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CANADA RESEARCH CHAIRS
CHAIRES DE RECHERCHE DU CANADA

Canada Research Chairs

Program Guide

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Canada 

Canada Research Chairs Program Guide

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Canada Research Chairs Program Guide

1. Introduction

As Canada enters the new millennium, it faces what is both a challenge and an opportunity: to become a world-leading, knowledge-based economy, capable of creating next-generation ideas and putting them to work to generate jobs, growth, wealth and improved quality of life. Part of this challenge is to attract the best researchers in the world to Canadian universities, and to do so at a time when U.S. and other G-7 universities are combing the world for the best brains.

In response, the Government of Canada has established the Canada Research Chairs Program. This will enable Canadian universities to create research opportunities that will attract and retain the outstanding researchers of today and the best researchers of tomorrow. The Program builds on the successful initiatives of Canada's federal research granting agencies over the past 15 years. It allows Canadian universities, together with their affiliated research institutes and hospitals, to retain the best Canadian researchers and to attract some of the world's best minds from other countries.

By creating a program of Chairs in universities, the federal government will help universities focus their strategies to emphasize research fields in which they have a comparative advantage. The government will thereby help universities establish world-class centres of research excellence which will offset pressures that contribute to the "brain-drain" of Canada's outstanding researchers.

2. Objectives

The key objective of the Canada Research Chairs Program is to enable Canadian universities, together with their affiliated research institutes and hospitals, to foster research excellence and to enhance their role as world-class centres of research excellence in the global, knowledge-based economy.

The secondary objectives of the Program are the following:

- to strengthen research excellence in Canada and increase Canada's research capacity by attracting and retaining excellent researchers in Canadian universities;
- to improve, through research, the training of highly qualified personnel;
- to improve universities' capacity for generating and applying new knowledge; and
- to ensure the effective use of research resources through strategic planning by the institutions as well as the inter-institutional and inter-sectoral collaboration, as appropriate.

3. Program summary

The Canada Research Chairs Program will offer research and salary support for outstanding university researchers, beginning in the fiscal year 2000-01. It is expected that there will be 2,000 Research Chairs by 2004-05. Excellence in research is of paramount importance in the selection of chairholders.

Chairs will be in priority areas identified by universities in their Strategic Research Plans, and will be filled by individuals who meet the Program's rigorous criteria of excellence. A major feature of the Program requires the submission of Strategic Research Plans describing how the Chairs will be deployed.

The allocation of Research Chairs to a university is based on how much federal granting agency funding a university has received, including funds received by any affiliated research institutes and hospitals. It is therefore expected that Strategic Research Plans will give appropriate recognition to the contribution to the university research environment made by any affiliated research institutes and hospitals, as well as to opportunities for future contributions from these organizations.

There are two types of Chairs: seven-year renewable Tier I Chairs will be filled by outstanding experienced individuals acknowledged by their peers as world leaders in their research fields. Five-year Tier II Chairs, renewable once, will be filled by exceptional talented researchers, acknowledged by their peers as having the potential to lead their research fields.

For each Tier I Chair, the university will receive \$200,000, annually, in financial support for seven years. For each Tier II Chair, the university will receive \$100,000, annually, for five years. The university will have flexibility in the use of the funds (see section 8).

There will be strong linkages between the Canada Research Chairs Program and the programs of the federal granting agencies. In fact, in their nominations, universities have the opportunity to include a request for infrastructure support from the Canada Foundation for Innovation (CFI). CFI criteria and matching requirements normally apply for the infrastructure portion of the Canada Research Chairs nomination. Each eligible institution will have a maximum allocation to be used for infrastructure needs associated with the Chairs. The amount of the allocation is based on the number of Chairs, multiplied by \$125,000. For more information, refer to the CFI Web site (<http://www.innovation.ca>).

4. Eligibility

4.1 Eligibility of institutions

Only Canadian degree-granting universities will be eligible to participate in the Program. During the first three years of the Program, these institutions are eligible only if they have received, annually, an average of \$100,000 or more from the three federal granting agencies (see section 5).

To be considered degree-granting, an institution

- must be authorized by an appropriate government to grant its own university degrees. A post-secondary educational institution affiliated or federated with another degree-granting institution will not be accorded its own independent eligibility, except if it receives its operating budget directly from the provincial government (Ministry of Education or Higher Education or equivalent) and has its own board of directors;
- must have conferred degrees during the two calendar years prior to application or have students enrolled who will receive degrees during the calendar year of application or within the three succeeding years. The institution must provide evidence of its authority to confer degrees and evidence that degrees were or are expected to be granted within the required time period.

4.2 Eligibility of nominees for Chairs

Universities may nominate any individual who meets the qualifications required for academic staff appointments; this includes individuals who already hold an academic position at the university. University and/or provincial policies will apply with respect to employment equity and age restrictions.

