



**Proposal For the
Establishment of**

The Northwestern Ontario Cancer Research Institute

Northern Innovation

Northern Solutions

Lakehead
UNIVERSITY



Prepared On: January 10, 2004

**Approved: Lakehead University Senate
April 26, 2004
Lakehead University Board of Governors
May 6, 2004**

**Prepared By: John Guerard
Business Development Officer
Lakehead University**

Table of Contents

Executive Summary	3
Northwestern Ontario Cancer Research Institute Background	5
Objective.....	5
Local Initiative	5
The Partners	5
A History of Involvement.....	6
Growth Potential and Benefits of the Institute	7
Institute Mission, Vision and Goals	8
Lakehead University	8
TBRHSC and Cancer Care Ontario	9
NOMS Research Priorities.....	10
Mission of the NWOCRI.....	11
Goals of the NWOCRI	12
Corporate Structure	13
Governance Structure.....	15
Proposed Organizational Structure and Associated Responsibilities	15
Governance Committee	16
NWOCRI Member Advisory Board	16
Institute Management Structure.....	18
Chair/Chief in Cancer Research.....	20
Proposed Reporting Structure	20
Responsibilities to Lakehead University	20
Responsibilities to TBRHSC (NWORCC).....	20
Responsibilities to NOMS	20
Institute Members and Research/Technical Staff	21
Membership Classes, Criteria, and Terms	22
Classes of Membership	22
Eligibility for membership.....	22
1. Institute Members.....	22
2. Associate Members.....	23
3. Honorary Members.....	23
Appointment of New Members	23
Term of Membership.....	23
Academic Appointment at Lakehead University	23
Institute Members and Responsibilities to the Partners	24
Voting Rights of Members	25
Institute Member Advisory Board Composition	27
Chair of the Member Advisory Board.....	27
Institute Advisory Board Meetings and Sub-Committees	28
Advisory Board Meetings.....	28
Institute Sub-Committees	28

Institute Facility and Equipment Requirements	29
Research Facilities and Equipment	29
Library Resources.....	29
Institute Administration and Office Requirements.....	30
Research, Intellectual Property and Commercialization.....	31
Conducting Research	31
Intellectual Property	31
Commercialization of Intellectual Property.....	31
Student Policies, Support and Supervision.....	32
Graduate Students.....	32
Student Support.....	32
Student Supervision.....	32
Draft Financial Plan.....	33
Financial Model Assumptions	33
Draft Financial Model March 1, 2004 – April 30, 2008	35
Sources of Financing	36
Implementation Plan	40
 Northwestern Ontario Cancer Research Institute Constitution	 41
 Appendices	 45
 Examples of Mission and Vision Statements	 46
Lakehead University	46
Cancer Care Ontario.....	46
NCIC.....	47
Queen’s Cancer Research Institute	48
NWORCC	48
University Health Network	49
Vancouver Hospital and Health Science Centre.....	50
Centre of Excellence For Children and Adolescence with Special Needs	50
Examples of Membership Criteria At Other Institutes	52
Queen’s Cancer Research Institute	52
Queen’s Health Policy Institute	53
Laurier Institute for the Study of Public Opinion and Policy (LISPOP)	55
Examples of Institute Structures and Associated Responsibilities.....	56
Laurentian University Chair in Cancer Research.....	56
Queen’s Cancer Research Institute	57
University of British Columbia Policy on Institutes	59
Centre of Excellence For Children and Adolescence with Special Needs	60
University of Alberta Policy on Institutes.....	61

Executive Summary

This document was prepared at the request of senior management at Lakehead University and the Northwestern Ontario Regional Cancer Centre. A steering committee of interested faculty members and scientists at those institutions was formed in the fall of 2002. This committee has met on a monthly basis to address strategic issues dealing with the establishment of the Northwestern Ontario Cancer Research Institute (NWOCRI).

Lakehead University, the Northwestern Ontario Regional Cancer Centre and the Northern Ontario Medical School are in the process of developing and implementing a Cancer Research Institute in Thunder Bay, Ontario. After many years of cooperative research activities and teaching collaborations, the partner organizations are in the process of formalizing their working relationships and embarking on a new era of research that will support and enhance patient care, complement provincial and national research activities, and address local and regional needs.

Because of the flexibility of operation and to capitalize on the infrastructure that is already in place, the NWOCRI will be formally established within the corporate structure of Lakehead University. This requires a proposal to be drafted and presented to the University's Senate for approval. Moreover, to govern operations of the Institute, a constitution must be drafted and approved as well.

A Governance Committee with representatives from the founding partner organizations will be formed to ensure that operations of the NWOCRI are consistent both with the Institute's mandate and each of the partner organization's mission, vision and goals.

A Membership Advisory Board also will be formed to provide advice on strategic issues dealing with the NWOCRI. This Board will consist of researchers and scientists from the partner organizations.

It is recommended that there be three classes of Membership in the Institute: Full Members with voting rights and Associate and Honorary Members without voting rights. A set of criteria has been proposed to determine eligibility of admittance and continued association with the Institute.

Because the Institute is to be forged from a partnership between Lakehead University, the Thunder Bay Regional Health Sciences Centre and the Northern Ontario Medical School, it is recommended that each partner have an equal number of votes governing Institute business. Each partner will elect three representatives to sit on the Institute's Membership Advisory Board. In addition, the Chair/Chief in Cancer Research will Chair the Advisory Board meetings as a non-voting Member of the Advisory Board. In the

case of an equality of votes, it is recommended that the Chair, who normally does not have a vote, cast the deciding vote.

