

Memorial University's 2021 Canada Research Chairs' Financial Arrangements Framework.

Scope

Memorial's 2021 Financial Arrangements (FA) Framework, adopted by Memorial's Canada Research Chairs' Steering Committee (CRC SC) "out of session" on June 9, 2022, provides guidance related to the use of awarded Canada Research Chair (CRC) funds. The broader role of the CRC SC as described in the institutional research policy, *Reallocation, Renewal and Reduction of Canada Research Chairs (CRCs) at Memorial University*, remains unchanged.

Introduction

As a result of data collected on the uneven application of the principles of Memorial's 2015 Financial Arrangements document across units housing Canada Research Chairs (CRCs), Memorial's CRC SC determined that revisions to the existing document were required. In February of 2021, a proposed plan for adjustment was submitted and accepted by the CRC SC, which created the 2021 FA Framework. The problem areas identified involved the frequent use of large portions of Chairs' funding to supplement salary, as well as a lack of clarification in the 2015 Financial Arrangements document on the use of Chair funding to cover the five-step stipend mandated under MUNFA's Collective Agreement (CA).

The relevant adjustments of the 2015 Financial Arrangements document in the 2021 FA Framework are as follows:

- 1) Limit the use of awarded Chair funds for salary supplementation, and clarify the use of funds to cover the costs for the Chairs' five-step stipend, as per the CA, for both internal and external CRC candidates.
- 2) In the event of exceptional circumstances, as may be assessed by the Vice President Research (VPR), additional salary supplementation beyond the mandated five-step stipend may be permitted for external Chair candidates only. However, the amount of awarded funding from the Canada Research Chairs Program (CRCP) eligible for salary supplementation shall be capped at an annual maximum amount of 40% (i.e., \$40,000 for Tier 2 Chairs, and \$80,000 for Tier 1 Chairs), and availability shall now be limited to the first two years of the Chair term. In addition, salary may be supplemented using funding in cases where units are providing funding for resources for the Chair that are not available via the CRC awarded funds.
- 3) Establish Terms of Reference to enable streamlined administration of the 2021 FA Framework under the authority of the VPR, which can be informed by advice from Memorial's CRC SC, and other relevant bodies, as needed.

1. Use of salary supplementation

Under the 2015 Financial Arrangements document, units were required to have an academic position available prior to applying for a CRC position. The ability to use awarded Chair funds to supplement salary was designed to allow for flexibility in cases where a position would soon become available, but was not accessible at the time of internal application for a Chair recruitment license. To continue to address this issue, this option shall be explicitly available only when pursuing an external hire. In the case of internal hires, the base salary would already be allotted so this option would not be necessary.

All units will retain the ability to use funding to cover the CA mandated five-step stipend for both internal and external Chair candidates, as this would not be budgeted with base salary. Units do not have to submit requests for accommodation regarding the five-step stipend, and this stipend may be supplemented throughout a Chair's term. This provision shall not be employed to defray costs associated with market differentials. Units shall not be eligible to request use of any Chairs' funding to supplement salary, outside the five-step stipend, when applying for Chair renewals.

2. Limitations of salary supplementation

Supplementation of salary, other than the five-step stipend, is limited to the first two years of a Chair's term, meaning that there must be an academic position available within the Chair's first two years. This supplementation is also capped at 40% annually of the Chair's funding (i.e., \$40,000 for Tier 2 Chairs, \$80,000 for Tier 1 Chairs).

Units may submit a request for accommodation to supplement salary with funding when using other funds to contribute to a Chair's resources (e.g., space renovations) that would not be attainable using CRC funding. Need must be demonstrated in requests made to the VPR for consideration of this proposed use of Chair funds. Candidates must also have consented to this supplementation of salary prior to its approval. This provision is available to both internal and external Chair candidates, and is not subject to the 40% cap.