- Nominees for Tier I positions must be full professors or associate professors who are expected to be promoted to the full professor level within one or two years of the nomination. Alternatively, if they come from outside the academic sector, nominees must possess the necessary qualifications to be appointed at these levels.
- Nominees for Tier II positions must be assistant or associate professors, or possess the necessary qualifications to be appointed at these levels. In other words, they may range from recent Ph.D. graduates to associate professors. Under some circumstances a full professor can be nominated for a Tier II Chair.

In the first year or two of the Canada Research Chairs Program, the top priority of universities may be to retain their own leading scholars. In the longer term, however, the intent of the Program is to significantly increase the overall research excellence of Canada's universities, and it is expected that universities will recruit new researchers

who exemplify excellence. Therefore the Program imposes no restrictions on nominees with regard to nationality or country of residence. Procedures which allow non-Canadian Chair nominees to work in Canada have been established by Human Resources Development Canada and Citizenship and Immigration Canada (CIC). For further information please consult the National Validation Letter for Canada Research Chairs FW 00-03, posted on the CIC web site at: <http://www.cic.gc.ca/manuals/english/om-web/2000/fw.html>

5. Allocation mechanism

To help universities plan their research and recruiting activities, each eligible university will be allocated a predetermined number of Chairs every year. There are three components to this allocation:

- a) the number of Chairs allocated to universities;
- b) the allocation of these Chairs by discipline group for each university;
- c) the division of Chairs between Tier I and Tier II.

Number of Chairs allocated to universities

All eligible institutions

The number of Chairs allocated each year to a university are proportional to the funding received by researchers at the university and/or affiliated research institute from the Natural Sciences and Engineering Research Council of Canada (NSERC), the Canadian Institutes of Health Research (CIHR), and the Social Sciences and Humanities Research Council of Canada (SSHRC). The amount used to calculate the eligible number of Chairs is the sum of eligible grant income to a university from the three federal granting agencies over a defined 3-year period. For more information, please consult the [Method Used to Allocate Chairs](#) document on the Chairs Web site.

A total of 1,880 Chairs (or 94 percent of 2,000) will be allocated in this manner; the rest will be reserved for a special allocation to smaller institutions, as explained below. One-fifth of the Chairs will be available in each of the first five years of the Program.

Through the use of the moving average (the first year will be dropped and a third one added), the number of Chairs allocated to each university will be adjusted annually to reflect changes in granting agency funding at each university. This adjustment will be released annually in September. Please consult the [Program Information](#) on the Chairs Web site for updated Chair allocations.

Smaller universities

A special allocation (six percent of 2000) has been set aside for smaller universities, i.e., those that have received one percent or less of the total of federal research granting agency funds over the period.

Depending on the amount of research funding they have received from the granting agencies, these smaller institutions may:

- qualify for both a regular allocation as above and a special allocation;
- qualify only for a special allocation;
- not be eligible in the first three years of the Program (if they received less than an average of \$100,000, in total, per year from the federal granting agencies).

The special allocation will be distributed as follows over the first three years:

- Universities that have received, on average, between \$100,000 and \$200,000 per year from the three federal granting agencies combined, will receive a special allocation of one Tier I Chair or equivalent (\$200,000). This will be made available in the first year.
- Universities that have received, on average, at least \$200,000 per year, but less than one percent of the funding from the three granting agencies combined, will receive a special allocation of \$400,000 for Tier I or Tier II Chairs.

To provide maximum flexibility, the Chairs from the special allocation will not be allocated by discipline. Otherwise, they are subject to the same criteria and conditions as all other Chairs.

In the fourth and fifth years of the Program, current plans are to hold a competition for the Chairs remaining in the reserve. Universities eligible to compete will be those which have been awarded one percent or less of the total funding from the three research granting agencies combined (according to the moving average at that time). Competition guidelines and any special guidelines for strategic plans will be available well in advance of the deadline.

Allocation of Chairs by Discipline

Universities participate to different degrees in programs of the federal granting agencies. All universities have general arts and science programs, some have engineering schools, some have faculties of medicine and some have both engineering and medicine. In other words, several institutions receive a majority of their federal research funding from NSERC, others from CIHR, and others from SSHRC. Therefore, to recognize these differences among institutions, it has been necessary, for allocation purposes, to divide the 1,880 Chairs allocated to larger universities into three pools, as follows:

- for natural sciences and engineering, 45 percent or 846 Chairs, over five years;
- for health, 35 percent or 658 Chairs, over five years; and
- for social sciences and humanities, 20 percent of the total, or 376 Chairs, over five years.

The percentage of Chairs allocated to a university in each of these three discipline groups will be the same as the percentage of relevant research agency eligible funds that the university received over the applicable three years.

Allocation of Chairs by Tier

For universities receiving a total allocation of one Chair, an amount of \$200,000 will be set aside. For universities receiving an allocation of more than one chair, half of the allocation will be based on Tier I (\$200,000) and half on Tier II (\$100,000).

