

**COUNCIL COMMITTEE ON RESEARCH
AGENDA**

Monday, September 21, 2015 at 1:00-3:00pm
AH 527 Boardroom (Ad-Hum Boardroom)

	Agenda Items	Materials
1	Introductions	
2	Approval of Agenda	
3	Approval of the Minutes of May 28, 2015	<i>Appendix A</i>
4	Chair's Report (A. Volodin) a. Replacement of K. Montgomery's Position on CCR Subcommittees	
5	Vice-President (Research) Report (D. Malloy) a. Directional Plan b. Update on Research Cluster Activity	<i>Appendix B</i>
6	Draft Policy on Research Chairs (D. McMartin)	<i>Appendix C</i>
7	Draft Written Process on Research Trust Fund (S. Gray)	<i>Appendix D</i>
8	Canada First Research Excellence Fund (S. Gray)	
9	CFI Subcommittee Report (S. Gray)	<i>Appendix E</i>
10	Other Business	
11	Adjournment	

CCR Sub-Committees	
Standing - CFI - NSERC Research Tools and Instruments - Research Trust Fund/Sabbatical Research Grant	Ad-hoc - Research Impact - Research Space Allocation - Overhead Policy - Terms of Reference - Crago-Kirk Report

Distribution	
Dave Malloy, VPR Dena McMartin, AVP Armin Eberlein, Graduate Studies and Research Sally Gray, Director of ORIP Kathleen McNutt, JSGSPP Nilgun Onder, Arts Ron Camp, Business Administration Andrea Sterzuk, Education Amr Henni, Engineering & Applied Science Kathleen Irwin, Fine Arts Darren Candow, Kinesiology & Health Studies Glenn Donnelly, Nursing	Cory Butz, Science Miguel Sanchez, Social Work Cara Bradley, Library TBA, Campion College Andrew Miller, First Nations University of Canada Mary Hampton, Luther College Christian Riegel, Director HRI Chris Somers, CRC Rep. Andrei Volodin, CHAIR, Math & Stats Joan Wagner, Nursing Jessica Butt, GSA

COUNCIL COMMITTEE ON RESEARCH

Minutes of the Meeting of

May 28, 2015 (AH 527)

Present: D.Malloy (VPR), D. McMartin (AVP); A.Eberlein (FGSR), S.Gray (ORIP), D.Candow (KI), K.Montgomery (ED), A. Sterzuk (ED); C.Butz (SC), C. Bradley (LI), K.Arbuthnott (CA), M.Hampton (LU), T. Hadjistavropoulos (CAH), A.Volodin (Chair, Math/Stats), J.Wagner (NU), G. Donnelly (NU)

Resource: L. Henderson (ORIP), recorder

Guests: C. Robertson (FA); A. Revet (Secretariat)

Regrets: K. McNutt (JSGSPP), T. Bredohl (AR); R. Camp (BU) R. Idem (EN); M. Sanchez(SW); A.Miller (FNUiv); C. Somers (CRC); L. Heisler (GSA)

1. Introductions

2. Approval of Agenda

Hadjistavropoulos/Montgomery - *moved approval of the agenda.* CARRIED

3. Approval of the Minutes of January 28, 2015

Montgomery/Butz - *moved approval of the minutes.* CARRIED

4. Approval of the Minutes of March 19, 2015

Montgomery/Butz - *moved approval of the minutes.* CARRIED

5. Tri-Council Leaders' Report (C. Robertson)

- C. Robertson, U of R's SSHRC Leader presented information on SSHRC results as follows: The results for the Insight Grant were not stellar compared to last year. Last year the U of R received over \$1 million. This year the U of R had 2 successful applications, receiving a little less than \$200,000. The U of R, however, did well compared to the U of S which only had 1 successful application out of 26.
- SSHRC has not released the Insight Development Grant results yet. The results will be out in mid-June.
- Over 500 people took part in the SSHRC review process. The U of R had faculty who contributed to the review process.
- A Notice of Intent will no longer be required for SSHRC Insight Grants.
- All applications to the SSHRC Insight Grants must submit a CCV. ORIP staff helps with CCVs.
- There is a new portal for submissions.
- 4As are being minimized. In the past the rate was 65% and that is now 50%.
- Dr. Robertson is attending a SSHRC Leaders meeting June 2 in Ottawa. If anyone has any comments for her to pass along at the meeting, please let her know.

6. Business Arising from the Minutes

- a. CCR Terms of Reference (S. Gray)
 - The terms of reference require additional review. Research does not appear in the University of Regina Act. The VPR and University Secretary will be meeting to review changes to the terms of reference.

7. Chair's Report (A. Volodin)

- a. Research Centres and Institutes policy revisions approved by electronic ballot (95% response rate)
- b. Executive of Council May meeting outcome:
 - Research Centres and Institutes policy revisions – approved
 - CETI to CETRI name change - approved

8. Vice-President (Research) Report (D. Malloy)

- a. PARR
 - PARR complete as far as the work of the committee work.
 - 14 of the recommendations are completed
 - 10 are partially completed
 - 2 are not completed because they are waiting on the partials.
 - The Auditor says the U of R made excellent progress.
 - The VPR thanks the committee members and Sylvia Waterer for their work.
 - S. Gray, Director of ORIP will assist with the remaining work
 - A. Steinger (ORIP), who has recently been appointed as a Research Compliance Officer, will monitor progress of partially implemented recommendations among other duties
- b. Research Clusters
 - Have met twice
 - Each cluster is to describe the fit with the Province's growth and how the U of R contributes. However, this does not mean that the Province decides the research activities of the U of R.
 - Each cluster will soon provide a one page summary which the VPR will distribute.
 - There is some tension within the Social Justice and Public Safety cluster and talk of splitting. This is probably because a misconception of what each other is doing. To separate them would only weaken the original rationale when the clusters were created.
 - Tom McIntosh of the Health Equity cluster held a meeting.
 - The clusters were created with consultation from the university community and the campus voted on them.
 - If there are new, emerging clusters, they can be created.
 - The clusters allow the VPR to promote the University of Regina. They show the range of the capabilities of the University of Regina.
- c. Other
 - (1) The VPR and Armin Eberlein were in China in May with the Shen Kuo students. Compliments to FGSR for the success of the Shen Kuo program. The student presentations were tremendous.
 - (2) The VPR visited Hunan University, Faculty of Humanities and Social Sciences. It is a joint institute with the U of R in name only, but the VPR asked them to now actively partner with the

U of R in co-hosting a conference next year. "Soft Power and Sustainable Energy and Environment." (*Soft Power* refers to the humanities and social sciences.) Hunan says they have financial resources to help with the conference.