3. Administration of the 2021 FA Framework via Terms of Reference

Administration of the 2021 FA Framework will require the establishment of a clear Terms of Reference, which will be used in the adjudication of the provisions by the VPR, who may be assisted with advice from Memorial's CRC SC and other relevant bodies as needed. CRCP funds are awarded to Memorial with authority for the program, as recognized by the Agency, resting with the VPR. Guidelines to assist the VPR in decision making, and the CRC SC in providing advice, shall be subject to CRCP program policies for Chair fund use (as may be adjusted by the Agency from time to time; see https://www.chairs-chaires.gc.ca/programme/admin_guide-eng.aspx), and strategic planning as developed by the VPRO.

Evaluation of all requests shall be the responsibility of the VPR, who may consult with Memorial's CRC SC as needed, and shall relay decisions to them. This will allow for streamlined and effective decision making, and compliance with Agency requirements. The Terms of Reference that the VPR will use to adjudicate proposed use of funding to supplement salary will be reviewed and approved by the VPR, and shall include appropriate consultation with the CRC SC. The VPR may also seek advice from Memorial's Research Advisory Committee on Equity, Diversity, and Inclusion towards ensuring appropriate considerations for equity, diversity, and inclusion. This will allow for clear and consistent action to be taken, as well as principles to be considered when addressing atypical funding situations.

Please see the 2021 Financial Arrangements Framework Terms of Reference for all of the evaluation criteria for salary supplementation requests.

Terms of Reference for Memorial University's 2021 Canada Research Chairs' Financial Arrangements Framework.

Intent and use

The Terms of Reference (ToR) will guide the decision making and reporting process for evaluation of requests made under Memorial's 2021 Canada Research Chairs (CRCs) Financial Arrangements (FA) Framework. These ToR will be used by the Vice-President Research (VPR) to adjudicate requests from units seeking to utilize awarded Chair candidate funding to supplement the Chair's salary, beyond the five-step stipend mandated under MUNFA's Collective Agreement (CA). While this document will provide guidance on the use of awarded funds from the Canada Research Chairs Program (CRCP), it does not alter the broader role of Memorial's Canada Research Chairs Steering Committee (CRC SC) as described in the institutional research policy, *Reallocation, Renewal and Reduction of Canada Research Chairs (CRCs) at Memorial University*.

Submission

Units interested in availing of the 2021 FA Framework provisions for salary supplementation, must submit a written request for accommodation, with the submitted letter dated and signed by the Dean or delegate. Units must detail the circumstances justifying the proposed use of Chair funding, and discuss the mitigating processes that will ensure that the Chair candidate is not adversely affected by the proposed reduction of awarded funding. Requests are to be submitted via email to Research Initiatives & Services (RIS), ris@mun.ca, which will then forward the requests to the VPR for evaluation and decision.

Eligibility

There are a number of instances where a unit may be eligible to use awarded funding to supplement a Chair candidate's salary.

- 1) Chair appointment with a pending availability of an academic position: If a unit is nominating an external candidate for a CRC, and has an academic position becoming available within the next two years, the unit may supplement the Chair's salary with up to 40% per year from the Chair funding (i.e., \$40,000 for Tier 2 Chairs and \$80,000 for Tier 1 Chairs). The pending academic position must be identified, and available within two years of the Chair's confirmed start date. **This process is only available to units hiring a Chair external to the University.**
- 2) Provision of resources not eligible under the CRCP: Units may submit a request to supplement salary with funding when using other funds to contribute to Chair's resources (e.g., space renovations) that would not be eligible using CRC funding, or have been

expressly requested by the Chair candidate. Need must be demonstrated in the written request. In addition, the unit must confirm in their request that the Chair candidate has consented to this proposed use of Chair funds. The cap of up to a maximum of 40% per year from the Chair funding does not apply to this provision. This process is available for CRC candidates internal or external to the University, and may go beyond the first two years of a Chair's term where necessary.

