

John Molson School of Business Policy for JMSB-Recognized Research Units

Preamble

The purpose of this document is to outline the policies set by the John Molson School of Business (JMSB) to allow for the creation of Research Units within the School. Currently, the Office of the Vice-President, Research and Graduate Studies (VPRGS) administers the creation, review and renewal of University Research Units (Policy number VPRGS-8 which governs Research Units whose primary mandate is research and the training of graduate students). This JMSB policy is intended to address the needs of those researchers whose focus is primarily within the JMSB or those who have not yet reached the critical mass to seek University Research Unit status.

The JMSB recognizes the importance of Research Units in the creation of a suitable environment to encourage interdisciplinary scholarship. The overall goals of JMSB Research Units are to:

- enhance opportunities for collaborative scholarship/research activities, including opportunities for new scholars to develop their own research programs and to build collaboration with established scholars;
- enhance undergraduate and graduate teaching and/or training opportunities, including financial or in-kind support of student research-related activities where possible (such as the Annual Graduate Research Exhibition);
- increase visibility of Research Units ;
- facilitate long-term strategic planning;
- serve as ‘incubators’ for research groups seeking University (VPRGS) Research Unit status.

Types of Research Units

JMSB Institutes

An *Institute* is defined as consisting of a core group of scholars, primarily from within JMSB, placing equal emphasis on collaborative scholarship/research and undergraduate and graduate education.

JMSB Centres

A *Centre* is defined as consisting of a core group of scholars, primarily from within JMSB, placing primary emphasis on scholarship/research and graduate and post-doctoral training. Normally, no academic program will be directly associated with a *Centre*. A JMSB Centre may include membership from other universities but shall always have a JMSB faculty member appointed as its Director. Memberships in Centres shall be determined by the by-laws of the Centre and may include post-doctoral fellows and doctoral students.

Common Definitions

Research Units are non-departmental units, established within JMSB, with specific objectives to advance research-related goals. As such they are normally expected to:

- Focus on scholarship/research and/or undergraduate, graduate and post-doctoral education and training;
- Be led by a Director appointed for a time-limited term;
- Have a formal governance structure, including an advisory committee;

- Have continuous existence and clearly identified goals and objectives;
- Bring together scholars under a coherent research and/or pedagogical program;
- Have a core of permanent members and long-term collaborations among members;
- Be financially secure with core funding for its operations and research activities (i.e. external grants, contracts or donations) or to seek core funding as part of their strategic plan;
- Where appropriate, cooperate with scholars/researchers at other universities and/or institutions and foster collaborations with industry partners or community groups.

Resource Allocation

- It is understood that JMSB Research Units will function as ‘self-funded’ units, receiving no direct support for technical support or operating expenses.
- Requests for space will be examined on a case-by-case basis and only if the request meets the strategic needs of JMSB.
- Requests for teaching remission for additional administrative responsibilities will only be considered in the case of JMSB-recognized Research Units. In each case, funds to support a course remission must be available from financial resources generated from sources external to the university. The final decision on course remissions is at the discretion of the Dean.
- In all cases, requests for faculty support must meet the strategic needs of the JMSB and will be granted at the discretion of the Dean.

Governance

- For JMSB Research Units, a Director (or Co-Directors) must be identified as the head of the unit. The Director is accountable on all operational matters of the unit and reports to the Dean.
- The Director shall be appointed for a three (3) year term and may be re-appointed for additional terms. Appointments will be made by the Dean upon the recommendations of an advisory search committee.
- In the case of new Units, the appointment of the founding director may be made for a term of one (1) year, at the discretion of the Dean.
- The Director (or at least one Co-Director) must hold a faculty appointment within JMSB and be on the university payroll during the term of appointment.
- The Director is expected to establish an Advisory Committee to assist in the operations and planning of the unit. The composition of the Advisory Committee should be approved by the Dean. It is recommended that the Associate Dean, Research and Research Programs be an ex-officio member of this committee.
- The terms for board members should preferably be staggered, and there should be limits on the number of times any one member can be reappointed.
- The Director of the research Unit is expected to appoint a Scientific Committee composed of faculty members with appropriate experience to help the Director in vetting research proposals, and other specifically research-related matters.
- The mandates of each committee should be clearly delineated. The Advisory Committee is responsible for oversight of the management of the center while the scientific committee is responsible for all research-related matters.

- The Director will have the day-to-day responsibility for staff operations of the unit, as well as ensuring that the unit conforms to the relevant Collective Agreements and policies in effect within the University.
- In particular, all Research Units must conform to University policies and procedures pertaining to research including health and safety of staff working in research laboratories, compliance certification for research, recovery of indirect costs on research grants and contracts, and University approval to engage in formal partnerships with other universities, industry or other organizations. The Director is required to keep appropriate documentation in connection with research-related decision-making of the Research Unit.
- The Research Unit must provide annual reports on its research-related activities, providing information regarding such matters as the number of submissions received for various calls for research, identification of those who received the funds, and all publications and conference presentations that resulted. This annual report should be prepared by the Director, and approved by the Research Unit's Advisory Committee prior to submission to the Dean of JMSB.