Flexibility in Allocations

Regular Allocations: Under special conditions, there is a limited flexibility in the allocation of Chairs:

- A university which has a sufficient number of Chairs to allow flexibility may convert a Tier I Chair into two Tier II Chairs (or two Tier II chairs into one Tier I Chair) within the same granting agency, on the condition that it perform the inverse operation in a future year, before the end of the fifth year of the Program. The value of the allocation in any year may not be exceeded.
- A university may not move a Chair from the allocation of one granting agency to another. In other words, a natural science researcher may not be recruited into a health Chair. Each granting agency is entitled to all of the Chairs which have been allocated to its disciplines.
- Cases of interdisciplinary Chairs which straddle two agencies will be decided on an ad hoc basis. Universities should contact the Secretariat before submission of such nominations.

The balance of Tier I and Tier II Chairs will be carefully monitored by the Chairs Secretariat.

Special Allocations: With the special allocation, there is flexibility to determine the Tier level as well as the granting agency:

- A special allocation of \$400,000 could be used to finance two Tier I chairs, or one Tier I and two Tier II Chairs, or four Tier II Chairs.
- A Chair from one agency may be converted to another agency.

Institutions have three years to fill allocated Chairs, i.e. a nomination must be submitted and approved within 36 months of the announcement of the allocation. Chairs that are not filled within this period will be forfeited.

6. Application process, selection criteria and review process

Before it is authorized to make a Chair appointment, an eligible university must submit two types of documents: a Strategic Research Plan (and Strategic Research Plan Summary) and a nomination proposal for the individual Chair.

6.1 The Strategic Research Plan (SRP) and SRP Summary

The Strategic Research Plan (SRP) and the SRP Summary are intended to be the only strategic research planning documents a university will require in working with the Canada Research Chairs Program, the CFI and any federal granting agency program that requires an SRP. See Appendix A for guidelines on the preparation of the Plan and Summary.

The president/rector/principal of an eligible university is accountable for the SRP and SRP Summary, which must be supported by the university's most senior planning body. Where applicable, it is expected that a university's SRP will include appropriate recognition of the contribution to the university research environment made by any affiliated research institutes and hospitals, as well as of opportunities for future contributions from these organizations.

A university may submit its SRP and SRP Summary as soon as they are ready. Once a SRP and SRP Summary have been filed, the institution may submit nominations for the Chair positions identified in the plan. Universities will have the opportunity amend or update their SRP and SRP Summary.

Publication of SRP Summaries on the Web site

SRP summaries will be posted on the Canada Research Chairs Web site. This will:

- allow institutions to take note of research thrusts identified by other universities and thereby give them the opportunity to transform potential duplication into complementary activities; and
- allow researchers around the world to explore the possibility of being nominated to a Canada Research Chair.

Members of the College of Reviewers will consult the SRP Summaries when assessing how the Chair Nomination proposals fit with the university's strategic plans for the future.

6.2 Nominations for Chairs

There are various decision points each year. Please consult the [Key Dates](#) on the Chairs Web site: www.chairs.gc.ca.

Nomination process

Candidates must be nominated by the university. Researchers who are interested in becoming a potential Chairholder should contact the appropriate university department. See Appendix B for guidelines on the submission of nominations for Chairs.

Selection criteria

This Canada Research Chairs Program is based upon an uncompromising commitment to excellence in research and in training through research. Nominations will be reviewed against two criteria related to the objectives of the Program: a) Quality of the Nominee and the proposed research program; b) Integration with the university's Strategic Research Plan.

A) Quality of the Nominee and the Proposed Research Program

Tier I nominees are expected to meet the following conditions:

- They should be outstanding and innovative researchers whose accomplishments have made a major impact on the field;
- They should have received international recognition as leaders in the field;
- Their record in attracting and supervising graduate students and postdoctoral fellows should be superior, taking into account the practices of the field;
- Their proposed research program should be innovative, original and of high quality;
- As chairholder they should attract excellent trainees, students and future researchers.

Tier II nominees are expected to meet the following conditions:

- They should be excellent emerging researchers who have demonstrated particular research creativity;
- They should have the potential to achieve international recognition as a leader in the next five to ten years;
- Their proposed research program should be innovative, original and of high quality;
- As chairholder they should have the potential to attract excellent trainees, students and future researchers.

B) Integration with the university's Strategic Research Plan

The university is required to demonstrate the importance of the Chair to the strategic development of research at the institution and/or its affiliated hospitals institutes, etc. Reviewers are asked to assess the fit of the proposed Chair with the university's Strategic Research Plan using the information provided in the nomination form and the SRP Summary. In deciding if a proposed Chair should be funded, reviewers will consider the following factors:

- Institutional environment (existing or planned) that will be provided to the proposed Chair;

- Institutional commitment to the proposed Chair;
- Fit with Strategic Research Plan.

