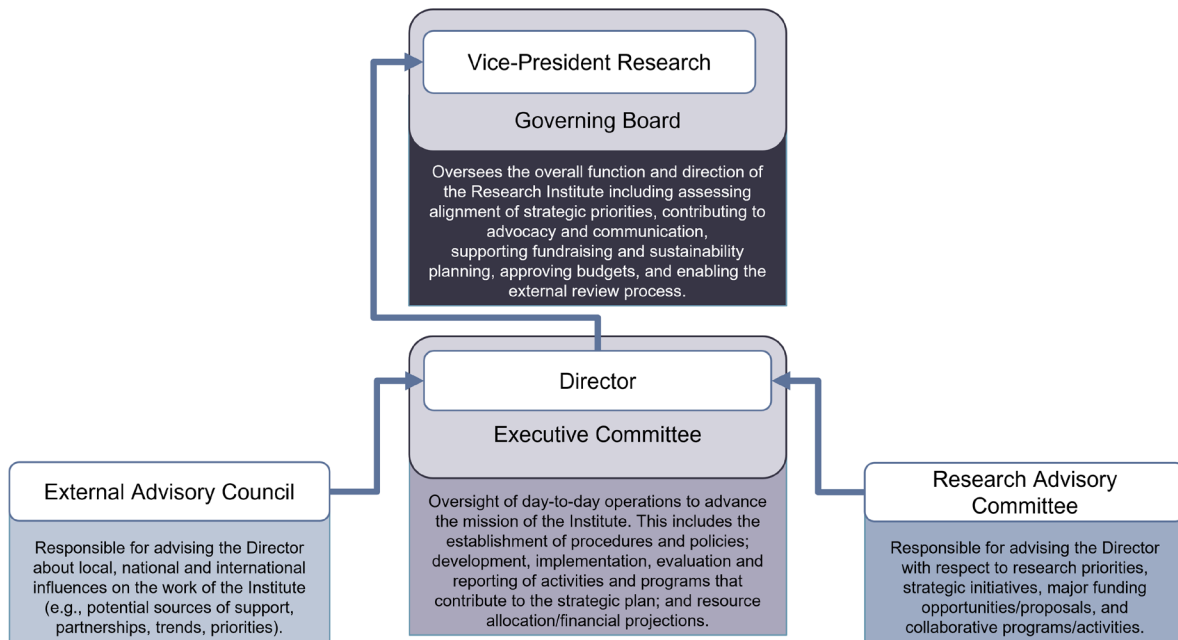


## Western Research Institute Terms of Reference Guidelines

Western Research Institutes are required to have an Executive Committee (EXEC), a Research Advisory Committee (RAC), and an External Advisory Council (EAC) as components of their core governance structure (see diagram below).



In this document, you will find terms of reference guidelines that include information about the mandate, composition, and processes for each of these structures. The Director of each Western Research Institute uses these guidelines to develop unique terms of reference that reflect the needs of the community they serve.

Support in establishing these core structures is available by contacting the Director of Western Research Institutes. Visit <https://www.uwo.ca/research/about/directory/index.html> for contact details.

**Contents**

Governing Board (GB)..... 3

    Mandate ..... 3

    Composition..... 3

    Meetings & Decision Making ..... 3

    Evaluation and Revision of the Terms of Reference ..... 4

Executive Committee (EXEC)..... 5

    Mandate ..... 5

    Composition..... 5

    Meetings & Decision Making ..... 6

    Evaluation and Revision of the Terms of Reference ..... 6

Research Advisory Committee (RAC)..... 7

    Mandate ..... 7

    Composition..... 7

    Meetings & Decision Making ..... 8

    Evaluation and Revision of the Terms of Reference ..... 8

External Advisory Council (EAC)..... 9

    Mandate ..... 9

    Composition..... 9

    Meetings & Decision Making ..... 10

    Evaluation and Revision of the Terms of Reference ..... 10

## Governing Board (GB)

### Mandate

The GB is responsible for overseeing the overall function and direction of all Western Research Institutes. This includes:

- reviewing institutes' annual report prepared by the Director on the status, progress and immediate future plans of the institute
- assessing alignment of the institutes' future plan and strategic priorities with other units;
- providing advice to the Institute Directors regarding the direction and function of the Institute (immediate and long-term plans)
- making recommendations for membership on the Institutes' core governance structures;
- contributing to advocacy, partnership development, and communication about institute work;
- supporting fundraising as well as providing advice and guidance regarding sustainability;
- advising the Vice-President (Research) about reporting and key measures for success;
- reviewing financial projections and providing feedback to the Vice-President (Research);
- supporting the external review process and evaluating the performance of the Institute Directors led by the Vice-President (Research) at least every five years, and;
- accomplishing any other Institute work requested by the the Vice-President (Research).

### Composition

In accordance with Western University's Manual of Administrative Policies and Procedures (MAPP), policy 7.9 section 2.01 (June 26, 2014) members of the GB include Western's Vice-President (Research - or designate), Western's Vice-President (University Advancement), and the Deans (or designates) from the Faculties that have principal roles in the success of the Institute.

Non-voting members include the Associate Vice-President (Research), the Executive Director (Western Research), and the Director of Western Research Institutes.

The **Vice-President (Research - or designate)** will serve as **chair**.

### Meetings & Decision Making

The GB will meet at least once a year, or more frequently at the discretion of the Vice-President (Research). Formal minutes will not be taken, but summary of discussion points and action items will be compiled and circulated by the Executive Specialist to the Vice-President (Research).

### Conflict of Interest

Members are: (a) required to disclose any conflict or potential conflict, and (b) prohibited from discussing/voting on any matter in which there is a conflict. Potential conflicts of interest should

be disclosed prior to meetings and/or prior to discussion of the specific issue in conflict. Members in conflict will normally be expected to leave the meeting while the issue is discussed.

### **Evaluation and Revision of the Terms of Reference**

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GB terms of reference and membership shall be reviewed annually by the Vice-President (Research) to ensure adequate adherence to Western Institute requirements. The current terms were drafted August 2022.

## Executive Committee (EXEC)

### Mandate

The EXEC is responsible for providing leadership support and advice regarding day-to-day operations that advance the mission of the Institute.

This includes:

- contributing to the development and implementation of a strategic plan and Institute specific policies and procedures that foster interdisciplinary research, build on the strengths of current members and resources, and promote outreach, multi-sectoral partnerships and globalization;
- helping to determine and secure the necessary experts and resources to effectively implement Institute programs and activities that advance the strategic priorities;
- enabling the effective evaluation of Institute programs and activities as well as reporting accomplishments to the Governing Board via the Vice-President Research;
- informing budget development and financial projections to be put forward to the Vice-President Research by the Director;
- working with the Governing Board/Vice-President Research with regards to recruitment and sustainability planning; and
- accomplishing any other Institute work requested by the Director and/or the Governing Board/Vice-President Research.

### Composition

The EXEC will normally include **two to five** members at any given time depending on the size and breadth of the Institute. To the greatest extent possible, membership will be diverse in terms of expertise, home Faculty, gender, culture, and sector.

- The **Director** of the Research Institute will serve as **chair**. In accordance with Western University's Manual of Administrative Policies and Procedures (MAPP), policy 7.9 section 2.01 (June 26, 2014), the Provost/Vice-President (Academic) will appoint the Director based on the recommendation of the Vice-President (Research)/Selection Committee to serve a **three to five-year term** that is renewable once. A representative of the EXEC, selected by the EXEC, will act on behalf of the Director when the Director is not available. The Director will hold a Western Research Chair (Leadership) and will receive associated remuneration.
- One to three **Associate Director(s)** will be appointed by the Vice-President (Research) in consultation with the Governing Board based on the recommendation of the Director (refer to MAPP 7.9 for the grassroots nomination process). They will serve a **one to three-year term** that is renewable once. Associate Directors will receive a research allowance.
- **Members at large** may be appointed by the Director to serve a **one to three-year term** that is renewable once. Members at large will not be remunerated.