General business meetings representing all Institute Members are recommended to take place at least once per year. Representatives of each partner will be able to vote on issues or motions at meetings of the Institute Members. Such issues and motions will be those requiring input from Lakehead University, TBRHSC and NOMS and will include, but not be limited to, items such as significant research infrastructure needs, creation of new research groups, and changes to the constitution.

Furthermore, it is recommended that a current member of the Institute assume the role of the Institute Chair/Chief on an interim basis and that an administrative position be established to accomplish the following and more:

1. Obtain formal approval from the University Senate for the establishment of the Institute.
2. Draft partnership and affiliation agreements for the Institute.
3. Draft funding proposals for the establishment of a Chair/Chief/Director position.
4. Draft funding proposals for the establishment of additional researcher positions and capital acquisitions.

Once funds are established for the Institute Chair/Chief position, a search will be initiated to fill that position with the hope of attracting a well-established researcher to augment the number of researchers in the Institute.

Because the Institute will be funded through external sources, it is anticipated that an endowment fund of at least \$6.6 million must be established. In addition, bridge financing of approximately \$1.4 million is required until the endowment fund will generate income for the Institute.

Northwestern Ontario Cancer Research Institute Background

Objective

To formally combine the collective expertise and resources of the Thunder Bay Regional Health Sciences Centre (Northwestern Ontario Regional Cancer Centre), Lakehead University and the Northern Ontario Medical School and create a permanent cancer research institute in Thunder Bay.

Local Initiative

The Thunder Bay Regional Health Sciences Centre (Northwestern Ontario Regional Cancer Centre), in conjunction with Lakehead University and the Northern Ontario Medical School, will develop and implement a Cancer Research Institute in Thunder Bay, Ontario. After many years of cooperative research activities and teaching collaborations, the partners will formalize their working relationship and embark on a new era of research that will support and enhance patient care, complement provincial and national research activity, and address local and regional needs.

The relationship between Lakehead University and the Northwestern Ontario Regional Cancer Centre was formalized through the signing of an Affiliation Agreement and a plan to enhance research and educational activities throughout Northwestern Ontario.

In March 2001, the Northwestern Ontario Regional Cancer Centre (NWORCC) conducted a needs analysis with the staff of Lakehead University and the NWORCC involved in research, cooperative teaching and administration in both institutions. The needs analysis identified current research and teaching activities, and the steps required to effectively launch a Northwestern Ontario Cancer Research Institute.

The Partners

The Northwestern Ontario Cancer Research Institute will logically evolve from the existing facilities at the NWORCC and Lakehead University in Thunder Bay. Each site has specialized facilities and equipment that will continue to form an integral part of their respective operations. Moreover, in the new Thunder Bay Regional Health Sciences Centre (TBRHSC) there is 5,000 square feet of laboratory space allocated for the cancer research. This will create a geographic focal point for research facilities where staff and equipment can be strategically allocated to Lakehead University, TBRHSC, or the NOMS.

A History of Involvement

The NWORCC and Lakehead University have been collaborating in research and teaching for several years. Some of those initiatives include:

- Almost \$300,000 in research grants to the Northwestern Ontario Regional Cancer Centre, a portion of which is being used for prostate cancer research in collaboration with Lakehead University.
- A prostate cancer research project and development of a tumor bank database by the School of Kinesiology and the NWORCC.
- The synthesis of compounds designed to have anti-cancer activity by the Department of Chemistry at Lakehead University and NWORCC.
- A joint laser optics-based research project by the Department of Physics and the NWORCC Medical Physics Department.
- Teaching a cancer biology course and contributing to teaching cell biology and developmental biology courses by NWORCC personnel through the Applied Biomolecular Science (ABMS) undergraduate program.
- Teaching an undergraduate nuclear physics course and supervision of the special projects course in the Physics Department by NWORCC personnel.
- Active collaboration between the Psychosocial program at the NWORCC and the Departments of Psychology and Social Work dating back more than ten years, including adjunct appointments in both departments and joint conference presentations.
- A joint study by the Departments of Chemistry and Biology at Lakehead University and the NWORCC to screen extracts from native herbal tea for compounds that inhibit growth of breast cancer cells.
- A joint study by the Department of Biology at Lakehead University and the NWORCC on the identification of pathogens on catheters that cause bacteremia in cancer patients.
- A joint study by the Department of Chemistry at Lakehead University and the NWORCC on the effects of silicon on toxicity and proliferation of bone cells.

Past research includes:

- Factors Influencing Non-adherence to Mobile Breast Screening.
- A Prospective Study of the Psychological Impact of Organized Breast Cancer Screening for Women in Northern Ontario.
- Prevalence and Patterns of Smoking among New Patients at the Thunder Bay Regional Cancer Centre 1994-1995.
- Non-adherence Study Update 1998.

- Thunder Bay Pilot Project of the Ontario Cervical Screening Information and Reporting System 1995-1997.
- Factors Influencing Breast Self-examination Adherence in Women Attending a Breast Screening Program.
- Northwestern Ontario Breast Health Assessment Program.

