

Research St. Joseph's – Hamilton (RSJ-H)		Pages 1 of 4	Number 010-RSJ-H
Policy Title Research Institutes, Centres and Groups		Date 29 May 2023	
Supersedes 19 November 2015	Cross Reference <i>Guidelines for the Governance and Review of Research Institutes, Centres and Groups at McMaster University</i>	Issuing Authority RSJ-H Board of Directors	
<input checked="" type="checkbox"/> Charlton Campus	<input checked="" type="checkbox"/> West 5th Campus	<input checked="" type="checkbox"/> King Campus	

Position responsible for developing and maintaining the policy: RSJ-H Scientific Director

1.0 PURPOSE AND GOALS

Research St. Joseph's - Hamilton (RSJ-H) supports the McMaster University policy – *Guidelines for the Governance and Review of Research Institutes, Centres and Groups* for the establishment, operation, and termination of formal research organizations. Research organizations allow faculty members to address to leverage talent, share resources, and to maximize institutional impact and output. The development of research organizations can serve a number of strategic objectives. For example, creating a critical mass of researchers and increasing their potential impact, enhancing research collaborations, facilitating interdisciplinary research, increasing the visibility of research nationally and internationally, and increasing the ability to secure research funding. Research organizations may be located solely within RSJ-H or may cut across different institutions, such as McMaster University. They may vary in type, structure, and size depending on their objective and scope of activities. This policy is designed to describe the various types of formalized research organizations and indicate the process for the establishment, and termination of these organizations. In addition, this policy will outline the governance and reporting expectations, as well as the external review process for each type of organization.

2.0 DEFINITIONS

Joint Institutes and Centres – Joint Institutes and Centres are closely aligned with strategic research interests of RSJ-H and McMaster University, with international reputation. Their designation as an Institute or Centre is determined by virtue of one or more criteria which may include: comparative size; breadth of research; national and international impact of their work.

Institutes – Institutes are closely aligned with the strategic research interests of RSJ-H, with international reputation. Their designation as an Institute is determined by virtue of one or more criteria which may include: comparative size; breadth of research; national and international impact of their work.

Centres - Centres, like Institutes, support the strategic research interests of RSJ-H, although their focus may be less broad and their operation may have smaller budgetary implications.

These Research St. Joseph's - Hamilton policies are **CONTROLLED** documents as are all management system files on the intranet. Any documents appearing in paper form are not controlled and should **ALWAYS** be checked against the intranet version (electronic version) prior to use.

Groups – Groups are self-designated research organizations. They can be as small as two faculty members. They may form, grow, and dissolve as members see fit. Their status, progress, and plans are not reported through the RSJ-H governing bodies.

3.0 ROLES AND RESPONSIBILITIES

3.1 Advisory Board

The Advisory Board will provide advice to the Director on scientific and scholarly priorities and strategic guidance for the Institute or Centre. The Advisory Board is consulted at least annually at the discretion of the Director.

3.2 Director

The Director is appointed by the Governing Board of an Institute or Centre on a fixed term to lead the Institute or Centre.

3.3 External Review Board

The External Review Board is an external board that will be comprised of international experts (usually 3) in the field of the Institute or Centre who are arm's length from the Institute or Centre. Experts will be determined by the Research Governance Committee.

3.4 Governing Board

Each Institute or Centre is overseen by a Governing Board, which shall have no fewer than five (5) members, a minimum of two (2) must be external to RSJ-H. Authority for all matters regarding the direction and operation of the Institute or Centre rests with the Governing Board, including the recommendation for the hiring and termination of the Director.

3.5 Scientific Director

The Scientific Director is the senior research leader responsible for oversight of RSJ-H, as well as RSJ-H Joint Institutes, Institutes, and Centres. In some cases, the Scientific Director may act as Chair of the Governing Board of an Institute or Centre.

3.6 Research Governance Committee

The Research Governance Committee is responsible for review of all Institute and Centre applications. The Research Governance Committee will make recommendations to the RSJ-H Board of Directors for approval or termination of an Institute and Centre. The Research Governance Committee will review annual reports submitted by Institutes and Centres and provide feedback as required.

3.7 RSJ-H Board of Directors

The RSJ-H Board of Directors will approve the creation or termination of all RSJ-H Institutes and Centres, upon the recommendation of the Research Governance Committee.

4.0 ESTABLISHMENT, OPERATION, AND TERMINATION OF INSTITUTES AND CENTRES

4.1 Joint Institutes and Centres

Establishment, operation and termination of Joint Institutes and Centres shall be carried out in accordance with McMaster University Policies, Procedures and Guidelines – Guidelines for the Governance and Review of Research Institutes, Centres and Groups.

4.2 Institutes and Centres

4.2.1 Establishment

The establishment of an Institute or Centre will require the submission of an application to the Scientific Director. Applications will be submitted by May 30st annually.

4.2.2 Proposal

The application for the Institute or Centre should be in the form of a business case which clearly indicates:

- a. Name, purpose and objectives
- b. Rationale for establishing the Institute or Centre
- c. Description of how the Institute or Centre aligns with the strategic direction of RSJ-H
- d. Membership
- e. Criteria for expanding membership
- f. Budget:
 - i. Start-up costs
 - ii. Operating costs
 - iii. Funding sources (internal and external)
- g. Proposed activities and future funding sources
- h. Governance

4.2.3 Approval Process

All applications will be submitted to the Scientific Director. The Scientific Director will then present the application to the Research Governance Committee for review and comment. If the Research Governance Committee supports the application, the Research Governance Committee will then make the recommendation for approval by the RSJ-H Board of Directors. Only upon approval of the RSJ-H Board of Directors will the Institute or Centre be established.

