



Name: **Research Groups, Institutes and Centres**

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1. PREAMBLE

Cape Breton University (CBU) recognizes the value of Research Groups in meeting its strategic objectives, including increasing research activity, creating a cluster of researchers in a particular research area and recognizing areas of regional, national and/or international research strength. CBU also recognizes that it may be desirable to designate groups of collaborating CBU researchers as formal entities, as Research Groups, in a variety of situations such as when communicating or interacting with the general public and granting agencies.

The purpose of this document is to outline the policies for the creation, review, administration and closure or dissolution of Research Groups (Institutes and Centres).

A policy from 1995 was consulted in the creation of this policy. This current policy supersedes any prior policies or any bylaws created by individual Research Groups.

This policy is being created at this time to adequately support our Research Groups, to clarify their roles, to plan for growth, and to allow for the proper inclusion of Research Groups in future Academic Plans and Strategic Research Plans.

2. DEFINITION OF TERMS RELATED TO THIS POLICY

Individuals are referred to the CBU Research Proposals and Agreements Policies (available on the CBU research webpage) for a full list of policies that apply to all researchers including those operating within Research Institutes and Centres.

Research Group: full-time continuing CBU research employees may establish or participate in an informal research group (IRG) for the purpose of collaboration, dissemination, network building, and so on. IRGs may also be formed to organise dissemination events. In general, an IRG would not have accounts or finances, and, if struck for an explicit dissemination event, would often fold after that event. IRGs should have two co-directors and should notify their School Dean and Dean of Research & Graduate Studies (DRGS) of their intention to act as a group. Upon application to the DRGS and approval of the President, an IRG may be given formal recognition by CBU as a Research Institute or Research Centre.

Research Institute: a Research Institute exists for the furthering of research goals which could not exist outside an institute. A research institute, while usually serving the needs of specific individuals, should endeavour to be open to all faculty and students that share their goals. A Research Institute should engage in the following types of activities: collaborative Research Projects, dissemination of research, organisation of research roundtables or conferences and workshops in the university and community, and

grant applications. A Research Institute should contribute to the CBU culture of research and should be developed in concert with the annual CBU Academic Plan and the CBU Strategic Research Plan.

Support or Resource Centre or Institute: a support or resource centre or institute serves the university community and in some cases the general public, and may be connected to other centres or institutes of its type. It may be housed in a department or primarily address the needs of one discipline (example: the teaching and learning labs located within departments). Although resource centres or institutes may conduct some Research Projects, it is not their primary function. Support or resource centres or institutes typically exist to support teaching activities and/or were created as part of the normal business of a university (libraries, practicum labs). These organisations are not subject to the provisions of this policy.

Research Centre: A Research Centre is a special form of Research Group. A Research Institute, upon significant contributions to the culture of research, or for other reasons, may be named as a Centre by the President. Research Centres will generally appeal more broadly to the university community than a Research Institute (and may also have value to the local community), and will generally appeal to and involve faculty, staff, and students from two or more disciplines. Research Groups that partner with outside agencies for the creation of a collaborative research partnership will typically apply to create a Research Institute with the long term goal of becoming a Research Centre. It is possible that as the Research Centre evolves, it may become a collaborating centre, or part of a network. Research Centres tend to be used for inter-school, multi-school or multi-institutional research entities.

Research Group Member Relationships:

- Intra-department - membership and activities normally within a single department, or between departments in a single school.
- Inter-school - membership and activities normally between two schools.
- Multi-school - membership and activities normally between two or more schools.
- Multi-institutional - membership and activities between multiple universities or institutions.

Nested Centres: When appropriate, one or more Research Institutes may be housed within a Research Centre.

Research Networks: A network is a formal or informal cluster of collaborating entities/individuals. Research Institutes and Centres can be members, the hub of, or nodes of, a Research Network but an institute or centre is never a network in itself. Showing leadership in the formation of the network would imply that the institute can be the administrative / strategic / research hub of the network.

Research Node: Generally, a Research Node is a local representation of a larger national research group, which is meant to explore local answers to a national or international research question.

Collaborating Centres: Any two or more institutes or centres, internal or external, can be named as collaborating centres.

Employees of Research Institutes and Centres: All employees of a Research Group are bound by the same employment standards of other employees, and supported by CBU Human Resources Department.