Evaluation and reporting

The VPR is responsible for the evaluation of requests to utilize the 2021 FA Framework provisions. Any requests received should include:

- The demonstrated need for supplementation of salary with awarded CRCP funding.
- The impact that a Chair could have within a given unit.
- The Chair's ability to produce research deliverables in the first two years of their term.
- The use of funding for salary to free up funds for other Chair initiatives not eligible under the CRCP (e.g., space renovations).
- Use of deficit financing where necessary to facilitate Chair success (i.e., while the CRCP does not require annual zero balance of fund use, deficit financing increases risk for a unit in the event of an early Chair termination).
- Other services requested explicitly by the Chair for the purpose of assisting in their research efforts.

The VPR may consult Memorial's CRC SC when making a decision. Additionally, the VPR may also seek advice from Memorial's Research Advisory Committee on Equity, Diversity, and Inclusion towards ensuring appropriate considerations for equity, diversity, and inclusion. This will allow for clear and consistent action to be taken, as well as developed principles to be considered when addressing specific funding situations. All decisions should align with the CRCP's principles of Equity, Diversity, and Inclusion, and should also consider principles of strategic research and priorities of Memorial University.

The VPR will communicate decisions to the CRC SC normally within a two week time frame from the submission date of the request. The VPR's decision will also be communicated to RIS, which will communicate decisions back to the units.

Appeals to decisions

If a unit wishes to appeal the VPR's decision, Memorial's CRC SC will review the request and render a decision, which will be considered final.

If a Chair nominee wishes to appeal the use of their funding to supplement their salary, they may submit their request for review to the CRC SC, which will engage in discussion with both the Chair candidate and relevant Dean to ensure that the Chair's needs are appropriately met.



Office of the Provost and Vice-President (Academic)

P.O. Box 4200, St. John's, NL Canada A1C 5S7
Tel: 709 864 8246 Fax: 709 864 2074 Email: vpacad@mun.ca
www.mun.ca/vpacademic

MEMORANDUM

13 February 2015

TO: Deans' Council

FROM: Noreen Golfman, Provost and Vice President (Academic) *Noreen Golfman*
Pro Tempore

SUBJECT: **CRC Financial Arrangements**

Attached is final version of the document that describes the Financial Arrangements for Canada Research Chairs as discussed at the January 12, 2015 meeting of Deans' Council. Please note that these arrangements are effective immediately for all new calls for proposals from units to host a CRC.

For Chair searches that are underway and for which there have not been interviews with prospective candidates, these arrangements can be used for those searches should you wish to do so. In those cases, you would have already identified the availability of a base-funded position in support of the appointment of which a significant portion of the funding (75%) was identified as direct support for the Chair research program. The attached Financial Arrangements provide for some flexibility on how the combined base salary and CRC funding is spent in the unit so if you wish to implement the new model for the ongoing searches, you must submit a financial plan for the Chair to the CRC Steering Committee in accordance with Section 7 of the attached document by **Friday, March 13, 2015**.

mh
Attachment

Financial Arrangements for Canada Research Chairs

Approved: February 10, 2015

- 1. Strategic Institutional Direction:** A Canada Research Chair (CRC) represents a federally funded instrument to assist the university in achieving the goals established within its strategic research plan, to be implemented by a school, faculty or campus (i.e., referred to from now on as “academic units” in this document) on behalf of the entire university. It is an institutional commitment to an area of research, not exclusively to the CRC Chairholder. In using CRCs to increase the research intensity of MUN, the primary benefits of more Principal Investigators and more graduate students will generate the most immediate impact on Memorial’s research performance. CRCs are expected to serve as a catalyst in their academic units for increased research productivity that enhances the research environment within the host academic unit(s) and increases research opportunities for colleagues within the Chairholder’s academic unit(s).
- 2. Salaries of Chairholders of Expiring CRCs:** The mandate of a large number of existing CRC Chairholders will be expiring over the next three years. The university commits, through the Office of the Provost, to working closely with the academic units currently hosting such CRCs to cover the salaries of these Chairholders, with the exception of the Faculty of Medicine, as they transition into the professoriate of their respective academic unit.
- 3. Distribution of CRCs Within the University:** The distribution of CRCs at Memorial University largely reflects the current relative Tri-Agency grants performance of individual academic units. There are numerous metrics by which the resource performance of an institution can be assessed. Given the role of relative Tri-Agency grants performance in assigning Chairs to institutions, the potential for a CRC to serve as a catalyst to increase this performance within their academic unit will be considered as a factor, in addition to the goals of the strategic research plan, in the allocation of CRC opportunities.
- 4. Long-term Planning of Hires:** Academic units must reflect their CRC hiring aspirations in their faculty member position requests. Though the institution cannot guarantee that such aspirations will be fulfilled, the planning for the possibility of acquiring a CRC (or any other chair for that matter) is key to facilitating the operational details of hiring CRC candidates.
- 5. Central Bank of CRC Positions:** Due to uncertainty with respect to immediate availability of base-funded faculty positions to associate with a new CRC allocation to an academic unit, the Provost’s Office commits to having a modest bank of positions (up to 5), available annually, to ensure that temporary salary lines are available, when needed, for academic units where Chairs are being terminated as per (6). This should allow the university to balance the risk of unallocated salary commitments against the leveraged opportunities to enhance institutional research intensity.
- 6. CRC Research Performance Expectations and Tracking:** The research performance expectations of CRC Chairholders (in addition to their teaching and learning, and community engagement expectations associated with their normal tenure-track appointment)