Institutional environment

In the Nomination Form, the university is asked to describe the institutional environment in which the proposed Chair will be established. Reviewers are requested to consider the institutional environment (existing or planned) that will be provided to the proposed Chair. Reviewers assess the opportunities for collaboration with other researchers in this area or other related areas at the nominating institution, as well as regionally, nationally, and abroad.

Institutional commitment

The university must demonstrate that it and/or any affiliated institutions, hospitals, institutes, etc, will provide chairholders with the necessary support to develop and maintain the proposed chair. Reviewers are asked to comment on the level of institutional commitment to the proposed Chair.

Fit with Strategic Research Plan

Reviewers are requested to assess the fit of the proposed Chair with the university's Strategic Research Plan and to gauge how the proposed chair will contribute to the attainment of the university's objectives.

Canada Foundation for Innovation (CFI) infrastructure requests

Universities have the opportunity to include with their nominations a request for infrastructure support from the Canada Foundation for Innovation (CFI). The CFI is an independent corporation established by the Government of Canada to strengthen national research capability through investments in research infrastructure in Canadian universities, colleges, hospitals, and eligible not-for-profit organizations.

Normally, the CFI funds projects on a cost-shared basis: the CFI will cover 40% of the eligible costs of a project, with the remaining 60% coming from the universities and their funding partners from the public and private sectors. Each eligible institution will have a maximum allocation to be used for infrastructure needs associated with the Chairs. The amount of the allocation is based on the number of Chairs, multiplied by \$125,000.

In most cases matching requirements will apply for the infrastructure portion of nominations for Canada Research Chairs. However, in the case of smaller universities an amendment has been made to the funding agreement between the federal government and the CFI. Within their maximum allocation, smaller universities (those that receive less than 1% of total granting agencies funding) may choose one of two options for each infrastructure project associated with a Chair nomination:

1. For projects with a total eligible cost not exceeding \$75,000, CFI may provide 100% of the costs with no matching requirement;

2. For projects with a total eligible cost exceeding \$75,000, CFI may provide funding for up to 40% of the eligible cost of the project. In this case, the matching requirement applies.

For further information on the CFI and its programs, please consult the CFI Web site at www.innovation.ca.

Review process and outcome of the review process

The Canada Research Chairs Program relies on a peer review process governed by a College of Reviewers and an Interdisciplinary Adjudication Committee (IAC).

The College of Reviewers

The Canada Research Chair Program's College of Reviewers consists of experts from various fields of research who have generously accepted to assist in the deployment of 2,000 research chairs. Excellence in research, wide experience and sound judgement are the prime considerations in the selection of individual College members.

Members of the College are appointed by the partnering federal granting agencies and the Canada Foundation for Innovation. In the case of nominations for particular Chairs, they may also be proposed by universities. Chair nominees are also invited to participate in the College of Reviewers. Members of the College assess nominations and make recommendations for funding to the Program Steering Committee (see section 11).

Interdisciplinary Adjudication Committee (IAC)

The Interdisciplinary Adjudication Committee consists of 15 experts appointed by the Program Steering Committee from among the members of the College of Reviewers. Superior record of research achievement, extensive experience, excellent judgement and proven ability to recognize excellence are the prime considerations in the selection of IAC members. As well, IAC members have been selected to achieve as much balance as possible with respect to language (English-French), gender, region, sector of the economy, academic discipline and type of institution.

The IAC assesses cases where a consensus has not been reached among the College reviewers. The IAC also plays a major role in ensuring consistency of standards across areas, by virtue of the fact that it will see proposals reviewed by a large cross-section of the College.

Review Process

For each nomination, three reviewers from the College are selected by the Chairs Secretariat. If the reviewers concur in their assessments, a recommendation to fund or not to fund is made to the Program Steering Committee. If the reviewers do not concur, the nomination is sent to the Interdisciplinary Adjudication Committee to propose a

recommendation on funding.

7. Communications

Universities are expected to make every effort to collaborate with the Chairs Secretariat in the organization of formal events to announce new Chairs and to celebrate the achievements of chairholders. In their communications to external audiences, the universities should work closely with the Secretariat. The universities are asked to take every opportunity to acknowledge the support of the Canada Research Chairs Program in accordance with the *Terms and Conditions*.

Guidelines for communication are available through the Chairs Secretariat.

8. Payment process and eligible expenditures

The university president, principal or rector (or authorized delegate) will be the grantee. Payment is made upon confirmation of the start date of the Chair and acceptance of the *Terms and Conditions* by the university. Payment is made by the Chairs Secretariat out of funds furnished through the relevant granting agencies.

Once claimed, the funding may continue for five years in the case of Tier II Chairs or seven years in the case of Tier I Chairs - in both cases upon submission of an annual confirmation that the incumbent is still at the university and active in the research program. Should an incumbent leave or be unable to perform his or her duties, the relevant policies and procedures of the granting agencies will be applied.