(3) In conjunction with the Shen Kuo trip to China, the VPR travelled to Japan for research. While there he visited Tokyo Metropolitan University . (President Timmons was there in April 2015.) TMU is keen on a research and scholarly exchange with the U of R. This August a grad student and a scholar are coming to the U of R to work with Dr. Ulrike Hardenbicker from Geography on soil.

The VPR also visited Kyoto University which is ranked #1 in science and #2 overall. They are interested in carbon capture and Boundary Dam. They want to partner with the University of Edinburgh, Australia, the University of Regina and Saskatchewan Power Corporation re Boundary Dam. In addition, they are keen on the social sciences issues regarding energy and environment.

(3) The VPR asked Armin Eberlein to talk about the Shen Kuo presentations in China with the partner universities of North China Electric Power and Hunan University. He provided the following remarks:

Twelve U of R students from a variety of nationalities participated, and their presentations covered a range of topics. The U of R students mixed well with the Chinese students. Dr. Eberlein asked the partner universities about moving to the next level - for example, dual degrees. However there are issues involved in such an endeavour. There are questions of funding, intellectual property, supervision of the students, and the Chinese universities do not want their best students to go to another university. It should be noted that 80% of joint programs fail.

9. Canadian Council on Animal Care (S. Gray)

- The CCAC attended the U of R on May 6 for a site visit. The VPR, Sally Gray, the President's Committee on Animal Care and animal users met with the CCAC. The CCAC toured the facilities, examined Animal Use Protocols and debriefed the group with their findings. They have some regular recommendations for the U of R to implement, but no serious recommendations. A formal report to the U of R will follow in June.

10. Canada First Research Excellence Fund (S. Gray)

- The call for EOI are due May 31, 2015. The applications will then be reviewed to decide which should be supported to go forward, if any. The results will come out in late July. The new deadlines for the next round will come out in July. The U of R did not do a call last time and went with carbon capture. For this round, 3 groups are interested. The program is meant to make the U of R #1 in a specific field. Specific questions were raised about Section 4 of the form (funding). Applicants should include any potential leads for external funds, internal funds could include non-Tri-Council student scholarships, estimated contributions from the University need to be reasonable.

11. Research Centres and Institutes transition process (S. Gray)

- N. Henderson (PARC) and M. Stewart (CRU) provided feedback for the revisions.

- ORIP will ask Directors to provide foundation documents in July. After receipt of foundation documents, ORIP will then set up a regular review timetable. Completion date is September.
- If any CCR members have comments, please send to S. Gray.

12. Research/Scholarly Misconduct Policy (A.Revet)

- This is a decision item for CCR. Motion to recommend to Executive of Council
- The revised policy is improving processes and clarity, ensuring confidentiality, adhering to natural justice to move quickly as possible.
- The majority of changes came as a result of investigations last year.
- Average is 2 investigations per year.
- Policy is for faculty, not students.
- Policy protects researchers by ensuring they are treated fairly and it also protects the academy.
- The current policy was outdated (circa 1987).
- Revisions were reviewed by CCR in late 2013, but policy was delayed for a variety of reasons and did not go on to Executive of Council and Board of Governors.
- Policy is aligned with the Tri-Council framework.
- It was decided not to change the name.
- Because it is not just about research, it incorporates the scholarly portion.
- Both VPR and VPA Provost are now listed as owners of the policy.
- Definitions were added.
- Scholarly conduct definition is largely unchanged.
- Added a “not included” section, e.g. students.
- Added honest errors.
- Process is changed – separated informal phase into decision points and formal phase.
- Set expectations re response.
- Added a general section for clarity.
- Was reviewed by Legal Counsel and Executive Team.
- Those involved in cases also contributed input.
- Board of Governors meets in July.
- *A. Volodin/C. Butz moved to approve motion to recommend to Executive of Council.*

Carried.

13. Other Business

ORIP re-org

- ORIP is interviewing next week to fill the 2 funding officer positions for NSERC and SSHRC. The candidates are reviewing sample NSERC and SSHRC applicants as a test.
- The successful NSERC applicant’s first task will be to identify and meet with potential Discovery Grant applicants.
- Heidi Smithson is Research Funding Officer for CIHR and other health research.
- Michelle Beitel is now Manager, Research Grants, and is supervisor for the 3 funding officers.

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- Divyesh Patel's new title is Manager, Research Partnerships. Previous title of Technology Transfer Officer did not reflect what he does.
- A new contracts officer in ORIP starts June 1, 2015. She is a lawyer, but is not hired as Legal Counsel for the U of R.
- Ara Steininger is now the Research Compliance Officer responsible for ethics, animal care, policies, and research centres and institutes.
- Jaime Speed is returning in June from maternity leave to her CUPE admin assistant position.
- Lucille Henderson is retiring in the summer from her CUPE admin assistant position.
- The 2 CUPE positions will be reorganized.

14. Adjournment

A. Eberlein - *moved to adjourn.*

Appendix B
STRENGTHENING UR RESEARCH
PROCESS FOR DEVELOPING THE DIRECTIONAL RESEARCH PLAN (DRP) 2016-2021

The process proposes four steps over an eleven month time frame: 1) develop a Skeleton Draft Directional Research Plan based largely on the Faculty Research Plans and the Research Cluster Overviews, 2) solicit input and complete 2nd draft, 3) vet content and complete 3rd and final version of DRP, and 4) approve and communicate DRP

The Vice-President Research (VPR) leads the following process for development of the 2016-2021 DRP. Research and Development Consultant to the VPR provides project management

July 2015 – Working Group Created (WG)

- create a Working Group that meets monthly and provides direction and input during the development of the DRP
- representation on WG includes 13 members: VPR, member of Council Committee on Research (CCR), Director Research Office, Director from both a Faculty-Based Research Centre and a University-based Research Centre, 2 graduate students (one science, one social science), indigenization, and a Special Advisor from each of the 5 research clusters