must be included in any proposal to the CRC Steering Committee by an academic unit seeking a CRC opportunity and must be made explicitly known, in writing, in the letter of offer to a prospective Chairholder. Such expectations must include elements such as: leadership of a strategic institutional research area within the academic unit(s); facilitation of research and partnership with colleagues in this strategic research area; transformative impact of research capacity within the academic unit(s), including leading grantsmanship initiatives as part of a team of colleagues; and other elements as may be appropriate to the academic unit(s) hosting the CRC. The performance of the Chairholder will be assessed by the CRC Steering Committee, in consultation with the relevant Dean(s), against these criteria after Year 2 of the initial term of the CRC appointment and thereafter on a yearly basis as well as any modifications in their role. If the CRC Steering Committee determines that there is a failure to meet objectives, the individual may be removed from the Chair and the Chair reallocated. The underlying academic appointment is decoupled from the Chair appointment and is not affected by the termination of the Chair appointment. Base funding of the Chair salary and benefits must be in place for the tenure-track appointment to enable academic units to be objective in their assessment of the Chairholder's performance.

7. **CRC Funding Available to Academic Unit(s) Hosting the CRC:** 95% of the annual CRC funding can be used within the academic unit(s) for a combination of recruitment costs and relocation expenses, salary and benefits, stipends and other research costs (e.g., start up funding, graduate student support, technical and administrative staff support, research grants and funding support for research initiatives in the focus area of the CRC, incremental administrative costs to the CRC academic unit(s)). Expenditures of the CRC funding must be consistent with the "Use of Award Funds" requirements of the CRC Program. The allocation of funding to Chairholder salary, benefits and stipend, and to support research initiatives associated with the CRC, will be balanced to maximize research intensity of the institution and be consistent with the assumed risk advocated in (5). An academic unit, as part of its proposal to the CRC Steering Committee to receive a CRC allocation or renew a CRC allocation, must, at the time of applying for an opportunity to recruit a CRC, clearly describe the funding allocation that will be employed over the term of the CRC appointment and demonstrate how this allocation maximizes the potential to increase research productivity as a result of allocating the CRC opportunity to the unit. Any variance in the funding allocation during the term of the CRC must be proposed by the relevant Dean and approved by the CRC Steering Committee. In all cases, an academic unit hosting a CRC is required to have a base-funded position and associated funding, at a salary and rank commensurate with the actual/anticipated salary of the Chairholder, available within the first three years of the initial term of the CRC appointment. The funding model described in the application to the CRC Steering Committee for the initial allocation or a renewal of an appointment must take into account the funding associated with the base-funded position associated with the CRC.
8. **CRC Funding to be Retained by the Vice-President (Research) to support the Central CRC Support Services:** 5% of the annual CRC funding will be retained by the Vice-President (Research) to offset the costs of the central CRC support services.