To maintain continuity, appointments will be staggered so that only one-third of members will be considered for replacement or re-appointment each year. The Research Institute Administrative Officer is a non-voting, ex-officio member of the EXEC. Both the Director and the Administrative Officer work closely with the Director of Western Research Institutes with respect to oversight, policies and procedures, strategic planning, budget development, sustainability, etc.

### **Meetings & Decision Making**

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The EXEC will meet at least once monthly in person and/or virtually. The Director may call additional meetings, re-schedule or cancel meetings as needed/required. Formal minutes will not be taken, but summary of discussion points and action items will be compiled by the Administrative Office to guide the work of the EXEC and administrative team (made available to the Vice-President (Research) and/or the Director of Western Research Institutes upon request). On all matters relating to the Institute and its function, the EXEC advises and supports the performance of the Director who reports to the Vice-President (Research). The EXEC will strive to operate by consensus where each member, including the Chair, may contribute to the consensus-making process. The exact distribution of responsibilities and portfolios would be defined by the Director.

### **Conflict of Interest**

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Members are: (a) required to disclose any conflict or potential conflict, and (b) prohibited from discussing/voting on any matter in which there is a conflict. Potential conflicts of interest should be disclosed prior to meetings and/or prior to discussion of the specific issue in conflict. Members in conflict will normally be expected to leave the meeting while the issue is discussed.

### **Evaluation and Revision of the Terms of Reference**

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EXEC terms of reference and membership shall be reviewed annually by the Vice-President Research with the Governing Board to ensure adequate adherence to Western Institute requirements. The current terms were drafted March 2022. Institute specific terms must be approved by the Vice-President Research.

## Research Advisory Committee (RAC)

### Mandate

The Research Institute's Research Advisory Committee (RAC) is responsible for advising the Director regarding Institute scientific and/or scholarly priorities. This includes:

- identifying strategic priority grand challenges, deep problems, wicked problems and associated research questions;
- suggesting innovative approaches to mobilize Institute experts and resources (e.g. investigators, staff, trainees, equipment/infrastructure) to facilitate interdisciplinary collaboration, knowledge exchange and impact;
- engaging knowledge users/stakeholders (e.g. supporting linkages to and the inclusion of external experts and partners from other university units, teaching hospitals, research institutes, governments, non-government organizations, community organizations, consumer and private-sector representatives) to improve relevance, uptake and use of research projects and solutions;
- contributing to applications for major funding that support Institute strategic priorities in research, innovation, training; and/or knowledge exchange;
- enabling connections to or leading provincial, national, and international research teams and networks as a means of supporting large multi-centre initiatives; and
- providing guidance with respect to any other matter that may be brought forward by the Director.

### Composition

RAC membership will normally include **up to 12 members** that represent research areas, programs and/or facilities that are key to advancing the strategic plan of the Institute. To the greatest extent possible, membership will be diverse in terms of expertise, home Faculty/Department, stage of career (e.g., senior/mid-career/early career investigators, post-doctoral/graduate trainees), gender, culture, and sectors.

- The **Director** serves as the Chair. In accordance with Western University's Manual of Administrative Policies and Procedures (MAPP), policy 7.9 section 2.01 (June 26, 2014), the Director is responsible for appointing RAC members based on the recommendation of the EXEC (refer to MAPP 7.9 for the grassroots nomination process).
- **Members at large** will be appointed by the Director to serve a **one to three-year term** that is renewable once. Members at large will not be remunerated.

To maintain continuity, appointments will be staggered so that only one-third of members will be considered for replacement or re-appointment each year. The Research Institute Administrative Officer is a non-voting, ex-officio members of the RAC.

## Meetings & Decision Making

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The RAC will meet at least every quarter in person and/or virtually. The Director may call additional meetings, re-schedule or cancel meetings as needed/required. Formal minutes will not be taken, but summary of discussion points and action items will be compiled by the Administrative Office to guide the work of the RAC and administrative team (made available to the Vice-President (Research) and/or the Director of Western Research Institutes upon request). On all matters relating to the Institute and its function, the RAC advises and supports the performance of the Director who reports to the Vice-President (Research). The RAC will strive to operate by consensus where each member, including the Chair, may contribute to the consensus-making process.