1. Sept 1, 2015 to Oct 31, 2015 (2 months) – Complete Skeleton Draft of DRP

- WG commences monthly meetings to provide direction and input
- review past Strategic Research Plan to determine content to carry over to the DRP (e.g. research themes)
- review University's 2015-2020 Strategic Plan to select components that provide segue to DRP (e.g. research impact)
- review Faculty Research Plans and Research Cluster Overviews
- complete Skeleton Draft of Directional Research Plan (e.g. outline and proposed content)

2. Nov 1, 2015 to Dec 31, 2015 (2 months) – Solicit Input and Complete 2nd Draft of DRP

- WG provides an Interim Progress Report to the VPR December 1, 2015
- VPR reports on the progress of the Directional Research Plan to the Board of Governors (e.g. Interim Progress Report)
- WG brings the Skeleton Draft forward for input from the VPR's Strategic Research Team, CCR, Senior Research Staff including University Executive Team, Deans, Associate Deans, Director of Research Office, Directors of University-based and Faculty-based Research Centres
- input is requested by way of a series of questions that address specific sections of the Skeleton Draft
- the 2nd draft is completed

3. January 1, 2016 to March 31, 2016 (3 months) – Vet Content and Complete 3rd and Final Version of DRP

- WG brings the 2nd draft forward for vetting by External/Internal Stakeholder
- input is requested by way of a series of questions that address specific sections of the 2nd draft
- WG provides the 3rd and final draft to the VPR March 31, 2016
- the WG is dissolved March 31, 2016

4. April 1, 2016 to July 31, 2016 (4 months) – Approve and Communicate DRP

- the Office of the VPR leads the process for approving and communicating the 2016-2021 DRP
- this includes bringing forward the DRP to CCR and EofC for approval, then to Senate and Board for information
- schedule for 2016 approval: CCR March 23, EofC April 27, Senate June 1, Board of Governors June 28 or July 5

NOTE: A companion document on the role of CRCs in the DRP will be prepared to meet federal requirements

Appendix B

UNIVERSITY OF REGINA'S DIRECTIONAL RESEARCH PLAN (DRP) WORKING GROUP TERMS OF REFERENCE

Role To provide direction and input to the Vice-President (Research) during the development of the Directional Research Plan 2016-2021 over a 7 month time frame extending from September 1, 2015 to March 31, 2016

Responsibilities Oversee the Process for Developing the Directional Research Plan

Provide direction and input throughout the development of the Plan in general, and specifically on each of 3 drafts

Provide the Vice-President (Research) with an Interim Progress Report December 1, 2015 for review by Board of Governors

Provide the Vice-President (Research) with a 3rd and final draft March 31, 2016

Advise on the following:

- soliciting input (e.g. construct questions)
- vetting content
- defining external and internal stakeholders

Working Group Members

Sally Gray Director Research Office / Heather Haig Biology Graduate Student / Gordon Huang Director Institute for Energy, Environment and Sustainable Communities, Professor Environmental Systems Engineering (Canada Research Chair) / Samantha Horswill Psychology Graduate Student / David Malloy Vice-President (Research) / Christopher Somers Associate Professor Biology (Canada Research Chair) / Michelle Stewart Director Community Research Unit, Associate Professor Justice Studies / Carmen Robertson Associate Professor Art History / Sylvia Waterer Consultant to Vice-President (Research) / Special Advisors to Vice-President (Research) on Research Clusters: Thomas Hadjistavropoulos Anxiety, Stress & Pain / Howard Hamilton The Digital Future / Raphael Idem Water, Environment & Clean Energy / Nicholas Jones and Marc Spooner Social Justice & Community Safety / Tom McIntosh and Josef Buttigieg Integrated Human Health

Meeting Meet on a monthly basis at the call of the Vice-President (Research)

Resources University of Regina Faculty/Staff as required by the Working Group

Reporting To the Vice-President (Research) Dr. David Malloy

Date Last Reviewed September 10, 2015

Research Chairs (DRAFT)

Number:	RCH-0XX-00X
Audience:	All members of the University's research community
Last revised:	
Owner:	Provost and Vice President (Academic) and Vice President (Research)
Approved by:	Board of Governors
Contact:	Vice President (Research) – 306-585-5184

Introduction

This policy applies to all employees (faculty, staff, and student employees) of the University's research community.

The role played by Research Chairs in creating and mobilizing knowledge through research excellence is highly valued by the University of Regina. The University is committed to ensuring the highest standards of research in its community as may be recognized through the creation and renewal of Research Chairs.

This policy supports strategic, coherent, and principled selection of candidates and research areas that advance the strategic priorities of the University.

The University of Regina Act (S33-2d) states that "*the senate may authorize on academic grounds the establishment of any...chair...and recommend on these matters to the board.*" Thus, the authorization and confirmation of the establishment of Research Chairs are considered to be within the purview of University Senate, as defined by the processes outlined in this policy. The Act (S62e) goes on to state that "*the board may make provision for the establishment and maintenance of...chairs...as have been determined by the senate.*"

Definitions

- **Chairholder** – an employee of the University who holds a Research Chair
- **Research** – includes scholarship, research, and creative or equivalent professional activities
- **Researcher** – an employee or student of the University who is engaged in research; one who performs diligent and systematic inquiry into a subject to discover or revise facts, theories, etc.
- **Research Chair** – an honorary title bestowed by the University as a signal to internal and external parties that a researcher has been recognized for research excellence in a targeted discipline or research area
 - **Canada Research Chair (CRC)** – an employee of the University who holds a CRC as a result of a Government of Canada initiative; institutions receive an allocation of Research Chairs based on the amount of research funding received from the Tri-Council
 - **Endowed Research Chair** – an employee of the University whose research is supported by individual and/or corporate partners and/or professional or disciplinary associations. Endowed Research Chairs may be created to recruit, retain, and recognize renowned researchers in sponsored disciplines or research areas
 - **Faculty Research Chair** – an employee of the University whose research is supported by a University Faculty. A Faculty Research Chair may be created, as funds permit, to support research of strategic

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importance to the University and to enhance recruitment and retention of faculty whose research expertise is of strategic importance to the University

