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| Research St. Joseph's – Hamilton (RSJ-H) | | Pages 1 of 4 | Number 010-RSJ-H |
| Policy Title Research Institutes, Centres and Groups | | Date 19 November 2015 | |
| Supersedes New policy | 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, termination and transition of formal research collaborations. Researchers may form collaborations to address research problems that are of mutual interest to them. The development of such research collaborations 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. This policy is designed to describe the various types of formalized research collaborations and indicate the process for the establishment, termination and transition of these collaborations. In addition, this policy will outline the governance and reporting expectations, as well as the external review process for each type of collaboration. Collaborations wax and wane over time, therefore no collaboration described in this document can be considered permanent.

2.0 DEFINITIONS

Research Institute - research collaborations which are closely aligned to priority areas for Research St. Josephs - Hamilton (RSJ-H) and McMaster University, with international reputation.

Research Centre - research collaboration less closely aligned with priority areas of RSJ-H and McMaster University, with national or international reputation.

Research Group - smaller research collaboration with as few as two faculty members, which may be short term collaboration.

3.0 ESTABLISHMENT, TERMINATION AND TRANSITION OF RESEARCH INSTITUTES, CENTRES AND GROUPS

3.1 Research Institutes

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3.1.1 Establishment

The lead participant/researcher in a proposed Institute should prepare a proposal to be reviewed by the RSJ-H Scientific Director, Scientific Review Committee and RSJ-H Board of Directors for approval.

3.1.2 Proposal Documentation

The documentation for the proposed Institute should be in the form of a business case which clearly indicates:

- a) The name, objectives, and proposed activities of the Institute;
- b) A rationale for establishing the Institute;
- c) A list of membership and criteria for expanding membership;
- d) Short-term and long-term budgets, which includes:
 - i. start-up costs
 - ii. long-term operating costs
 - iii. internal funding commitments/sources
 - iv. external funding sources;
- e) Governance structure and relationship to McMaster University (if any).

3.1.3 Approval Process

The proposed Institute should be simultaneously pursuing establishment as an Institute at McMaster University. (See McMaster University Policy *Guidelines for the Governance and Review of Research Institutes, Centres and Groups.*)

The lead participant/researcher should provide the RSJ-H Scientific Director with the proposal. The RSJ-H Scientific Director would then present the proposal to the Scientific Review Committee for review and comment on the proposal's link to institutional priorities. If the Scientific Review Committee supports the proposal it would then be submitted to the RSJ-H Board of Directors for approval. Only upon approval of the RSJ-H Board of Directors would the Institute be established.

3.1.4 Termination or Transition

Termination may be precipitated by an unsatisfactory external review or a lack of funding. The decision to disband an Institute or transition the Institute to a Centre will be made by the RSJ-H Board of Directors in consultation with the RSJ-H Scientific Director and the Scientific Review Committee.

3.2 **Research Centres**

3.2.1 Establishment

The lead participant/researcher in a proposed Centre should prepare a proposal to be reviewed by the Scientific Review Committee for approval.

3.2.2 Proposal Documentation

The documentation for the proposed Centre should be in the format of a business case which clearly indicates:

- a) The name, objectives, and proposed activities of the Centre;
- b) A rationale for establishing the Centre;
- c) A list of membership and criteria for expanding membership;
- d) Short-term and long-term budgets, which includes:
 - i. start-up costs
 - ii. long-term operating costs
 - iii. internal funding commitments/sources
 - iv. external funding sources;
- e) Governance structure and relationship to McMaster University (if any.)

3.2.3 Approval Process

In the case of a Research Centre, the RSJ-H Scientific Director, in consultation with the Scientific Review Committee, would make the decision regarding the establishment of the proposed Research Centre.

3.2.4 Termination or Transition

Termination may be precipitated by an unsatisfactory external review or a lack of funding. The decision to disband a Centre or transition the Centre to a Group will be made by the RSJ-H Scientific Director, in consultation with the Scientific Review Committee.

3.3 **Research Group**

Research Groups are expected to form, grow and dissolve without formal approval from the RSJ-H Scientific Director, Scientific Review Committee and governance at Research St. Joseph's - Hamilton. It is expected they would report their status, progress and plans to the RSJ-H Scientific Director.

4.0 **GOVERNANCE AND EXTERNAL REVIEW OF RESEARCH INSTITUTES AND CENTRES**

4.1 **Governance**

Research 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 governance structure for both Institutes and Centres will follow their respective establishment structure. In the case of Institutes, Directors of Institutes will provide annual financial and scientific progress reports to the RSJ-H Scientific Director, who will bring their reports to the Scientific Review Committee and RSJ-H Board of Directors. In the case of Centres, the Directors of Centres will report to the RSJ-H Scientific Director who will bring their report to the Scientific Review Committee only.

4.2 **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. It is the practice of RSJ-H to conduct an external review of one Institute or Centre each year. It is at the discretion of the RSJ-H Scientific Director, which Institute or Centre will undergo an external review.

The External Review Board will be comprised of international experts (usually 3) in the field of the Institute or Centre who are arms length from the Institute or Centre. Experts will be determined by the Scientific Review Committee.

The External Review Board will assess the performance of the Institute's Director and its scientific program. The External Review Board will be furnished with documents describing the policy on Research Institutes 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's contributions in comparison with those of (a) the Institute during the preceding 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's performance is consistent with that of an Institute at RSJ-H. Their report will be submitted in confidence to the RSJ-H Scientific Director. Normally, the RSJ-H Scientific Director would 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 benefits from the perspective of the External Review Board.

4.3 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 to transition it to a Centre is made by the RSJ-H Board of Directors, on the recommendation of the Scientific Review Committee and the RSJ-H Scientific Director.

In some instances, following a negative review, the membership of an Institute will regroup as a Centre or Group. It is also possible that the RSJ-H Scientific Director will dismiss the incumbent Director and initiate a search for a new Director who can address the deficiencies of the negative review and better serve the interests of the Institute.

In other instances, an External Review Board may recommend that a Centre become an Institute, in which case a formal application should be made to the RSJ-H Scientific Director for institute status. It is also understood the Centre may wish to remain as a Centre following an excellent External Review Board review.

5.0 FINANCIAL MATTERS

All Research Institutes, Centres and Groups are expected to adhere to Research St. Joseph's - Hamilton financial policies and procedures as established or amended from time to time.

6.0 REFERENCES

6.1 External References

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

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