Growth Potential and Benefits of the Institute

The NWORCC and Lakehead University have been very successful in attracting scientists and oncologists, many of whom work for both partner organizations. For example, a scientist may work on research projects for NWORCC and lecture at the University as well. This is the preferred relationship and collegiality that will help to attract scientists now and in the future. As the pool of expertise grows, financial support grows accordingly in the form of both start-up and operating grants. With the arrival of these new scientists, the growth of funding over the next four years will be significant. Furthermore, with the development and establishment of NOMS, additional faculty and researchers will be attracted to Thunder Bay.

Several possible benefits to the region that have been identified as a result of the creation of the Institute include:

- Enhancing the medical delivery system of the region and developing a much higher order of service.
- Strengthening the technical capability and program offerings of Lakehead University and the TBRHSC (NWORCC).
- Providing a platform for recruitment and retention of healthcare professionals in the region.
- Attracting biotech / pharmaceutical firms to capitalize on economic opportunities related to cancer research.
- Attracting a high level of technology and telecommunications ability to serve research and e-learning functions.
- Attracting new and expanding existing software companies.

Institute Mission, Vision and Goals

The NWOCRI is a collaborative organization which is the result of initiatives taken by Lakehead University, the NWORCC and NOMS. Therefore, the NWOCRI must operate within the Mission, Vision and Goals of these organizations. The relative portion of the partners' mission, vision and goals are reproduced below.

Lakehead University

Lakehead University identifies research excellence and scholarship as essential components of its mission as an institution of higher learning.

"Lakehead University is committed to excellence and innovation in undergraduate and graduate teaching, service, research and other scholarly activity. ... Lakehead University values its people and the diversity of their ideas, contributions and achievements.... Building on its past accomplishments and recognizing its role in Northwestern Ontario, Lakehead University reaches out regionally, nationally and internationally."

Despite the fact that Lakehead University is currently undergoing a revision in its institutional Strategic Plan, the plan for 1999-2004 stated:

"Over the next five years, our goal is to position Lakehead University so that it will be recognized regionally, nationally and internationally as a respected, mid-sized comprehensive university, internationally acclaimed as a world leader in a number of existing and emerging areas of research concentration. The following major objectives are critical to the achievement of this vision:

- the recruitment and retention of outstanding faculty;*
- the recruitment of outstanding undergraduate and graduate students;*
- the attraction and provision of increased financial resources and infrastructure to support research excellence and innovation;*
- the facilitation of scholarly inquiry, both individual and collaborative;*
- the support of sustainable research partnerships; and*
- the promotion of Lakehead's research in the region and beyond."*

TBRHSC and Cancer Care Ontario

Cancer Care Ontario is the provincial body for funding cancer care through the TBRHSC. The following excerpts from the Cancer Care Ontario (CCO) Strategic Plan provide philosophical guidance and direction for the activities of the regional centre. The plan also provides a framework for the implementation of Goal #5, “to advance knowledge about cancer control through research,” as well as a framework for the development of the NWOCRI.

Vision

The vision guiding the first strategic plan continues to provide an authoritative and compelling direction for CCO into the future. It is as follows:

“To lessen the burden of cancer in Ontario by ensuring that all Ontario residents have timely, equitable access to an integrated system of excellent, coordinated and efficient programs in prevention, early detection, care, education and research.”

Values

Cancer Care Ontario has a primary responsibility to cancer patients and those at risk of being affected by cancer, and an obligation to deliver services in a fashion that recognizes the unique needs of Ontario’s various communities and regions.

Goals

Note: Research has been added as an explicit goal.

1. To reduce the incidence and mortality of cancer in Ontario.
2. To improve the outcomes of individuals with cancer.
3. To improve access of individuals to the cancer system, to expedite movement of patients through the system, and to ensure quality of services available to patients.
4. To improve the knowledge of the public and professionals as to the causes, indicators and treatments of cancer.
5. To advance knowledge about cancer control through research.
6. To ensure effective planning, organization, management and delivery of cancer control services.

Four Central Themes

The need:

1. To focus on improving outcomes and satisfaction for patients and the public.
2. For collaboration and community involvement.
3. For information systems to enable these objectives to be achieved.
4. For human resource planning, recruitment and retention.

NOMS Research Priorities

As with any medical school, education is directly linked to research. Therefore, research is expected to be an important priority for NOMS. Because individual faculty members of NOMS have not yet been hired, specific research to be undertaken will not be determined at this time.

However, in keeping with NOMS's overall focus on rural and northern health issues, NOMS's Implementation Management Committee has identified a number of research and curriculum areas that NOMS should focus on. The overall theme of focus concentrates on health issues of rural and Northern communities, including aboriginal health needs. One of these needs is the treatment and early diagnosis of cancer; specifically, those types of cancers that occur at a higher rate in the north.

Mission of the NWOCRI

Based upon the partnering institutions' Missions and Visions, the NWOCRI's mission is:

Mission

"To undertake, develop and support cancer research and related programs in Northwestern Ontario that will improve the prevention, screening, supportive care, palliative care, diagnosis and treatment of cancer. This includes a focus on cancer issues of the people of Northwestern Ontario."

To achieve this Mission, the NWOCRI is committed to:

- Offering a platform for the training, development and support of personnel in cancer research in Northwestern Ontario.
- Conducting research that relates to all parts of the Continuum of Cancer Care: Prevention, Screening, Supportive Care, Palliative Care, Diagnosis, and Treatment. In doing so, the Institute will foster the development of emerging or expanding areas of research related to cancer.
- Supporting the translation of basic research into clinical programs.
- Developing interdisciplinary areas of research strength and fostering of translational research by increasing communication between fundamental and clinical investigators.