- **Industrial Research Chair** – an employee of the University who holds targeted NSERC funding to support development and engagement in major research endeavours of interest to industry
- **Sponsored Research Chair** – sponsored and named by individual and/or corporate partners and/or professional or disciplinary associations for a defined duration that is governed by the amount of funding available and activities included in the professorship. Sponsored Chairs that include a research focus are administered under the same conditions as a Research Chair.
- **Research record** – data, results, or facts that are a result of scientific or academic inquiry (research); includes, but is not limited to, research proposals, notes, laboratory records (electronic and physical), abstracts, theses, progress reports, internal reports, presentation material, journal articles, and publications.
- **Sponsor** – the funding agency or entity who provides financial support for the creation and maintenance of a Research Chair
- **Tri-Council** – CIHR (Canadian Institutes of Health Research), NSERC (Natural Sciences and Engineering Research Council of Canada), and SSHRC (Social Sciences and Humanities Research Council of Canada)

Policy

Establishment and Allocation of Research Chairs

1. Establishment and allocation of Research Chairs are the prerogative of the University and are intended to support and promote the University's strategic research goals and for reinforcing recruitment and training of graduate and highly qualified personnel.
2. A new Research Chair will be established with the authorization of Senate and provision of the Board of Governors when funding for the Research Chair is made available from external or internal sources, such as when the University receives a new CRC from the Government of Canada or an industry partner provides funding for the creation of a titled, Sponsored, Endowed, or Faculty Research Chair.
3. When an existing Research Chair is available, the Vice President (Research), the Provost and Vice President (Academic), and the Associate Vice President (Academic and Research), and the relevant Dean(s) will determine the general research area of the new Chair. Depending on the source of funds and conditions of sponsorship, Faculties and Academic Units will be invited to submit letters of intent (LOIs) demonstrating the strategic impact of allocating a Research Chair in a given area.
4. For allocation of a new Research Chair specifically designated by an external sponsor, targeting a specific research expertise, discipline, profile or candidate for a Research Chair, the establishment of the Research Chair shall be authorized by Senate and the allocation process will include consultation with the relevant Deans and Academic Unit head(s) and will follow Collective Agreement provisions for designation of a Research Chair to a currently employed faculty member.
5. An externally funded Research Chair is not permanently allocated to a specific research area or to Faculty, Academic Unit, or Research Centre/Institute at the University unless such condition has been clearly stipulated by the external sponsor at the time of establishment of the Research Chair, and that stipulation has been agreed to by the University.

6. If an existing externally funded Research Chair becomes vacant due to resignation, retirement, nonrenewal, or any other reason, the Research Chair position reverts to the University pool and the internal allocation process described in the Processes will be followed. Similarly, an externally funded Research Chair position shall revert to the University pool should no candidate accept a given nomination.

Nomination and Appointment of Research Chairs

7. The University will use its allocation of CRCs to recruit new researchers and will endeavour to create and/or access opportunities for other Research Chairs to recognize researchers who currently hold faculty appointments at the University.
8. Nomination of an external candidate to a Research Chair will involve the recruitment of the candidate to the University with the nomination to the Research Chair to follow at the appropriate time. In the recruitment process, all interested candidates will be notified that the position is related to a Research Chair and all conditions related to the Research Chair designation will be clearly outlined.
9. The procedure for the recruitment and appointment of faculty members is defined and governed by the Collective Agreement and Human Resources policies and processes.
10. The authorization to fill an allocated externally funded Research Chair may be revoked and the Research Chair reallocated if:
 - the search process is not completed because of delays outlined in the Processes section of this document
 - the candidacy is not approved by the external sponsorTo reallocate an externally funded Research Chair, the internal allocation process will be followed.

Formal Designation of Research Chairs

11. To obtain an externally funded Research Chair designation (e.g., CRC or IRC), the selected candidate must comply with the respective program requirements and agency guidelines. The agency grants the approval and the formal designation.
12. In the case of a Research Chair allocated to a research area that crosses Departments or Faculties, the individual must receive a primary appointment in one academic unit.
13. Other Research Chair designations may be granted at the discretion of the University, based on the priorities or requests of sponsors, whether internal or external.

Terms, Conditions, and Support of Research Chairs

14. A Research Chair will normally hold a full-time tenured or tenure track appointment at the University while the Research Chair designation is in effect.
15. Externally sponsored Research Chairs are subject to the terms and conditions of their awards as defined by the external sponsor. In the case of CRCs, the terms and conditions of institutional support are outlined in the Processes section of this document.
16. Internally sponsored Research Chairs are subject to the terms and conditions of their awards as defined by the internal (usually a Faculty in collaboration with the Provost's Office and with support from the Research Office) sponsor.
17. Normally, the University will support a request to extend the term of Research Chairs for Chairholders who take a leave (other than a sabbatical) from the University.

18. Determination of budgets for Research Chairs is negotiated between the respective Dean and Chairholder per research funding and supports, and subject to funding agency guidelines.

Discontinuation and Termination of Research Chairs

19. Research Chairs may be discontinued by agreement between the University and the Sponsor, whether internal or external. In such cases, the Chairholder will present a plan to the Faculty Dean, Vice President (Research) and Provost and Vice President (Academic) for the phasing out of the position with special consideration being given to the implications for students and the highly qualified personnel involved in the Research Chair's activities.

20. Designation of the honorary title *Research Chair* may be terminated when:

- The status of the faculty appointment is changed to a non-eligible status as defined by the type of Research Chair (i.e., if the eligibility criteria outlined by the University and Sponsor are not met due to a change in a Chairholder's employment status – generally, a Chairholder holds a full-time, tenured or tenure-track faculty appointment at the University)
- The outcome of the performance evaluation is unsuccessful, or the Chairholder is terminated in accordance with the provisions of the Collective Agreement
- The Chairholder is non-compliant with the policies and rules of the external sponsor or the University
- The funding for the Research Chair is fully expended or no longer available

The procedure for the termination of a Research Chair designation is outlined in the Processes.

Roles and Responsibilities

Senate

The University Senate has purview under the University of Regina Act to authorize establishment of new Research Chairs. Proposals to establish new Research Chairs are presented to Senate by the Provost and Vice President (Academic) and Vice President (Research).