3. INFORMAL RESEARCH GROUPS

Small groups of researchers are encouraged to work together and collaborate at any time. Much of this activity can take place without establishing a research institute. A research group may like to define itself as such in order to provide a unified meaning to the general public, carry out Research Projects, to disseminate information, or simply for convenience.

4. FORMAL RESEARCH GROUPS

A Formal Research Group can exist as a Research Institute or a Research Centre. In many cases, but not necessarily, a Formal Research Group will result from the activities of an informal research group. For the remainder of this policy, the term Research Group is used to refer to a Formal Research Group that has been granted status as either a Research Institute or Research Centre.

Research Groups are established to undertake research and recognize established or emerging research strengths. Research Groups focus primarily on the creation and dissemination of new knowledge. It is recognized that the activities of Research Groups and Support or Resource Centres and Institutes are not mutually exclusive. Entities will be categorized to adhere to the appropriate reporting structure based on their primary activity.

5. ESTABLISHMENT OF RESEARCH INSTITUTES

In order to apply to create a Research Institute, two researchers should complete the attached form in Appendix 1. Preference will be given to applications which:

- Show the group has been working as an IRG for a period of at least one year
- Show they can be financially self-sufficient, and

- Are in an area with significant internal and external interest.*

6. ESTABLISHMENT OF RESEARCH CENTRES

The term Research Centre is normally reserved for the Research Groups with greater resources (personnel and funding).

Normally, Research Centres will exist as Research Institutes for a period of time before being recognized as Research Centres. A Research Institute, after being in existence for four or more years as a Research Institute, and upon significant contributions to the culture of research, or for other reasons, may request in its annual report to be named as a Centre. The DRGS will forward the request to the Research Committee of Senate for consideration. The Research Committee will recommend to Senate and the DRGS whether or not the centre is warranted. The DRGS will advise the Vice-President Academic & Professional Studies (Provost) (VPAPS), who will make a recommendation to the President. The President will make the final decision as to whether or not a Research Institute becomes a Research Centre. The request to become a Research Centre will include a projected 5-year budget including any required contributions from the CBU operating budget.

7. CO-DIRECTORS

Each Research Group (Institute or Centre) will normally have 2 co-directors who are full-time employees at CBU. One of the co-directors MUST be a tenure-track or tenured faculty member at CBU. One of the co-directors may be professor emeritus/emerita.

8. ADVISORY BOARD

All Research Groups must have an Advisory Board. If feasible, similar Research Groups are encouraged to share an Advisory Board. However, some Research Groups may already have, need, or desire their own Advisory Board.

8.1 Length of Appointment

The normal length of appointment for co-directors is a 3 year term which is renewable one time. In special circumstances this may be revisited. A Research Group should only exist where there is sufficient

* In order to determine interest, the DRGS will compare the proposal area to current areas of interest from Tri-Council agencies, fit with the current CBU Academic Plan and Strategic Research Plan, and number of faculty and students whom would be able to participate in the research group.

research interest from a number of faculty, and should not support the work of only one individual, so, this should not pose any undue limitations.

The Advisory Board members are also normally on 3 year renewable terms.

Research Groups are encouraged to plan to allow for overlapping terms.

8.2 Composition

The Advisory Board should usually/typically have a minimum of 5 members and should include community members and students whenever possible and appropriate.

8.3 Meetings

The Advisory Board will meet at least annually. At each meeting the co-directors will present a summary of the activities of the Research Group since the last meeting of the Advisory Board. The co-directors will also summarize the planned activities for the coming year. The Advisory Board will provide advice and recommendations of the activities and direction of the Research Group.

9. REPORTING AND REVIEW

All Research Groups report to the DRGS. Annually on or before September 30 of each calendar year, each Research Group will submit a report of activities to the DRGS, including an account of the meeting(s) of the Advisory Board. See Appendix 2. The ORGS will compile a report on all Research Groups for the Research Committee and the VPAPS to be included in the Academic Plan. In addition to reporting on the research activities of the previous academic year, the Academic Plan will make recommendations concerning the continuing role of the Research Groups (which ones are to continue as is, which are to wind down, which Institutes are to be changed to Centres)

9.1 Review

It is possible that an annual report will be all that is required from a Research Group. In the event that more information is required from a Research Group after an annual report, it will be informed in writing and given 10 business days to respond.