There will be flexibility in the use of funds by the university, as long as the funds are used in support of the chairholder and the Chair's research program. Examples of eligible expenditures include:

- the incumbent's salary and benefits (including any bonus paid);
- salary and benefits of members of his/her team (students at all levels, postdoctoral fellows, research associates, technicians, research assistants, in compliance with each funding agency's rules);
- professional/technical services;
- recruitment costs and relocation expenses;
- costs associated with outfitting research and office space for the incumbent and his/her team;
- administrative costs related to the research program (proposal writing, secretarial assistance, publication costs, administration, technology transfer costs, etc.);
- acquisition, maintenance, operation of research equipment and other research resources; and
- other costs of research (travel, workshops, computing, publication costs, material and supplies, etc.).

These funds are granting agency funds and the principles espoused by the granting agencies apply: the funds must be used economically and only in the best interest of the research programs supported by the Chairs.

9. Reporting requirements, accountability and program evaluation

Annual financial reports detailing how funds were spent will be required for each Chair (using the standard granting agency statement of account). As is the case for granting agency funding, finance officers may periodically visit universities to monitor the administration of awards and sample research accounts. These visits ensure that appropriate and sound financial practices are followed and that expenditures from the grants conform to the requirements of this *Program Guide*. Chairholders will submit annual progress reports.

Starting in the second year of the Program, each university will submit an annual report which analyzes and explains what progress has been made in meeting the research objectives set out in the Strategic Research Plan. This information will be used for Program evaluation purposes. Guidelines and templates for the preparation of reports will be available in due course.

In the third year of the Program, a review of the structure and operations of the Program will be conducted in order to identify opportunities for improvement. Another evaluation will be conducted in the fifth year.

10. Renewal process

In the case of Tier I Chairs, there is no restriction on the number of times an appointment may be renewed.

In the case of Tier II Chairs, only one renewal is permitted. Incumbents may subsequently be nominated for a Tier I Chair if the university believes the incumbent meets the stringent requirements of a Tier I. The research area must still be included in the university's strategic plan and the university must have room in its allocation.

Regardless of whether or not renewal is permitted, recommended or approved, Chair incumbents should have employment security conditions similar to those of other faculty members of comparable seniority within the same institution.

One year before the expiry of the appointment, the university will submit a report on the progress made by the incumbent during the period of the current appointment. This would normally include lists of publications and other research outputs, lists of awards, grants and contracts obtained, research training activities, etc. The report should also include objectives for the next five or seven years.

Renewal applications will be peer reviewed. The renewal assessment will examine:

- the incumbent's research and research training accomplishments since his or her appointment or re-appointment to the Chair in light of the university's strategic research objectives at the time of renewal; and
- the novelty and originality of the proposed research program.

Excellence will continue to be the major criterion.

11. Governance

The Chairs Secretariat is responsible for the day-to-day administration of the Program. The Secretariat reports to the Management Committee, which in turn reports to the Program Steering Committee.

The Steering Committee is chaired by the President of the Social Sciences and Humanities Research Council (term: 2000-03). The Management Committee is chaired by the Executive Director of the Program. The Secretariat is managed by the Program's Director of Operations. For further information, please feel free to contact:

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Appendix A -- Guidelines for the preparation of Strategic Research Plans

The Strategic Research Plan is intended to be the only strategic research planning document a university will require in working with the Canada Foundation for Innovation (CFI), the Chairs Program and any federal granting agency program that requires a research plan. Therefore, in time, there should be a single integrated plan for Chairs and CFI; initially, institutions may use two separate plans if it is more convenient for them, given that plan summaries have already been filed with CFI.

Universities must submit a plan focusing on how Chairs will be deployed to attract and retain world class experts and how CFI infrastructure will be used (if the institution chooses to integrate both plans at this point). Institutions must also submit a summary, which will be posted on the Program's Web site. It is expected that the summary of the Strategic Research Plan will require no more than two to five pages.

The summary will:

- outline the major objectives of the strategic research and research training plan;
- outline priority areas for research and research training;
- focus on those areas for which the university intends to deploy Chairs and/or CFI support; include a table indicating how many Tier I and Tier II Chairs are planned for each area of priority research;
- briefly describe what the institution has done to support the development of research and research training in these areas and what it intends to do in the future for these and for the new areas of research it intends to develop in the future;
- briefly mention planned inter-institutional and inter-sectoral collaborations;
- briefly describe how success in meeting the objectives will be assessed;
- briefly describe the planning and approval process at the institution (and indicate the involvement of affiliated institutions).

The following guidelines are intended to provide guidance to institutions. They should be regarded as suggestions, not directives.