Provost and Vice President (Academic)

The Provost and Vice President (Academic) works collaboratively with the Vice President (Research) and the Associate Vice President (Academic and Research) to identify the general disciplinary focus of new Research Chairs and is responsible for outlining required academic credentials and accomplishments required for candidates to be considered.

Vice President (Research)

The Vice President (Research) is responsible for identifying opportunities and making recommendations for approval of establishment and allocation, nomination, designation, evaluation and renewal, and discontinuation of Research Chairs in consultation with the Provost and Vice President (Academic) to the President and Vice Chancellor and Board of Governors.

Research Office

The Research Office provides support and advice based on best practices, legislation, and contractual agreements. The Research Office supports the Vice President (Research) and provides guidance on matters related to Research Chairs and will also support the work of the CCR for those processes and procedures as designated.

Donor Relations

Donor Relations provides support and identifies external opportunities for the creation and allocation of Research Chairs. Staff work collaboratively with the Vice President (Research) and the Research Office to build relationships with potential external sponsors and in the development of sponsorship agreements.

Council Committee on Research (CCR)

The CCR is responsible for making recommendations to the Vice President (Research) on the establishment and allocation, nomination, evaluation, and discontinuation or termination of Research Chairs within the procedures as outlined in this policy.

Faculty Research Committees or equivalent

Members of Faculty Research Committees are responsible for identifying and preparing letters of intent (LOIs) and nominations for strategic allocation of Research Chairs at the University. Faculty committees will similarly be involved with the evaluation of Research Chair performance, renewal applications, and termination of designation.

Research Chairs

Research Chairs are responsible for understanding and complying with this policy, complying with any specific conditions under which the Chair has been established, and taking responsibility for their research, meeting performance criteria, and submitting all reports required for review, renewal, and completion of terms.

Processes

(1) Externally Funded Research Chairs

Internal Allocation, Nomination and Formal Designation of Research Chairs

The procedure for internal allocation of new, vacant, or vacated Research Chairs to an academic/research unit and the designation of a candidate will follow the processes outlined herein. New Research Chairs shall be established under the authority of Senate and with provision of the Board of Governors.

Call for letters of intent (LOIs):

When an externally funded Research Chair is available, the Office of the Vice President (Research) will notify the Faculties as to the type, level, and any special conditions related to the Research Chair. Deans or their designate (usually the Associate Dean, Research) will coordinate submission of LOIs from their academic/research units. LOIs

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are expected to identify a strategic area for establishing a Research Chair and the profile of a potential Chairholder by addressing:

- a) Rationale for the Research Chair allocation
 - research strengths in the proposed field
 - expected ability to leverage additional resources
 - contribution to the creation and mobilization of knowledge through training of graduate students and highly qualified personnel, outreach activities and interdisciplinary collaboration, and potential of attracting a high-caliber candidate
- b) Description of the research environment
 - existing critical mass of research or, if an emerging area, the potential for building critical mass
 - research environment within the academic/research unit
- c) Strategic Research Plan
 - expected impact on the research profile of the academic/research unit and the University
 - demonstration of fit with the University's Strategic Research Plan, including recognition of or alignment with signature research clusters of the University
 - positioning of the University with respect to the Research Chair in the Saskatchewan/Canada context

Candidates for CRC nominations are not expected to be identified and presented at the LOI stage since CRCs at the University of Regina are intended to target only external recruits. The recruitment process of new faculty members must be conducted in accordance with the Collective Agreement and HR policies and processes.

All Research Chair LOIs should address equity with the four designated groups: women, persons with a disability, Aboriginal Peoples, and visible minorities (required per CRC Secretariat).

Research Chair Nomination

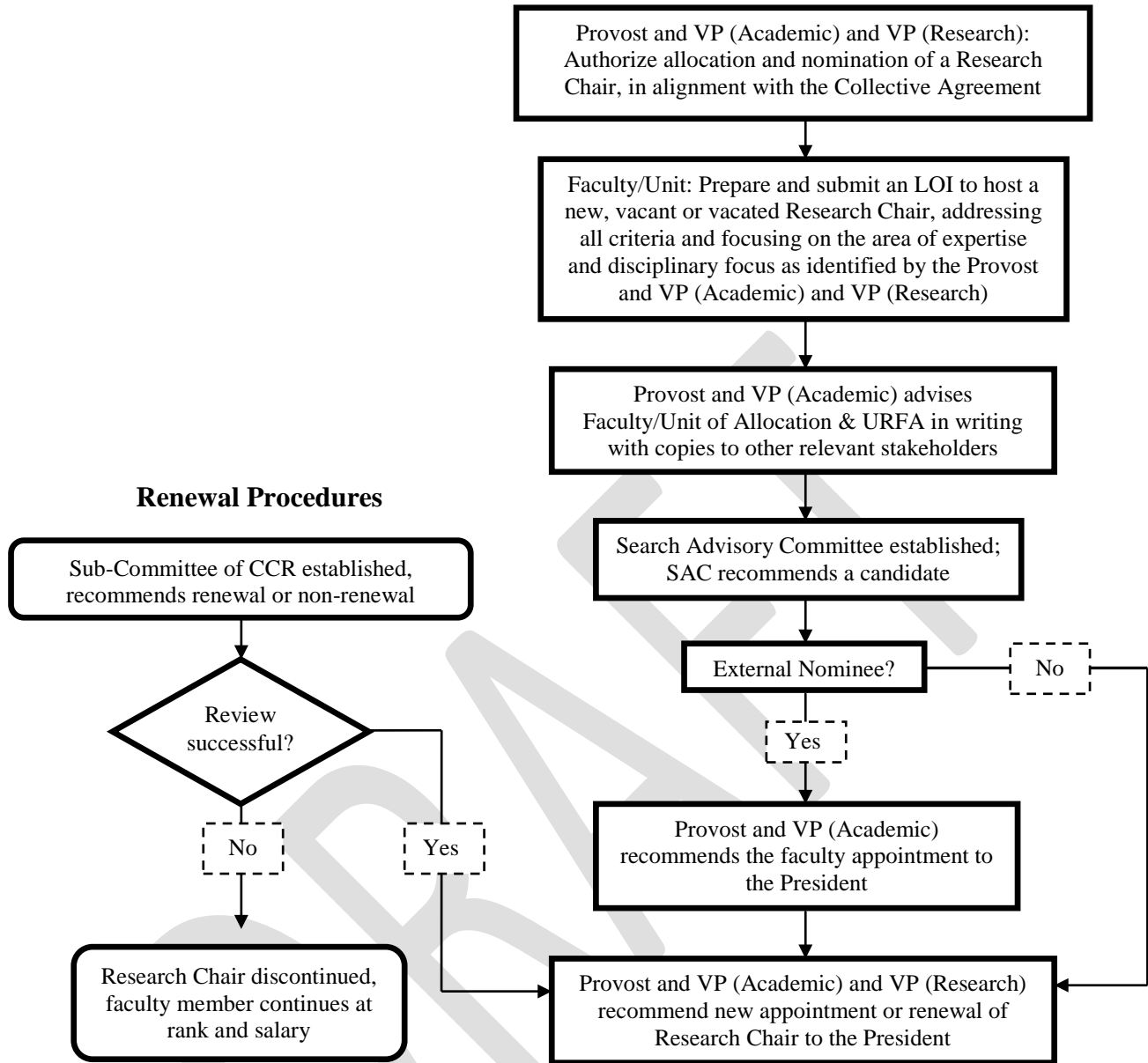
When a Research Chair is allocated to an academic/research unit, a candidate will be identified and nominated to the Research Chair in accordance with the Collective Agreement and HR policies and processes. The process for nomination depends upon whether the candidate is a new recruit or has a faculty appointment at the University, the type of chair and how a nomination is evaluated.