9.2 Major Review

Starting with the 2013 Academic Plan, the Research Groups will undergo a full review to ensure they adhere to all standards of research and are reflective of the current needs of researchers. At this time recommendations may be made for Research Groups, such as to wind down their operations, or to develop activities reflective of their interests. Research Groups will be given 1 month from the receipt of

their written review to write a report to address any suggested changes and supply a timeline of when these changes will take place.

9.3 Conflict Resolution

Research Groups report to the DRGS. In the event of conflict with a direct report, co-directors of a Research Group are directed to request a meeting with the DRGS, VPAPS and their Dean(s) to address a strategy to resolve the issue.

Students and others employed by a Research Group should be informed of the policies and role of Human Resources, and should be aware that in the event of co-director's absence from campus, or a conflict with a co-director, the employee is directed to meet with the DRGS.

9.4 Financial Reporting

Research Groups report to the DRGS. The CBU Financial Policies and Procedures (see CBU website for current policy and procedures manual) apply to all Research Groups. The DRGS will receive weekly budget reports from the Finance Office for all Research Groups. In the event that the DRGS has any concerns with the financial situation of a Research Group, S/he will request further information from the co-directors. The annual report for a Research Group will include a full financial statement of all funds received and expended for the past year.

9.5 Budget

The establishment of a Research Group does not necessarily give it access to operating funds. A Research Group, like others, can apply for funds to hold conferences on campus, and individuals affiliated with it can apply for RP Grants to support its research programs. Research Groups are strongly encouraged to apply for external funding. In the event that a Research Group requires core funding, it must clearly request this in its annual report. All requests for funding will be considered as part of the academic and budget planning processes for the next fiscal year. In general, Research Groups should be self-sustaining and previous funding is not indicative of future funding.

9.6 Legal status

A Research Group is part of Cape Breton University and therefore must follow all legal guidelines which the university follows, including but not limited to documents such as those pertaining to: Hiring Policies, Health and Safety, Collective Agreements, and Intellectual Property

9.7 Activities

Research Groups primary activities are centred on research and scholarly activity. While the individuals who are part of a Research Group may be involved in teaching activities, Research Groups will not be

responsible for undergraduate and/or graduate teaching activities. All teaching activities are the responsibilities of the academic schools.

9.8 Research Contracts/Grants

A Research Group can apply for external funding or provide research services. All policies in the CBU Research Proposals and Agreements policy must be followed.

10. TERMINATION OF A RESEARCH GROUP

CBU reserves the right to, at any time, terminate the operation of a Research Group for academic, financial or administrative reasons. In such cases, the co-directors of the Research Group will be notified and given 90 days to complete activities under the auspices of the Research Group. In many cases, specific research activities will continue under the direction of an Informal Research Group or individual Researcher.

In the event that a Research Group does not produce two consecutive annual reports, it will be viewed as defunct and closed without further review.

11. SUNSET CLAUSE

Some Research Groups, especially those created as part of a special project, may plan for closure at the time they are formed. Because of the costs of administration of a number of Research Groups, and the optics of a defunct institute, those proposing new groups are encouraged to consider if a group may have an anticipated closure date at the time of its creation.

12. RESEARCH AND ADMINISTRATIVE SUPPORT

Research groups can ask for extended support from the Office of Research & Graduate Studies during major applications and will be provided with this as time allows. Research groups do not automatically receive additional administrative support and are encouraged to be clear about the amount of support they will require at the time of formation, and throughout the annual report process.

13. CREATION OF HIGHLY QUALIFIED PERSONNEL

All Research Groups should encourage the development of HQP, and train students in advanced research methods as appropriate.

14. PUBLICITY, PUBLIC RELATIONS, DISSEMINATION

Research Groups must have one individual who is available to talk to the media about the group. As Research Groups are the responsibility of CBU and not separate entities, Research Groups must be clear that they are not separate from CBU and fall under the umbrella of its governance. Representatives of Research Groups may have considerable influence in the wider community and thus, are asked to conduct themselves accordingly, reminding the media that any opinions expressed do not necessarily reflect the official position or policy of CBU.

As part of a Research Group's annual report, they must supply a media friendly summary of their activities and interests not to exceed 150 words.

Research Groups must participate in activities to disseminate their work, at the very least, they are expected to contribute to CBU Research Week in some way.

Institutes and Centres will be allocated website space on a CBU server and are expected to maintain a current and active website. CBU's responsibility for maintaining the Research Groups webpage lies in providing space on its server, providing training to a content manager for each Research Group, and to provide technical support of the servers that house the website.