Universities may want to address the following in the preparation of their Strategic Research Plan (which could be a document of between five and ten pages):

A first section could:

- describe the major objectives of the plan;
- identify priority research areas in which the university intends to develop or maintain excellence; include a table showing the number of Tier I and Tier II Chairs planned for each priority area and to which federal granting agency pool these Chairs are assigned;
- estimate how many Chairs the university will offer to outstanding researchers already at the nominating university in order to enhance the opportunities available

to them and to retain them; how many will be offered to those already active at other Canadian universities and how many to researchers from outside Canada;

- explain, if applicable, why the proposed allocation deviates from the initial allocation in terms of Tier I/Tier II balance and discipline group (see instructions below);
- describe how success in meeting the objectives will be assessed; and
- describe the planning and approval process at the institution (and indicate the involvement of affiliated institutions).

Some institutions may have only one major priority research area; others may have several. For each broad area of research, universities may wish to address the following questions:

1. What are the major objectives?
2. What are the current strengths of the university in the area? In areas where the university is already very strong, explain how the Canada Research Chairs Program will make a difference. In areas where the university wishes to develop strengths, describe what appropriate measures that will be taken.
3. To what extent is the university planning to use collaboration, partnership and networking with other institutions to help achieve these goals? Is it already pursuing collaboration, partnership or networking in areas of priority research? For example, does it participate in a Network of Centres of Excellence?
4. How does the university propose to use funding from the Chairs, other federal research agency programs, the CFI, outside resources and its own resources to accomplish its objectives?
5. What are the expected observable outcomes? What results will enable the university (and the Program management) to know that the goals of the Strategic Research Plan have been met and that, in a given research area, the university is becoming a world leader? By the sixth year of a Tier I appointment or the fourth year of a Tier II appointment, what milestones will have been reached, what will chairholders and their teams have accomplished which will aid in assessing requests for renewal of appointments and in evaluating the Chairs Program as a whole?

Appendix B – Guidelines for the submission of nominations for Chairs

A nomination form has been developed. Each nomination should indicate from which federal granting agency pool the funding for the Chair should come.

Nominations will include:

- a description of the role of the specific Chair or related Chairs in the research strategy of the institution (relating the specific Chair to the Strategic Research Plan);
- a description of how the specific Chair or related Chairs will be integrated in the research environment at the university (e.g., integration with centres, groups, graduate programs and other training activities);
- what support, if any, beyond the research Chair funds, the institution will provide (salary, facilities, assistants, endowments, etc.);
- a reference to any CFI investments that have already been made (or applied for) in support of the research area;
- for each Chair, information on the candidate and his/her proposed research:
 - the curriculum vitae of the candidate;
 - a description of research accomplishments and evidence of international leadership in (Tier I) or potential to lead (Tier II) a relevant area of research focus or discipline (maximum two pages);
 - a description of the proposed research program, relating it to the university strategic plan for the area in question;
- letters of reference (*solicited by the university but sent by the referee directly to the Chairs Secretariat*):
 - for Tier I nominees, three letters of reference from established authorities in the field who have not been the nominee's collaborators;
 - for Tier II nominees, a total of three letters of reference, one from the doctoral or postdoctoral supervisor and two from established scholars in the field, one of whom may have been the nominee's collaborator;
- for each Chair, an indication of the planned use of Program funds for each year (see section 8).

Appendix C – Use and Disclosure of Information

The Canada Research Chairs Program is managed by a Steering Committee of the partner agencies composed of the Canada Foundation for Innovation (CFI), Industry Canada, and the following three research granting agencies: the Natural Sciences and Engineering Research Council (NSERC) and the Canadian Institutes of Health Research (CIHR), and the Social Sciences and Humanities Research Council (SSHRC). The secretariat of the Steering Committee is located within SSHRC.

Information provided to the Canada Research Chairs Program is subject to the Privacy Act and the Access to Information Act, as well as to related federal information management and security policies.

Because agencies in different jurisdictions jointly sponsor the Canada Research Chairs Program, and because it is the research institution rather than the nominee that applies for program support, policies regarding use and disclosure of information differ slightly from those of other granting agency programs. To avoid misunderstandings, these policies are summarized below:

Principal uses and disclosures of personal and other information

The Canada Research Chairs Program uses all information gathered only for reviewing nominations and administering and monitoring Canada Research Chair awards.

The Program Secretariat discloses information contained in nominations to the College of Reviewers, to the Interdisciplinary Adjudication Committee, and to the Steering Committee for the purposes of obtaining opinions and recommendations. As stated in the program literature, in cases where there is no consensus on a proposal, the Program Secretariat will arrange for reviewers to confer in order to attempt to reach a consensus about the proposal.

The Program Secretariat forwards details of decisions taken concerning nominations directly to the senior institutional authorities who submitted the nomination. This information includes the record of the decision and copies of all external reviews. The Secretariat expects institutional authorities to share all this information with nominees.