Research Chair Designation

The formal designation of the Research Chair is conditional upon the approval of the nomination and the relevant external designation processes.

External designation (i.e., CRC and IRC) is completed following the Faculty search process for an external candidate. The recruitment and appointment of faculty members are defined and governed by the Collective Agreement and Human Resources policies and processes.

The terms and conditions of the Research Chair are governed by the external sponsor and the University.



Special Conditions for Endowed or Sponsored Research Chairs

The procedure for internal designation of a candidate for new, vacant, or vacated Endowed or Sponsored Research Chairs for which specific objectives and expertise have been identified by the Sponsor will follow the processes outlined herein.

Sponsor-Driven Conditions

When a sponsor indicates interest in the creation of an Endowed or Sponsored Research Chair, Donor Relations, the Provost and Vice President (Academic) and Vice President (Research) will work collaboratively to negotiate the terms and prepare the agreements for creation of the Research Chair in alignment with the Collective Agreement.

- a) For Sponsor-Identified Candidates: a new, vacated or vacant Research Chair is specifically designated by an external Sponsor, targeting a specific research expertise and ideal candidate from the existing faculty complement for delivering that specific research expertise.
- b) For Undesignated Candidate: a new, vacated or vacant Research Chair is specifically designated by an external Sponsor, targeting a specific research expertise, discipline, or candidate profile for delivering that specific research expertise.

Establishment of a Research Chair

Establishment of a new Research Chair and allocation of a vacant or vacated Research Chair must be approved by the Vice President (Research) and Provost and Vice President (Academic), as well as the President and Vice-Chancellor and Board of Governors.

Research Chair Designation

The agreements for terms and conditions of the Research Chair will be drafted collaboratively by Donor Relations and the Research Office.

All Research Chair appointments must include a statement about how the Chair aligns with supporting a representative, addressing equity with the four designated groups: women, persons with a disability, Aboriginal Peoples, and visible minorities.

The formal designation of the Research Chair is conditional upon the approval of the nomination and the relevant external designation processes. Designation of a candidate will take place in accordance with the Collective Agreement and HR policies and processes.

Donor Relations Responsibility

Contact made with Sponsor, who confers with Donor Relations to identify terms, conditions, discipline or research area, and other relevant expectations for the Chair or Professorship

Sponsor confirms terms of establishment

Provost and Vice President (Academic) and Vice President (Research) Authority

Provost and VP (Academic) and VP (Research) authorize establishment of a Research Chair, specify the name and area of the Chair, source of funding, expected category of the position, and any special conditions associated with the appointment, and in alignment with the Collective Agreement

For Undesignated Faculty or Candidate

For Collaboratively Identified Internal Expert / Sponsor-Identified Candidate

Provost and VP (Academic) and VP (Research) invite submission of LOIs from Faculties and Academic Units

Provost and VP (Academic) advises URFA in writing with copies to other relevant

Search Advisory Committee established; SAC recommends a candidate

External Nominee

No

Yes

Provost & VP-A recommends the faculty appointment to the President

Provost and VP (Academic) and VP (Research) recommend or renew the Research Chair appointment to the President

Renewal Procedures

Sub-Committee of CCR established, recommends renewal or non-renewal

Review successful?

No

Yes

Research Chair discontinued, faculty member continues at rank and salary

(2) Internally Funded Research Chairs

The procedure for internal designation and funding of a candidate for new, vacant, or vacated Faculty Research Chairs for which specific objectives and expertise have been identified by the Faculty Dean, Provost and Vice President (Academic), and Vice President (Research) will follow the processes outlined herein. New Research Chairs shall be established under the authority of Senate and with provision of the Board of Governors.

Faculty-Established Conditions and Expectations

When a Faculty indicates interest in the creation of a Faculty Research Chair, the Provost and Vice President (Academic) and Vice President (Research) will work collaboratively to determine the terms and conditions for said Research Chair and prepare the agreements for creation of the Research Chair in alignment with the Collective Agreement.

A new, vacated or vacant Faculty Research Chair will be specifically designated targeting a specific research expertise that is of strategic importance to the University and an ideal candidate from the existing faculty complement for delivering that specific research expertise.

Establishment of a Faculty Research Chair

Establishment of a new Faculty Research Chair and allocation of a vacant or vacated Research Chair must be approved by the Vice President (Research) and Provost and Vice President (Academic), as well as the President and Vice-Chancellor and Board of Governors.

Research Chair Designation

The agreements for terms and conditions of the Research Chair will be drafted collaboratively by the Faculty, in consultation with the Provost and Vice President (Academic), and the Research Office.

All Research Chair appointments must include a statement about how the Chair aligns with supporting a representative, addressing equity with the four designated groups: women, persons with a disability, Aboriginal Peoples, and visible minorities.

Designation of a candidate will take place in accordance with the Collective Agreement and HR policies and processes.