Goals of the NWOCRI

Based upon the Institute's Mission, the direction of the Institute is detailed in the NWOCRI's Goals:

NWOCRI Goals

The NWOCRI will:

1. Establish a critical mass of investigators in various disciplines of cancer research under a single institute located in Northwestern Ontario.
2. Assist in the establishment of additional research infrastructure including laboratories and equipment related to cancer research.
3. Assist in the recruitment of qualified researchers and healthcare providers to Northwestern Ontario.
4. Attract top scientists and their expertise to develop independent research programs, attract peer-reviewed grants, and train students in the latest techniques of medical research in Northwestern Ontario.
5. Provide an economic stimulus to the area, and reverse the trend to out-migration of the "best and brightest personnel."
6. Provide an environment for people involved in cancer research to interact, collaborate and create the scientific collegiality that is important to build a sustainable program.
7. Provide education and training for students, researchers and physicians who would like to undertake cancer research.
8. Assist in the establishment of educational programs that will produce researchers in Northwestern Ontario.
9. Enhance the profile and prestige of Northwestern Ontario in the research community.
10. Enhance the body of knowledge related to cancer care.
11. Address northern cancer issues unique to Northwestern Ontario.

Corporate Structure

Three options studied for the Corporate Structure of the Institute include:

1. Incorporation as a distinctly separate Not-for-Profit Corporation.
2. Internally Organized within the TBRHSC.
3. Internally Organized within the University.

The swiftest route to establish the Institute is to form it internally at Lakehead University. This requires a proposal to be drafted and presented to the University's Senate for approval. Moreover, to govern operations of the Institute, a constitution must be also be drafted.

This is also the simplest form of organization. It offers ease of formation and termination, minimal organizational costs, and flexibility of operation. Accumulated surpluses or deficits of the Institute will be accounted for in a restricted fund under the University's financial system.

As an established institute at the University, members of the Institute will have a great deal of latitude in driving the research agenda of the Institute, provided that the policies and procedures of the University are met.

In addition, the Institute can take advantage of funding opportunities that the University enjoys already as a non-profit, academic and research institution. If the Institute were to be incorporated outside the University, it would not have access to the range of academic and research funding that the University enjoys.

Furthermore, the Institute can take advantage of certain infrastructure that is in place at the University. This includes the research policies and procedures dealing with Ethics and Bio-Safety that would have to be duplicated for an externally organized Institute. Moreover, the financial and administration infrastructure that already exists at the University will not have to be duplicated as would be required with another separate entity. Separate funds or accounts can be established internally at the University, to control the operational revenues and expenses of the Institute.

However, because research at the University has not entirely focused on cancer research to date, there will be a need for expenditures to drive the cancer research agenda of the Institute. These expenditures include staff for the Institute and promotional/marketing costs that will set the Institute apart from the vast array of research being conducted at the University. Funding for these costs will be raised through external sources and there will not be any financial obligation from the University.

Once the Institute is established at the University and a critical mass of researchers are attracted to the Institute, additional research facilities and equipment will be required. At that time, the partner organizations can readdress the consideration to incorporate.

As a Not-for-Profit Corporation, the Institute will be a separate legal and taxable entity. This type of organization offers limited liability, continuity of existence, simplicity in transferring ownership, centralized management and ease of capital formation. However, corporations are sometimes subject to additional expenses (audit and legal fees) and government regulations and supervision.

The major advantage of incorporation is that it will allow for investment in and ownership of capital assets by the partners of the Institute. Members of the Institute would control these assets.

At this point in time, each partner of the Institute will retain ownership of facilities, but allow for Institute members to perform research in those facilities. Additional Institute facilities are not expected for at least 3 to 5 years.