The Secretariat routinely shares summary financial and other information about awards with the research and finance offices of the nominating research institution.

Consistent uses and disclosures of personal and other information

The Program Secretariat will share information about nominations, nominees and awards, including reviews and assessments, with relevant staff in the partner organisations—NSERC, CIHR, SSHRC, CFI and Industry Canada—for purposes relating to delivery of the program.

The Canada Research Chairs Program—and/or its partners—may publish, for publicity purposes, certain information about successful applications. This may include the name of the nominating institution, the amount of the award, the name, discipline and department of the Chairholder, and summary information about the Chairholder's proposed program of research.

The Program will use information gathered from nominations for planning, review and evaluation purposes and for generating the statistics needed for these activities.

The Program may use information about nominees to identify prospective members for the College of Reviewers and for the Interdisciplinary Adjudication Committee.

The Program may also use and disclose information contained in nominations in accordance with the *Tri-Council Policy on Integrity in Research and Scholarship*. See the SSHRC Web site (www.sshrc.ca) for the complete text of this policy.

For clarification or more information, please feel free to contact the SSHRC Access to Information and Privacy Co-ordinator at (613) 992-0562. You may also consult *Info Source* (Sources of Federal Government Information)—a reference document available in major public and academic libraries and federal government offices across Canada—and in particular, the section on SSHRC. All personal information is stored in the personal information banks for the Canada Research Chairs Program: SHR PPU 016 and SHR PPU 035.

Appendix D – Terms and Conditions

This document sets out the terms and conditions specific to Canada Research Chairs grants. It does not cover terms and conditions for related contributions from the Canada Foundation for Innovation.

1. Accountability to Taxpayers

The Steering Committee that governs the Canada Research Chairs Program consists of the presidents of the Natural Sciences and Engineering Research Council (NSERC), the Canadian Institutes of Health Research (CIHR), the Social Sciences and Humanities Research Council (SSHRC), the Canada Foundation for Innovation (CFI), as well as the Deputy Minister of Industry Canada.

The Steering Committee, through the Minister of Industry, is responsible to Parliament — and, ultimately to all Canadians — to properly manage the public funds placed in its trust. Accordingly, all recipients of Canada Research Chairs Program funds, institutions and individuals alike, must use those funds effectively, economically and in the best interest of the Chairs supported by the program.

2. Roles and Responsibilities

Three partners administer a CRCP grant: the university as grantee, one of the three federal granting agencies (NSERC, CIHR, SSHRC) and the Canada Research Chairs Secretariat.

In conjunction with the Program Secretariat, the Finance Division of the relevant granting agency defines the conditions under which funds may be used, monitors the use of grants and interprets rules and regulations for the grantee.

The Canada Research Chairs Program awards grants to Canadian universities, which administer them through their respective administration systems. The grantee (or delegate whom the grantee appoints) authorizes expenditures in accordance with Program and granting agency guidelines and the university's own policies, as well as any other requirements which may be imposed as a condition of the grant.

The grantee is normally the university's president, principal or rector. He or she may delegate authorization of expenditures to a small number of designated individuals.

3. Notice of Award

All notices concerning decisions about grants will be sent to the university president, principal or rector (or authorized delegate).

4. Effective Date

The incumbent must take up his or her Chair within 12 months of the university receiving notification of award of the grant.

5. Period of Tenure

Once claimed, grants may continue for seven years for Tier I Chairs and for five years for Tier II Chairs. Should an incumbent leave or be unable to perform his or her duties prior to the expiry of funding, the relevant granting agency will terminate the award in accordance with its own applicable policies and procedures.

6. Method of Payment

The university must confirm in writing acceptance of the grant, the appointment start-date for each Chairholder and acceptance of these *Terms and Conditions*. When SSHRC receives this confirmation, it will, provided there are no other conditions attached to the grant, commence payments on, or shortly after, the designated start-date.

SSHRC will make quarterly payments on behalf of the granting agency designated on the Nomination Form. Instalments for future fiscal years will be subject to availability of funds.

7. Financial Administration

The business office of the university at which the Chairholder is located generally administers Canada Research Chairs Program funds.

The university must maintain an individual account for each Canada Research Chair grant, the records of which clearly record all payments into the account and all payments, by category, made from the account. All expenditures must support the salary of the Chairholder and/or the Chair research program. Only authorized expenditures in accordance with the guidelines of the Canada Research Chairs Program and the granting agency may be charged to these accounts. Examples of eligible expenditures include:

- the incumbent's salary and benefits (including any bonus paid);
- salary and benefits of members of his/her team ((students at all levels, postdoctoral fellows, research associates, technicians, clerks, secretaries, research assistants, in compliance with each funding agency's rules);
- travel, workshops, computing, expendables, publication costs, material and supplies;
- professional/technical services;
- recruitment costs and relocation expenses;
- costs associated with fitting research and office space for the incumbent and his/her team;
- acquisition, maintenance and operation of research equipment and other research resources (not including funds received concurrently from the Canada Foundation for Innovation);
- administrative costs related to the Chair (proposal writing, technology transfer costs, libraries, research services, financial management, human resources).