## Conflict of Interest

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Members are: (a) required to disclose any conflict or potential conflict, and (b) prohibited from discussing/voting on any matter in which there is a conflict. Potential conflicts of interest should be disclosed prior to meetings and/or prior to discussion of the specific issue in conflict. Members in conflict will normally be expected to leave the meeting while the issue is discussed.

## Evaluation and Revision of the Terms of Reference

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RAC terms of reference and membership shall be reviewed annually by the Vice-President Research with the Governing Board to ensure adequate adherence to Western Institute requirements. The current terms were drafted March 2022. Institute specific terms must be approved by the Vice-President Research.



## External Advisory Council (EAC)

### Mandate

The Research Institute's External Advisory Council (EAC) is responsible for advising the Director regarding local, national, and international factors that may inform or impact Institute activities by:

- providing information about societal needs and external trends that may influence the Institute strategic priorities/goals;
- contributing to the development and implementation of programs and activities that support research, innovation, training, and knowledge exchange;
- creating opportunities for knowledge user consultations across a variety of sectors such as academic, healthcare, education, environment, and industry;
- enabling the engagement of provincial, national, and international stakeholders/partners and/or potential sources of support to accomplish priority projects and/or large multi-centre initiatives; and
- providing guidance with respect to any other matter that may be brought forward by the Director.

### Composition

The EAC will normally include **up to 10** members at any given time depending on the size and breadth of the Institute. To the greatest extent possible, membership will reflect a broad cross-section of external (non-Western) experts that offer a diverse range of perspectives. This may include knowledge users from other Institutes (e.g. Lawson Health Research Institute - Scientific Director or designate, Robarts Research Institute - Scientific Director or designate), the community (e.g. consumer representative, business owner, industry representative, education board trustee, advocacy group stakeholder) or other academic institutions. In accordance with Western University's Manual of Administrative Policies and Procedures (MAPP), policy 7.9 section 2.01 (June 26, 2014), the Director will appoint EAC members based on the recommendation of the Executive Committee.

- The EAC will elect a Chair and Vice-Chair from within its own ranks that will normally serve a **one to three-year term** that is renewable once.
- External members will serve a 3-year term that is renewable. They will receive a small honorarium and travel expenses for the annual meeting, in accord with the University's Travel & Expenses Reimbursement Policy.
- Institute officers will serve a 3-year term that is renewable. They will not be remunerated.

To maintain continuity, appointments will be staggered so that only one-third of members will be considered for replacement or re-appointment each year. The Director and Administrative Officer are non-voting, ex-officio members of the EAC, and not eligible to serve as its Chair or Vice-Chair.

## **Meetings & Decision Making**

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The EAC will meet at least once per year in person and/or virtually. The Director may contact the Chair to request additional meetings. The Chair can call additional meetings, re-schedule or cancel meetings as needed/required. Formal minutes will not be taken, but summary of discussion points and action items will be compiled by the Administrative Office to guide the work of the EAC and administrative team. Summary minutes will be provided to the Vice-President (Research) via the Director of Western Research Institutes for distribution to the Western Research Institute Governing Board. On all matters relating to the Institute and its function, the EAC is in place to advise and support the performance of the Director who reports to the Vice-President (Research). The EAC will strive to operate by consensus where each member, including the Chair, may contribute to the consensus-making process.

### **Conflict of Interest**

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Members are: (a) required to disclose any conflict or potential conflict, and (b) prohibited from discussing/voting on any matter in which there is a conflict. Potential conflicts of interest should be disclosed prior to meetings and/or prior to discussion of the specific issue in conflict. Members in conflict will normally be expected to leave the meeting while the issue is discussed.

## **Evaluation and Revision of the Terms of Reference**

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EAC terms of reference and membership shall be reviewed annually by the Vice-President Research with the Governing Board to ensure adequate adherence to Western Institute requirements. The current terms were drafted March 2022. Institute specific terms must be approved by the Vice-President Research.