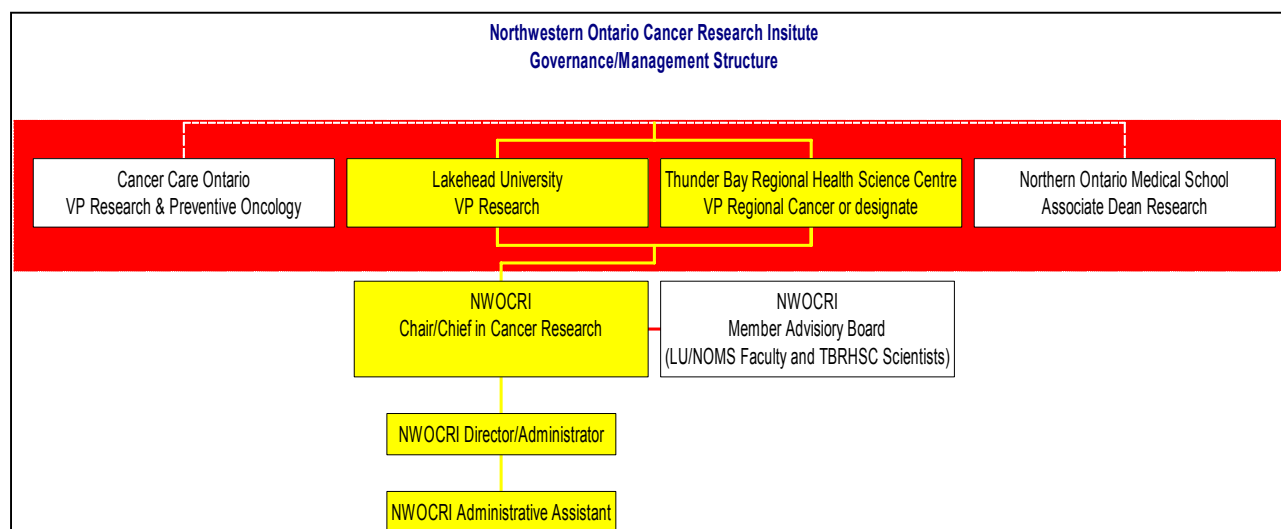
Governance Structure

Despite the fact that it is not recommended that the Institute incorporate at this point in time, an administrative infrastructure that are common to incorporated organizations must be put in place to manage the NWOCRI.

One of these structures is the Governance Structure. Within the Governance Structure issues include the criteria and categories of membership, voting rights of members, annual and special meetings of the membership, board composition and sub-committees.

Proposed Organizational Structure and Associated Responsibilities

The proposed Governance and Management structure is detailed below:



Governance Committee

The Governance Committee (in red) will be comprised of a representative from Lakehead University, Thunder Bay Regional Health Sciences Centre, Northern Ontario Medical School, Cancer Care Ontario, and possibly other future partners.

The Committee functions to ensure that the operations of the Institute are consistent both with the Institute's mandate and each Governing Institution's Mission, Vision and Goals. The Committee will meet at least once a year. The Committee functions in the following capacities:

- Reviewing and approving the goals, objectives, and work plans for the Institute.
- Monitoring the individual and collective work of the Institute.
- Establishing policies and guidelines governing the Institute's operation.

In addition, because the Institute is to be formed under the Lakehead University corporate umbrella, the Institute Chair/Chief and staff will report directly to the University's management on financial and administrative matters of the Institute. The most appropriate person to report to at the University is the VP Research. This is due to the fact that the Institute will conduct research in disciplines that cut across several University departments and faculties. Moreover, for any responsibilities assigned to the Institute Chair/Chief and staff relating to facilities and administration at the Thunder Bay Regional Health Sciences Centre, they will report directly to management at the Health Sciences Centre.

NWOCRI Member Advisory Board

An Advisory Board will be appointed with an equal number of Institute Members drawn from Lakehead University, TBRHSC and NOMS. The primary objective of the Member Advisory Board is to assist the Institute in achieving its goals. In particular the Advisory Board will among other things, recommend Institute policies and provide advice on the Institute's operation, activities, and programs. With equal representation from the Institute's partners it is anticipated that this will enhance the performance of the Institute and facilitate inter-Faculty/Partnership and interdepartmental involvement and cooperation.

The Advisory Board functions in an advisory capacity to the Institute's Governance Committee. The Chair/Chief in Cancer Research (an ex-officio member of the Board) will Chair meetings. Meetings will be held at least once a year to provide specific advice

regarding the implementation of the Institute's objectives, in particular:

- Identifying and facilitating appropriate strategic alliances for the Institute.
- Assisting in communication strategies and activities to publicize the Institute's work.
- Review the activities and accomplishments of the Institute and recommend to the Chair and the Governance/Management Committee future programs and directions.
- Provide support and advance the goals and activities of the Institute.
- Recommend the appointment of a Director of the Institute or Centre on the advice of an appropriately constituted search committee.
- To recommend the mechanism and changes to the mechanism for the evaluation of membership in the Institute.

Institute Management Structure

Throughout the discussions about forming the Institute, several options were explored for managing the Institute. Ultimately, the Management of the Institute depends on what goals/tasks are to be set for the Institute, for example: establishment of a PhD program, attracting other researchers to the region, establishing more research infrastructure, increasing collaborations between the three partners.

A situation similar to the NWOCRI exists in Sudbury. The Laurentian University Chair in Cancer Research has several responsibilities/goals. These include:

- Leading the tumour biology research at the Northeastern Ontario Regional Cancer Centre (NEORCC).
- Further establishing state-of-the-art infrastructure required for Cancer Research in Sudbury.
- Attracting more Cancer Research personnel.
- Organizing a PhD program in Bio-molecular Science and continuing efforts to establish a molecular pathology program for Northeastern Ontario.
- Conducting research at the NEORCC and performing duties of a faculty member of Laurentian University.
- Facilitating the increase in research collaborations of the NEORCC and Laurentian University.

The Chair brings a level of reputation and prominence to Laurentian. Moreover, the Chair has a background that provides him with familiarity in the research/academia setting already. Furthermore, an accomplished Research Chair is eligible for research grants including additional research personnel, capital equipment, and research projects.

In addition to the Chair in Cancer Research at Laurentian, there is also a full time Institute Director/Administrator. This situation provides them with the advantages of having a Chair with a research reputation that provides more credibility to the Institute, as well as a Director/Administrator with the drive for success of the Institute because future employment is dependent on it.

The Administrative Director is fully dedicated to the development of the Institute because there are no additional duties such as conducting research or teaching. The Administrative Director is also able to write grant proposals to funding agencies that are not research oriented (FedNor, NOHFC) with the motivation to ensure that the Institute is successful, both in achieving its objectives and remaining financially viable.