This list of examples is not exhaustive. In the absence of a clear understanding of program policy, the university should seek a ruling from the granting agency's Finance Division.

8. Reporting Requirements

Details on requirements for each report will be provided.

8.1 Reporting requirements for universities

- An annual status report on the deployment and management of Canada Research Chairs and the progress that has been made in meeting the research objectives set out in the Strategic Research Plan. This report must be submitted to the Program Secretariat by December 15 each year, commencing December 15, 2001.
- Annual financial reports (Statement of Account) for each Canada Research Chair grant, detailing how funds were spent using the standard granting agency statement of account (Form 300). The Canada Research Chairs Program fiscal year ends March 31. Universities must submit a statement of account signed by the university president, principal or rector (or authorized delegate) by the following June 30th to the Finance Division of the granting agency. The annual statement of account must indicate the total outstanding commitments.
- An annual confirmation that the incumbent continues in the position and is actively pursuing his or her program of research.

8.2 Reporting requirements for Chairholders

- The Chairholder must submit an *annual* progress report on the research and training activities carried out under the Canada Research Chairs Program grant. The Chairholder must submit this report, through the university, to the Program Secretariat within three months of the anniversary date of the appointment.

9. Chairholders' Official Titles

The title of each Chair must begin with the term "Canada Research Chair in".

10. Public Announcements and Acknowledgements

Universities are expected to follow the guidelines for public communication of Chairs—related news, and the organization of related events, as outlined in the *CRC Guidelines for Public Communication—Universities*. In addition, universities should make every effort to ensure that Chairholders acknowledge the support of the Canada Research Chairs Program in accordance with the *Professional Acknowledgement Guidelines for Chairholders*.

11. Renewal of a Chair

The Program places no limit on the number of times the university may re-appoint a Tier I Chair. For Tier II Chairs, the Program permits only one five-year re-appointment.

The following outlines the process for renewal.

One year before expiry of the appointment, the university submits a report which:

1. outlines the Chairs accomplishments in research and research training since taking up the current appointment;
2. sets out the Chairs objectives for the next five or seven years.

The Chairs Secretariat reviews applications for re-appointment much as it does the initial nominations. Specifically, the assessment examines, in light of the university's strategic research objectives at the time of the proposed re-appointment, the incumbent's accomplishments in research and research training and the quality of his or her proposed research program. As always, excellence is a major criterion.

12. Employment Security Conditions

The university is expected to provide Chairholders with employment security conditions similar to those of other faculty members of comparable seniority within the institution.

13. Termination of Chair Award

The Chairholder, the university and, in cases of non-compliance (see no. 21 below), the granting agency, may terminate a Chair award. In all cases where the status of a Chairholder changes, the university must promptly notify the Finance Division of the appropriate granting agency.

14. Sabbatical Leave

Chairholders are eligible for sabbatical leave in accordance with normal local institutional policies.

15. Leave of Absence

The general policies of the institution relating to ordinary vacation, extended illness, maternity, paternity, family or other types of leave of absence also apply to Chairholders.

16. Transfers

Canada Research Chair grants are not transferable to another university or institution.

17. Intellectual Property

The Canada Research Chairs Program and the granting agency do not retain or claim any ownership of, or exploitation rights to, intellectual property developed under funding from the Canada Research Chairs Program. These are owned by the university and/or the researchers in accordance with the policies of the Chairholder's institution.

18. Integrity in Research and Scholarship

The Canada Research Chairs Program requires universities and Chairholders to respect and comply with the federal granting agencies' two policies concerning integrity in research and ethical conduct of research involving humans: *Integrity in Research and Scholarship—A Tri-Council Policy Statement (1994)*, and the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (1998)*. The granting agencies regard as misconduct any action that is inconsistent with integrity and ethics as defined in these policy statements.

19. Research Requiring Certification

The university must release research funds only after verifying that researchers have obtained any required certifications. Research studies involving humans, animals, biohazards, radioactive materials, other hazardous substances, any possible environmental impact, field work or field or marine stations *all* require certification.

20. Accountability

Officers of the granting agency's Finance Division will periodically visit universities to update information on the administration of Canada Research Chairs grants and to review sample Chair accounts. These visits ensure that universities are following appropriate and sound financial practices, and that they are making expenditures in accordance with the conditions set forth in this document and with current granting agency regulations and requirements.

21. Non-compliance

Non-compliance with the regulations outlined in this document or with current granting agency regulations and requirements may result in the freezing or closing of a particular grant account. The Program Secretariat and/or the relevant granting agency will promptly report any fraudulent use of Canada Research Chairs funds to the appropriate legal authorities.