Publicity

- Only recognized JMSB Research Units will be promoted on the JMSB website.
- Recognized JMSB Research Units may request support in the development and maintenance of web-based material as well as promotional materials, within reasonable limits.
- Individuals may create a 'named laboratory' at the discretion and approval of their home department. However, the use of logos, including those of Concordia University and the JMSB must be approved by the Faculty and VPRGS.

Process

Creation and Recognition

- Initial inquiries should be directed to the Associate Dean, Research and Research Programs, with sufficient information in the Proposal to allow the merits and feasibility of establishing a Research Unit to be assessed. The information provided should include the mission and objectives, membership, governance structure, makeup of advisory committee, sources of funding, and activities.
- Letters indicating support from the appropriate department heads must be included.
- Requests for JMSB Research Unit status must be approved by the JMSB Executive Committee. Upon approval, the Research Unit Director will receive formal notification from the Dean of JMSB indicating the terms and reporting requirements.

Review

- Research Units are expected to submit an annual report to the Dean by May 31st of each year, outlining activities, funding and membership, to be presented at Faculty Council for information. This report should include a summary of all research grants awarded (the name of the Principal Investigator, the title of the project, the amount awarded and the outcomes of the project).

- In cases where JMSB financial or in kind support has been provided, renewal of any committed support will be reviewed annually.

Closure

JMSB reserves the right to discontinue recognition of a Research Unit at any time for financial exigency or other reasons.

- A JMSB-recognized Research Unit may choose to terminate its status at any time. The Director of the Research Unit must discuss the closure with the Associate Dean, Research and Research Programs, and the Dean without delay if the Research Unit is no longer active.
- Upon discontinuation of recognition, equipment and facilities under the responsibility of the Research Unit will be transferred to the hosting department(s). A Research Unit may not sell, donate or otherwise dispose of any equipment or material that was acquired with research funds.

JMSB Recommendation for University-recognized Research Unit Proposals

Only JMSB-recognized Research Units may submit a Proposal to the Office of the Vice-President, Research and Graduate Studies (OVPRGS) seeking university recognition. The proposal must be submitted to the Faculty Research Committee (FRC), which will forward its recommendation to the Dean. Submission to the OVPRGS can proceed once a letter of support is obtained from the Dean.

Operating Procedures for Allocation of Research Funding by Research Units within JMSB

In accordance with the Tri-Agency Framework: Responsible Conduct of Research, Tri-Agency and institutional policies apply to all research conducted under the auspices or jurisdiction of an institution, whether the research is funded by an external source such as a government agency or a private donor, or funded by an internal source such as a Research Unit. As a result, all Research Units residing in JMSB must comply with Tri-Agency and institutional policies, even if they do not hold JMSB- or University-recognized status. Policies include, but are not limited to, areas such as financial management, ethical review of research involving humans, peer review processes, and reporting on performance and outcomes.

In line with the overall objectives for Research Units (outlined above in the Preamble), Research Units are encouraged, whenever possible, to allocate research funding which will support the development of JMSB's research capacity through student training and through the mentorship of junior faculty members in order to build their potential to compete for external funding.

Guidelines for Calls for Proposals for Research Grants

- Directors of all research units are expected to make a formal call for proposals for research funds.
- All calls should be actively promoted to all full-time JMSB faculty members in an open competition. Research funds are not to be exclusively used by or awarded to the director or his/her teams/associates, but awarded competitively to diverse eligible applicants. The

Director can apply for research funds as an investigator, but these awards must be kept to a reasonable minority of the funds allocated for this purpose.

- Submissions must be adjudicated by a scientific committee acceptable to the Dean/Research Office. Criteria for the committee's composition may include, but not be limited to, the total number of members and the inclusion of members from various disciplines. The Director of the Research Unit must ensure that there is no apparent conflict of interest in the deliberations of the committee.
- The JMSB Office of the Associate Dean, Research and Research Programs, must be directly informed of all calls for proposals and awards issued.

Guidelines for Post-Award Administration of Research Grants

- All applicants who are granted an award must promptly submit a copy of the proposal, budget, application, and letter of award along with the Concordia Grant Submission Form through the Office of Research's electronic online system, ConRAD. The letter of award must specify the amount awarded and the start and end dates of the grant.
- Before beginning any research on the project, the Principal Investigator must also submit a Summary Protocol Form for ethics compliance to the Concordia Office of Research if the research will involve human subjects in any way (including web surveys, interviews, etc.).
- Once the requirements for compliance are complete, a Notification of Award will be issued and Restricted Funds in Financial Services will open a research account in the name of the Principal Investigator.
- The Principal Investigator is responsible to submit a report to the Research Unit's Director within a three month period following the expiration of the grant account.