This is the ideal situation for the NWOCRI. However, there is a time delay in arriving at those circumstances. Grant proposals need to be submitted and approved and an employment search must be conducted for the researcher/academic director, both of which may take some time.

Therefore, it is recommended that a founding member of the Institute be appointed as an interim Chair/Chief in Cancer Research and a Director/Administrative position be established to accomplish several things including:

- Draft partnership and affiliation agreements for the Institute.
- Draft funding proposals for the establishment of a Chair/Chief position.
- Draft funding proposals for the establishment of additional researcher positions and capital acquisitions.

Once funds are established for the Chair/Chief Position, a search will be initiated to fill that position with the intent of attracting a well-established researcher to augment the number of researchers in the Institute. In addition, it is anticipated that the grant funds for the Chair/Chief will also include additional positions (post-doctoral fellowships, graduate students etc).

In either case, the Chair/Chief and the Director/Administrator of the Institute will be responsible to the Vice President Research at Lakehead University to adhere to University policies and procedures.

Chair/Chief in Cancer Research

Proposed Reporting Structure

The Chair/Chief will have a dual appointment with Lakehead University and the Thunder Bay Regional Health Sciences Centre (TBRHSC) and therefore, report directly to those institutions for duties assigned with the appointment.

Responsibilities to Lakehead University

- Lead a research program in their field of cancer research at Lakehead University
- Hold a tenure-track academic appointment at Lakehead University (required to perform duties associated with that appointment – i.e. Teaching, Research)
- Assist in the development of PhD programs relevant to cancer research.
- Together with the Institute Director, investigate the acquisition of new infrastructure (laboratory space, equipment etc) in the future.
- Be responsible with the Institute Director to the VP Research for the overall administrative and financial management of the Institute at Lakehead University.
- Act in a mentoring capacity to new and young researchers.

Responsibilities to TBRHSC (NWORCC)

- Lead a research program in their field of cancer research at the TBRHSC.
- Have overall administrative responsibility for ensuring the goals of the Institute are met.
- Chair the Institute Governance/Management Committee meetings.
- Chair the Institute Member Advisory Board meetings.
- Represent the Institute within the TBRHSC.
- Take a leadership role in advancing the profile of the Institute nationally and internationally.
- Actively pursue new funding opportunities for the Institute and its programs.

Responsibilities to NOMS

- Represent the Institute within NOMS.

Director/Administrator and Other Institute Administrative Staff

The Director/Administrator and other Institute Staff will report directly to the NWOCRI Chair/Chief in Cancer Research. Duties are to be assigned, but in general include:

- Administrative infrastructure support for the Institute.
- Together with the Chair/Chief in Cancer Research operate and develop the Institute.

Institute Members and Research/Technical Staff

Each Member of the Institute will continue to act in accordance with their appointments at Lakehead University, NOMS or TBRHSC. As such, each Member conducting research will employ their own research/technical staff directly through the funds supplied by grants.

Membership Classes, Criteria, and Terms

Several models of Institutes were examined for their Membership Classes and Membership Criteria. Common to all Institutes or Centres are at least two classes of members – Full Members and Part-time Members.

In order to give the Institute substance and credibility, there requires a critical mass of investigators. However, conversely, membership in the Institute should also be limited and strictly controlled to those who are actively involved in research directly related to the Institute's mandate. Therefore, admission as a member of the Institute should be highly controlled. Furthermore, continued membership in the Institute should also be highly scrutinized regularly.

Classes of Membership

It is recommended that there be at least two types of Institute membership: Members (full members) and Associate Members. In addition, the Institute should consider a category for Honorary Members.

Eligibility for membership

1. Institute Members

Members are recommended to be individuals from Lakehead University, the Northern Ontario Medical School or the TBRHSC who have their primary research or conduct a substantial amount of research in the area of cancer. In addition, founding members (those involved with the establishment of the Institute) will automatically be considered as Institute Members.

At the Institute establishment stage, it is recommended that Institute Members be the Founding members. Founding members are determined by faculty at Lakehead University and Scientists at TBRHSC who have held or currently hold research grants in the area of cancer. These Founding members will be evaluated within one year of the establishment of the Institute to determine their eligibility for full membership.

2. Associate Members

Associate Members are recommended to be Lakehead University, TBRHSC or NOMS researchers engaged in cancer research who are willing to contribute to the goals of the Institute. It is also recommended that researchers from external organizations who are collaborating with Institute Members in cancer research may be admitted as Associate Members of the Institute upon application and acceptance.

3. Honorary Members

Honorary Members are recommended to be researchers who have conducted cancer research and have contributed substantially to the creation or ongoing affairs of the Institute. It is also recommended that Honorary Members will not have voting rights in the Institute and will be appointed from time to time by Institute Members.

Appointment of New Members

Members will be researchers and scientists recruited by Lakehead University, TBRHSC or NOMS who will conduct cancer research.

It is recommended that current Institute Members develop criteria for inclusion of New Members. New Members may be identified from within the Lakehead University, TBRHSC or NOMS communities or recruited from outside.

Term of Membership

In order to limit Membership to those conducting Cancer Research, it is recommended that each Member be assessed for continued Membership at least every three years.

