, Office of Research

PROCEDURE	Purpose	<i>Procedures for the appointment of the Director of a Research Centre or Research Institute (See Policy on Research Organizations)</i>
	Procedure	<i>The steps and/or actions that <u>must</u> be undertaken to implement a particular policy. Not all policies will require a procedure document, whilst others will require more than one. Each step to start with an action word / verb.</i>
	<i>Members of Research Centre or Research Institute</i>	<i>Step 1</i> Following formal approval of a research centre or institute, members will strike a personnel committee that will recommend a candidate for Director to the VP:RI. Normally, the term of the Directorship will be for 3 to 5 years ¹
	<i>Vice President, Research & International</i>	<i>Step 2</i> The VP:RI 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 VP:RI.
	<i>Candidates</i>	<i>Step 3</i> Following a satisfactory resolution of the conditions of appointment to the Directorship, the candidate will submit a written acceptance of the Directorship to the VP: RI.
	<i>Personnel Committee of the Centre or Institute</i>	<i>Step 4</i> 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 VP: RI. Along with this request, the Personnel Committee must submit a performance review of the incumbent to the VP:RI.

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¹ Please note that the Director of the Centre for the Study of Theory, Culture and Politics is also the Director of the M.A. Program in Theory, Culture and Politics. The Director of the Frost Centre for Canadian Studies and Native Studies is also the Director for the Canadian Studies Ph.D. and the M.A. in Canadian Studies and Indigenous Studies. Selection of Directors for both the Centre for the Study of Theory, Culture and Politics and the Frost Centre will follow the process used to select graduate Directors-- a process managed by the Dean of Graduate Studies.

Appendix I**Checklist of Issues to be addressed when preparing proposals for new Centres or Institutes****1. Purposes and Functions:**

- a) What is the main purpose of the proposed research organization? b) Will the research organization contribute to Trent University's Strategic Research Plan?
- b) Will the proposed research organization involve external partners, such as private sector companies, public sector agencies, nongovernmental organizations, or other educational institutions (e.g. universities, colleges)?
- c) Will Trent University contribute significant resources to the proposed organization, including finances, space and human resources?
- d) How will the organization perform its functions (i.e. research, training, and publications)?
- e) Will the organization cover a field of study already covered within an existing research organization at Trent?
- f) Will the organization facilitate or expand the training of highly qualified personnel?
- g) 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 units?
- c) Who will be eligible for membership and are there different classes of membership?
- d) 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) Does the organization have a plan for communicating with the academic and non-academic community?

4. Staffing, Physical Requirements and Liability:

- a) What are the immediate space requirements, as well as those in the medium/long term?
- b) What are the requirements for administrative and technical staff?
- c) What special demands might be made on the library, computing, communications, finance or other university services?
- d) What demands will be made on the university in terms of training (e.g. Health and Safety, Radiation Safety, WHMIS)?
- e) 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 the VP:RI's budget and when will these be required?
- b) What are the estimated total budgets (and source of funds) of the research organization for the first year? first 3-year period? and after 7 years of operation?

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 and the University?