(3) All Research Chairs

Reporting, Evaluation and Renewal of Research Chairs

- Annual reporting is required of all Research Chairs.
 - The Research Office will coordinate the format, submission deadlines, and requirements for inclusion in annual reports.
 - Additional requirements for annual reporting of externally sponsored Research Chairs are governed by the rules of the external sponsor.

Appendix C

- Mid-term review is required of all Research Chairs and will be coordinated by the Research Office in collaboration with Faculty Research committees.
- Research Chairs that are renewable after a completed term must undergo an internal performance evaluation.
 - Each Faculty will establish a committee at least 12 months prior to the external renewal application deadline to review the renewal package assembled by the Research Chair.
 - The Faculty committee recommendation will be submitted to the Vice President (Research) and Council Committee on Research at least 6 months in advance of the external renewal application deadline.
 - The renewal package will include annual reports, outcomes of the mid-term evaluation, and any other additional and applicable evidence to support renewal.
- Following a positive decision by the Vice President (Research) and Council Committee on Research:
 - An externally sponsored Research Chair may proceed with the development of the renewal dossier. A successful renewal nomination by the external sponsor will result in the continuation of the Research Chair designation.
 - An Endowed or Sponsored Research Chair will be considered renewed and will receive a letter of appointment stating the terms and conditions of the upcoming term.
- Following a negative decision by the Office of the Vice President (Research) and Council Committee on Research, the Research Chair returns to the University pool, per policy.

Discontinuation and Termination of Research Chairs

The following describes the procedure for the discontinuation of Research Chairs as well as the termination of an honorary Research Chair designation.

Discontinuation of a Research Chair:

A Research Chair may be discontinued by mutual agreement between the University and a Sponsor. The discontinuation may be due to the withdrawal or lack of sufficient funds by the Sponsor or other reasons.

The University may consider limited support during the phase-out period in order to ensure that existing student commitments are met. As a result, the Chairholder must present a plan for the phasing-out of the position, with special consideration being given to the implications for the students involved in the Research Chair's activities. The Chairholder retains their pre-existing academic appointment at their existing rank and salary level, excluding the stipend from the Research Chair.

CRCs Eliminated by the Chairs Secretariat

If an institution's performance decreases relative to other institution to the extent that the institution's Chair allocation is reduced through the re-allocation process, the Chairs Secretariat will reclaim the lost Chair allocations. The institution can choose, in consultation with the Secretariat, to give back unoccupied Chairs or to use a deactivation funding mechanism using a sliding scale of decreasing support (100–50–0 per cent) on active Chairs.

CRC allocations eliminated prior to completion of a full term due to reallocation by the Chairs Secretariat require that the University of Regina terminate an existing CRC-holder. In that event, the Chairholder whose CRC is terminated will be granted an extension of all teaching load provisions and Faculty research support, at the discretion of the relevant Dean or Director. The institutional stipend and research portion will be terminated. Chairholders will retain their titles until the end of their existing terms.

<http://www.chairs-chaire.gc.ca/program-programme/allocation-attribution-eng.aspx>

Appendix C

Determination of the CRC whose term shall be terminated in the event of elimination by the Chairs Secretariat will be completed at the discretion of the Vice President (Research) who will consider time remaining in the existing terms of all CRCs, research performance and funding status of all CRCs, and potential for converting CRCs into other existing or emerging Chairs positions.

Termination of a Chairholder's Designation:

A Chairholder may, at any time, voluntarily relinquish a Research Chair designation. In this case, a written notice shall be sent by the Chairholder to the Faculty Dean who shall ensure that the Office of the Vice President (Research) and the Research Office are informed.

A Research Chair's honorary designation may be terminated by the University if any of the following situations apply:

- a) The status of the faculty appointment is changed to a non-eligible status as defined by the chair type. Eligibility criteria for Chairholders are governed by the University and the Sponsor. In general, a Chairholder holds a full-time, tenured or tenure-track faculty appointment at the University. If the faculty appointment changes (i.e. from full-time to part-time or adjunct), the Chairholder might not be eligible to continue holding the Research Chair designation and the designation will be terminated as of the date of the status change. The same applies if a Chairholder leaves the University.
- b) The outcome of the Research Chair's performance evaluation is unsuccessful or if the Research Chair is terminated in accordance with the Collective Agreement and/or relevant HR policies and processes. Based upon the outcome of the performance evaluation for renewal, the CCR, in consultation with the Faculty committee, may decide not to renew the Research Chair. In cases of non-renewal, the Chairholder will relinquish the Research Chair at the end of the term. The Chairholder retains a full-time academic appointment at the existing rank and salary level, excluding the stipend from the Research Chair. In addition, if the Chairholder is terminated from the University in accordance with the Collective Agreement, the term as Research Chair shall terminate simultaneously.
- c) The Chairholder is non-compliant with the regulations set by the University or by the Sponsor. There are two aspects of compliance that impact a Research Chair:
 - (i) compliance related to academic performance and/or
 - (ii) compliance with the regulations outlined by the University and the Sponsor.

Any compliance issues raised during annual reporting or mid-term review will be monitored in the following annual report. Two consecutive unsatisfactory evaluations may be grounds for ending the Research Chair designation. If the Faculty considers terminating the designation of a Research Chair during a term, a written justification shall be submitted to the Vice President (Research). In the spirit of conciliation, the Vice President (Research) may convene all parties involved and seek advice from the CCR to propose a plan for either the realignment of the Research Chair or the phasing out of the Research Chair activities.

Non-compliance with the regulations outlined by the University or the Sponsor or the Collective Agreement may result in the freezing of funds for the Research Chair. Fraudulent use of funds or other forms of academic, scholarly, or research misconduct are sufficient grounds for the University to terminate the Research Chair designation without notice. In addition, the University will promptly report any fraudulent use of funds to the appropriate authorities and implement internal processes for academic, scholarly, and research integrity.

The grievance provisions of the Collective Agreement shall apply to the termination of a Research Chair's designation by the University.

Appendix C

When a Research Chair designation is terminated, the University will contact the Sponsor to inform them of the termination. If the Research Chair is still available to the University, it will become vacant and the internal procedure for a new nomination will be initiated in accordance with the allocation process.