Academic Appointment at Lakehead University

As with the Queen's Cancer Institute, it is recommended that appointment at Lakehead University should not be required for Membership, Associate Membership or Honorary Membership. However, there are certain rights afforded and certain responsibilities only to researchers who are appointed at the University. These rights and responsibilities are detailed in Lakehead University's Academic Policies. Therefore, it is strongly recommended that researchers from other institutions apply for academic appointment at Lakehead University.

Institute Members and Responsibilities to the Partners

Each Institute member who is presently employed at a partner institution will continue to carry out his/her established duties and responsibilities to that partner. New research or scientist recruits by each partner will have primary responsibilities to that partner institution. Duties and responsibilities to the Institute will be negotiated at the time of their recruitment.

Voting Rights of Members

In general, most research institutes and centres are formed within one corporate organization. In these instances, each member is usually given one vote in matters dealing with the strategic and operational issues of the Institute. However, in the case of the NWOCRI, there are several partners forming the Institute. It can be anticipated that due to the differences in the number of researchers among Lakehead University, NOMS and the TBRHSC concentrating on cancer research, if each member were to be given a vote, there would be an inequity of votes for one of the partners.

Therefore, it is recommended for the NWOCRI, that Members from each partner (Lakehead University, NOMS and the TBRHSC) elect their representatives through a majority of votes of partner members to sit on the Advisory Board. It is recommended that a maximum of 3 representatives from each partner be elected to represent the partner (for a maximum total of 9). Each of the representatives on the Advisory Board will have one vote at Institute meetings.

This structure reflects the equal partnership of the founding institutions in the formation of the Institute by providing an equal number of votes from each. More than one Representative from each partner will reduce the chance of one person being able to put forth a personal agenda.

In the case of any equality of votes, the Chair/Chief of the Institute, who does not normally vote, may cast the deciding vote. This dispute mechanism is desirable as compared to putting a vote to all Members because of the ability to make swift decisions when required.

In addition, this structure allows for the requirement of only 3 representatives from each partner to be actively involved in the ongoing operations of the Institute.

Representatives can be elected and appointed to the Advisory Board for a three-year period. It is recommended that the first set of representatives be appointed in a manner that will stagger appointments to the Advisory Board. This can be accomplished by appointing one representative for a one year, one representative for a two year and one representative for a three year appointment on the formation of the Institute.

Furthermore, it is recommended that any change in the NWOCRI's Constitution require a two-thirds majority vote of all Members.

In addition, Associate Members and Honorary Members will be encouraged to attend meetings and express their opinions, but will not have voting rights.

If at some point in the future additional Partner Institutions join the Institute, a 2/3 majority vote of all Members of the Institute will be required to change the structure of the Advisory Board to include representatives from the new Partner Institution.

Institute Member Advisory Board Composition

As recommended above, each partner will have representatives on the Member Advisory Board. In addition, it is recommended that the Advisory Board have a Chair. The Chair will act as the figurehead and spokesperson for the Institute.

In discussions with others that have established similar Institutes, in order to provide the Institute with credibility in the “research world”, it was recommended that the Chair/Chief be someone with an established reputation in cancer research.

Chair of the Member Advisory Board

The Chair of the Advisory Board will serve as a non-voting member of the Advisory Board. However, the Chair will be a member of the Advisory Board who has the right to cast a deciding vote in the case of an equality of votes amongst the other Advisory Board members.

The appointment of the Chair/Chief of the Institute as the Chair of the Advisory Board further legitimises the position of the figurehead of the Institute. Moreover, the Institute Chair/Chief will provide some continuity from year to year for the Advisory Board.

Institute Advisory Board Meetings and Sub-Committees

Advisory Board Meetings

Generally, organizations have an annual general meeting where all Members are invited to attend and significant issues are discussed and voted upon.

It is recommended that the Institute Advisory Board meet monthly or quarterly or as needed, to address operational issues in a timely manner.

Business meetings of all Institute Members are recommended to take place at least once per year. Representatives of each partner will be able to vote on issues or motions at meetings of the Institute Members. Such issues and motions will be those requiring input from Lakehead University, TBRHSC and the NOMS and will include, but not be limited to, items such as significant research infrastructure needs, creation of new research focus groups, and changes to the constitution.

In addition, in the early stages of the formation of the Institute, it is recommended that there be several regular meetings of Members to resolve strategic issues that will arise with the new Institute.

Institute Sub-Committees

It is recommended that the Institute establish sub-committees to deal with issues such as New Member appointments and Membership reviews. These sub-committees should be composed of existing Members of the Institute.

In addition, it is recommended that Members who are conducting research in a particular discipline of cancer research form Research Groups. These sub-committees may be composed of existing Members and people external to the Institute.

Institute Facility and Equipment Requirements

Research Facilities and Equipment

Initially, the Institute will capitalize on the existing research facilities at the TBRHSC and Lakehead University. Ownership and management of the facilities will continue to be with the individual partners of the Institute. However, access for members to use the research laboratories and equipment at the TBRHSC, as well as the research facilities and equipment at Lakehead University will be granted. Access is defined as the ability to use equipment at internal research costs at all facilities at both TBRHSC and Lakehead University. This is not unlike the relationship that is currently in place. Moreover, it is anticipated that once NOMS constructs research facilities, those facilities will also be available for members of the Institute.

Once the Institute attracts a number of new members, it is anticipated that additional laboratory space will need to be constructed. At this point, it is foreseen that this will be initiated two to three years after the establishment of the Institute.