It is the responsibility of the Research Group to identify an individual to maintain its website and to cover any costs associated with the individual's time if the individual is not a CBU employee.

The Research Group web presence must be maintained within the CBU domain and Research Groups must not operate parallel websites outside the CBU domain.

15. BUILDING RESEARCH CULTURE

A Research Group is expected to contribute to the CBU research culture as appropriate and as time permits. Suggestions for contribution to research culture include: mentorship of new faculty or those beginning a research career that have similar interests to the Group; conducting research projects, dissemination of information to the local and/or university community through presentations and other activities; training of students; application for research grants; assisting and/or producing materials and products that promote the work of the Group.

16. PHYSICAL SPACE FOR RESEARCH GROUPS

Research groups will not automatically be allocated a physical space. When applying for status as a research group, applicants should note if they require access to space, anticipate more access to readily available space, or require an administrative space. Under no conditions should a group apply for status stating they do not require space, and then request space within the two years following the creation of their group, unless the request is put forward as part of an external research application.

17. PROVISIONS FOR UNION MEMBERS

The various CBU collective agreements were consulted at the time of writing this policy, however if a future collective agreement changes any of the policies laid out in this document, then for the individuals in the appropriate bargaining unit, the collective agreement supersedes these guidelines.

The research agreements policy should be consulted in connection with this document.

Application to Create a Formal Research Group

Proposed Research Group Title:	
What type of Group will this be? (Institute, Centre, Research Node, etc.):	
What will group membership be comprised of? (Interdepartmental, community/university, etc.):	
Proposed Co-directors: 1. (must be CBU tenure-track or tenured faculty)	2. (must be a CBU full-time employee or professor emeritus/ emerita)
Employees, current or required, if any, and titles:	
Have you held an Informal Research Group on this topic? If so, what were the results?	
Why do you think this Research Group should be formalised at this time?:	
Current Research Group Members:	
Advisory Board Members (indicate if current or expected):	
1.	5.
2.	
3.	
4.	
What sort of activities will the Research Group host, create and/or participate in?:	
Conferences <input type="radio"/> Papers <input type="radio"/> Round tables <input type="radio"/> Special Events <input type="radio"/> Public Lectures <input type="radio"/> Student Training <input type="radio"/>	Other? Please explain:
Does this research group currently hold any funding for the support of this institute or centre?	

Was any funding pursued this year for the formal establishment of this group?, If so, what?:
Anticipated events in the coming year:
Anticipated total expenses in the next year:
Are any challenges expected in the coming year?
Can you foresee a date in which the activities of this research group would no longer be necessary, if so, when?
Provide a summary to describe your Research Group which is suitable for the website and PR purposes (150 word limit):
Please attach copies of any reports, conference proceeding and publications created by the Informal Research Group in the past year.

Please forward completed form (in electronic format) to the Dean of Research & Graduate Studies along with your **1 page budget**. Include a statement of accounts if relevant.

Recommendation of Senate Research Committee :
Recommendation of Senate:
Recommendation of DRGS (address fit with Strategic Research Plan, Academic Plan, suitability and soundness of financial plans):
Recommendation of VPAPS:
President's Decision:

President's Signature

Date

Research Group Annual Report Form

Institute or Centre Title:	
Co-directors: 1.	2.
Employees, if any and titles:	
Research Group Members:	
Advisory Board Members (terms):	
How many Advisory Board meetings were held this year?:	
Summary of Advisory Board meetings	
Activities held this year:	
Conferences <input type="radio"/>	Other? Please explain:
Papers <input type="radio"/>	
Round tables <input type="radio"/>	
Special Events <input type="radio"/>	
Public Lectures <input type="radio"/>	
Student Training <input type="radio"/>	
Funding pursued this year:	

Research Group Annual Report Form

Funding received this year:

Anticipated events during the current year:

Anticipated expenses during the current year:

Are any challenges expected in the current year?

Do you expect this research group to fold in the next 5 years?:

Please provide an updated summary to describe your Research Group which is suitable for the website and PR purposes (150 word limit):

Please attach copies of any reports, conference proceedings and publications created by the Research Group in the past year.

Please forward to the Dean of Research and Graduate Studies by **September 30** each year along with your 1 page budget and statement of accounts