4.2.4 Financial Support

All Institutes and Centres approved by the RSJ-H Board of Directors will receive financial support on an annual basis to support the administrative infrastructure of the Institute. Financial support will be determined at the beginning of the fiscal year and is dependent on the availability of funds.

4.2.5 Branding

All Institutes and Centres approved by the RSJ-H Board of Directors will include the St. Joseph's Healthcare Hamilton and the RSJ-H logos on all marketing and branding materials as per the RSJ-H brand standards. All Joint Institutes and Centres will work with RSJ-H and McMaster to collaboratively design a word mark that incorporates brand features from both organizations. Further, Joint Institutes and Centres will work with both RSJ-H and McMaster to ensure that any web material has the look and feel of both organizations.

4.2.6 Term and Termination

All Institutes and Centres shall be approved by the RSJ-H Board of Directors for a period of no more than five (5) years. Should an Institute or Centre wish to continue beyond the initial five (5) year term, a new application must be submitted for consideration. Termination of an Institute or Centre prior to the end of the approved Institute term may occur if the Research Governance Committee deems that the Institute or Centre no longer supports the strategic directions of RSJ-H, is not carrying out a successful research program, or is no longer financially viable. Recommendations to terminate an Institute or Centre prior to the end of the approved Institute or Centre term shall be made by the Research Governance Committee to the RSJ-H Board. The decision to terminate an Institute or Centre will be made by the RSJ-H Board of Directors in consultation with the RSJ-H Scientific Director and the Research Governance Committee.

5.0 GOVERNANCE AND EXTERNAL REVIEW OF RESEARCH INSTITUTES AND CENTRES

5.1 Governance

RSJ-H Institutes and Centres must adhere to general practices of good governance which ensures that decision making and resultant processes are transparent, accountable, and equitable. The Governing Board for each Institute or Centre will establish a selection committee representing the Institute or Centre's stakeholders. The selection committee will recommend a candidate for the position of Director to the Governing Board. If the recommendation is accepted, the Governing Board will recommend the candidate to the Research Governance Committee. If the recommendation is accepted, the Research Governance Committee will recommend to the RSJ-H Board of Directors which, upon acceptance, will approve the appointment of the Director. The Director will be appointed to lead the Institute or Centre for a term no longer than five (5) years. At the recommendation of the Governing Board to the Research Governance Committee and subsequently the RSJ-H Board of Directors, a Director's term may be renewed, normally for a further five (5) years, following the assessment of the performance of the Institute or Centre. Directors shall provide annual financial and scientific progress reports to the RSJ-H Scientific Director no later than April 30st of each year. The Scientific Director will present the annual report to Research Governance Committee for discussion.

5.2 External Review

In the ever-changing research environment, it is important, in order to remain relevant, to seek national and international advice regarding the science being conducted by the Institute or Centre. Each Institute and Centre will undergo an external review once every five (5) years by an External Review Board.

The External Review Board will assess the performance of the Institute or Centre's Director and its scientific program. The External Review Board will be furnished with documents describing the policy on Institutes and Centres and will be asked whether performance is compatible with expectations described in the policy. The External Review Board is expected to use accepted measures of performance such as publication and impact to assess the Institute or Centre's contributions in comparison with those of (a) the Institute or Centre during the preceding five

(5) years and (b) with the performance of institutes of similar size in the same field of research. The recommendations of the External Review Board will include the renewal of Director, and whether the Institute or Centre's performance is consistent with that of an Institute or Centre at RSJ-H or other comparative research institutions. The report of the External Review Board will be submitted in confidence to the RSJ-H Scientific Director, who will provide a copy to the Research Governance Committee for discussion and evaluation. The RSJ-H Scientific Director may share the External Review Board's report or major recommendations with either the current Director or the successor to the current Director, so that the leadership of the Institute or Centre can benefit from the perspective of the External Review Board.

5.3 External Review Findings

An external review may conclude that the performance of an Institute or Centre is inconsistent with institutional expectations. The decision as to whether to disband the Institute or Centre or to dismiss the Director is made by the RSJ-H Board of Directors, on the recommendation of the Research Governance Committee.

6.0 FLEXIBILITY FOR GOVERNANCE AND REVIEW OF INSTITUTES AND CENTRES IN EXCEPTIONAL CIRCUMSTANCES

It is possible that the governance structure, reporting and review of Institutes and Centres may need to vary from those described above. For example, the Institute or Centre could also be required to report to an external funding body, and that body may have specific governance and reporting criteria. In such a case, the governance structure, reporting and review of the Institute or Centre must conform as closely as possible to that outlined above, while fulfilling the mandatory requirements of the external body.

7.0 FINANCIAL MATTERS

All RSJ-H Institutes, Centres and Groups are expected to adhere to RSJ-H financial policies and procedures as established or amended from time to time.

8.0 REFERENCES

8.1 External References

McMaster University Policies, Procedures and Guidelines – *Guidelines for the Governance and Review of Research Institutes, Centres and Groups*