The termination of a Canada Research Chair is governed by the CRC program Secretariat's administrative guidelines, acknowledging that University regulations supersede all other factors concerning the faculty appointment of Research Chairs.

Related Information

- [University of Regina 2015-2020 Strategic Plan](#)
- [GOV-022-025 – Research/Scholarly Misconduct](#)
- [RCH-020-005 – Care and Use of Animals](#)
- [RCH-020-010 – Ethics – Research with Humans](#)
- [GOV-022-010 – Conflict of Interest and Conflict of Commitment](#)
- [Canadian Council on Animal Care](#)
- [Tri-Agency Framework: Responsible Conduct of Research](#)

Research Trust Fund

As quoted from the University of Regina / [URFA Collective Agreement 2014-2017](#):

"There shall be a fund at the University called The University of Regina Research Trust Fund, the proceeds of which are to be used solely for legitimate expenses incurred by academic staff members in research and scholarly pursuits. The money in the Fund is vested solely in the University. The signing authority for the Fund is the Vice-President (Research), or the designate for that title."

The Research Trust Fund Application form can be downloaded under [Policies and Forms](#).

Employees may also donate to the fund. The donation form can be downloaded under [Policies and Forms](#).

Application Procedures

Complete and submit the application form following the application guidelines. Applications must be submitted to the Research Office on *February 1 and September 1* of each year.

One original must be submitted to the Research Office (RC 109). All applications must be typed using Times New Roman 12-point font and must not exceed the maximum number of pages identified for each section. Excess pages will be removed and will not be reviewed by the Council Committee on Research, which is responsible for adjudicating the applications.

All applications must be signed by the Department Head or the Dean (or designate), as appropriate.

Consideration of Applications

The Council Committee on Research has developed a [criteria document](#) to assist in the consideration of applications.

Administration of Funds

The Research Office will notify applicants about the results of their applications.

Expenditures may be made only for those specific purposes authorized by the Committee. The Research Office will open a new account for the funds. Funds must be used within one year of the award date, after which all residual funds will be recovered to the source fund. A 6-month extension will be permitted upon request. Overspending is not permitted. Grantees will provide a 1-2 page report based on outcomes and budget.

As per Appendix A 16.3.4 in the University of Regina / [URFA Collective Agreement 2014-2017](#), "Expenditures may not be reimbursed which would result in a taxable benefit to the academic staff member. Furthermore, no salary, fees, stipends, etc., paid to the individual or to that person's immediate family shall be reimbursed, and no entertainment expenses may be reimbursed."

For more information, please consult the Research Trust Fund Application Form or the University of Regina / URFA Collective Agreement or [contact](#) the Research Office.

Appendix E

**Report to CCR from
Canada Foundation for Innovation (CFI) Subcommittee
September 2015**

In May 2015, the subcommittee of Shanthi Johnson, Josef Buttigieg and Hussameldin Ibrahim reviewed five expressions of interest for the CFI John R. Evans Leaders Fund (JELF) and recommended two projects be forwarded to CFI.

Applicant	Project	Purpose	Total Project Cost	CFI Request
RECOMMENDED				
Mohan Babu (SC/BIOC)	<i>A systematic mapping of mammalian neurodegenerative disease-linked mitochondrial pathway architecture using high-content genome-wide RNAi genetic interaction screens</i>	Genome Scale esiRNA library (\$55,494); High content screening platform (\$181,84); renovation (\$10,000)	247,334	94,001
Garth Huber (SC/PHYS)	<i>SoLID Heavy Gas Cherenkov Detector Physics</i>	Detector enclosure (\$60,000); mirror/cone (\$27,389); components (\$106,828); shipping (\$1000); design personnel (\$93,750)	288,967	46,459
NOT RECOMMENDED				
Paul Bruno (KHS)	<i>Effect of exercise therapy on Lower Back Pain</i>	Vicon motion system (\$52,935); force plates (\$73,680); software(\$7,866)	134,490	53,796
Patrick Neary/Kim Dorsch (KHS)	<i>Mild Traumatic brain injury diagnosis and management</i>	Sonara TCD (\$36,375); OxyMon NIRS (\$88,204); PowerLab ADInstruments (\$63,786), Finometer (\$63,911); NeuroTracker (\$35,327)	287,603	115,041
Chris Somers/Richard Manzen (SC/BIOL)	<i>Maintaining productive freshwater fisheries</i>	Swim performance “tunnels” (\$257,254); instrumentation (\$152,862); mobile aquatics lab/tow vehicle (\$146,000)	556,118	222,447

Appendix E

In September 2015, the subcommittee of Shanthi Johnson, Josef Buttigieg and Hussameldin Ibrahim reviewed four letters of intent for the CFI Innovation Fund and recommended 2 projects be forwarded to CFI.

Applicant	Project	Purpose	Total Project Cost	CFI Request
RECOMMENDED				
Chris Yost/Andrew Cameron (SC/BIOL)	<i>Microbial Systems and Society: the interface between healthy environments and public health</i>	Chemostat/soil mesocosm/qPCR/incubators/freezer/centrifuge/spectrophotometer (\$233,000); computers (\$17,000); renos (\$100,000)	\$350,000	\$140,000
Chris Somers/Richard Manzen (SC/BIOL)	<i>Maintaining productive freshwater fisheries</i>	Swim performance “tunnels” (\$257,254); instrumentation (\$160,806); mobile aquatics lab/tow vehicle (\$134,700)	\$553,508	\$221,048
NOT RECOMMENDED				
Paul Bruno (KHS)	<i>Effect of exercise therapy on Lower Back Pain</i>	Vicon motion system (\$57,488); force plates (\$76,843); software(\$61,68)	\$140,499	\$56,200
Patrick Neary/Kim Dorsch (KHS)	<i>Mild Traumatic brain injury diagnosis and management</i>	Sonara TCD (\$36,375); OxyMon NIRS (\$88,204); PowerLab ADInstruments (\$63,786), Finometer (\$63,911); NeuroTracker (\$35,327)	\$287,603	\$115,041

NIL – Balance of the JELF allocation. These submissions represent the full balance of the JELF allocation for 2014-2017. CFI has announced continued funding for this program, with new allocations beginning in 2017.

Sept 17, 2015
Submitted by: S. Johnson, J. Buttigieg and H.Ibrahim
Prepared by: M.Beitel, Research Office