Moreover, additional research equipment is expected to be purchased by the Institute partners in the coming years. This is particularly the case with the addition of new researchers and scientists. It is expected that established researchers and scientists will bring infrastructure funding with them. Moreover, new researchers and scientists are eligible for funding programs such as the New Opportunities Fund from the Canadian Foundation for Innovation. Ownership of these new equipment additions will be handled as each addition arises. However, it is anticipated that the equipment will be owned by the appropriate partner that is granted the funding.

Library Resources

Partners of the Institute will allow access and rights to use the library resources for members and staff of members of the Institute. At present, this includes library resources at TBRHSC and Lakehead University. However, once library facilities are established for NOMS, it is anticipated that these will also be available for use by Institute members.

Institute Administration and Office Requirements

Once staff are hired to develop and administer the on-going operations of the Institute, office space will be required. It is anticipated that within the next few months, a location must be established either at the TBRHSC or Lakehead University to host the administrative staff of the Institute (two or three offices). Once a Chair/Chief of the Institute is hired, additional office space will be required. At present, a location has not been negotiated. It is not anticipated that a charge will be paid to the partner which will host the offices of the Institute.

Once additional laboratory space is constructed, it is anticipated that the Administration offices will be relocated to the new facility. The aforementioned building initiative is also taking into account the need for the partners of the Institute (TBRHSC, Lakehead University and NOMS) to be in physically contiguous space to maximize interactions between them and to permit continued liaisons with graduate and undergraduate students who will be employed as research assistants.

Research, Intellectual Property and Commercialization

Conducting Research

Members of the Institute are expected to obtain funding to cover the cost of conducting research. Various research funding sources include internal (granted from the Institute partner organizations) and external (government agencies and industry sponsored research). Assistance in applying for these grants will be provided by the management of the Institute and administration of the Institute partner organizations.

Research conducted through the Institute will conform to the policies and procedures of the Institute partners and the conditions attached to research funding. This includes, conflict of interest, animal care, ethics and other administrative and financial policies.

Intellectual Property

Members of the Institute are bound by employment contracts from the institutions that employ them. As such, the ownership of intellectual property created and developed through research associated with employment is governed by the individual member's employment contracts.

Furthermore, depending on conditions attached to funding from external sources for individual research projects, the ownership of intellectual property by members will be handled on a case-by-case basis.

Commercialization of Intellectual Property

As members of the Institute, intellectual property created or developed may be commercialized with the assistance of the Innovation Management Office (IMO) at Lakehead University. Issues such as intellectual property ownership and commercialization revenue and expense sharing will be handled on a case-by-case basis.

The IMO currently has an agreement with the Thunder Bay Regional Health Science Centre to assist in the commercialization of intellectual property created at that institution.

Student Policies, Support and Supervision

Graduate Students

The development of Graduate Studies at Lakehead University and the undergraduate curriculum at NOMS are currently ongoing. It is likely that a Health Sciences PhD program will be created at Lakehead University. The creation of the Institute will permit greater flexibility with respect to choice of courses available to graduate students registered in the existing departments and will increase the availability of research options for graduate students in Northwestern Ontario. Students pursuing graduate studies within the Institute will be registered in an academic program at Lakehead University in which their supervisor may have graduate students.

Student Support

Students will be supported at a level set by the policies of Lakehead University. Funding will be obtained from competitive external sources such as NSERC, SSRHC, NCIC, CIHR, and OGS, as well as from various Lakehead University and NOMS graduate awards. Any additional funding required will be provided from infrastructure support from CCO, NCIC and industry, as well as individual operating grant support to the members of the Institute.

Student Supervision

Student supervision will be the responsibility of the individual Institute members, as determined in the policies of Lakehead University.

Draft Financial Plan

The financial model has been designed to cover start-up costs and ongoing operations of the NWOCRI. It is based on a number of assumptions identified below and throughout this proposal.

Due to the fact that the Institute will be officially formed under the corporate umbrella of Lakehead University, a fiscal year end of April 30 has been chosen to coincide with the University's fiscal period.

The ultimate goal is to establish an endowment fund that will cover the costs associated with the operations of the Institute, including the salary and benefits of the Chair/Chief position and research assistant support for that position. Based upon the assumptions below, it is anticipated that an endowment fund of approximately \$6.6 million will need to be raised to cover these operating costs.

Until the full endowment can be raised, bridge financing to cover operating costs must be obtained. It is anticipated that operating expenses until April 30, 2008 will be included in the bridge financing. Based on the budgeted expenditures below, approximately \$1.4 million in bridge financing is required. There are several sources of funding that can be accessed to cover these expenditures.

Financial Model Assumptions

Chair/Chief In Cancer Research

- Will appoint a Chair/Chief that qualifies for the status of full professor with equivalent wages.
- A Chair/Chief is appointed by June 1, 2004.
- There will be a salary increase of 3% per year.

Staffing

- Director hired by March 1, 2004 at a rate of \$70,000 per year, with a salary increase of 3% per year.
- Administrative Assistant hired March 1, 2004 at a rate of \$35,000 per year, with a salary increase of 3% per year.
- Post-doctoral fellowships and research assistant positions for the Chair/Chief are not included.

Start-up Costs

- Advertising and Marketing expenses related to branding, development of the Institute logo and stationery, and website development are one time costs of establishing the Institute.
- Purchase of computer and office equipment for 3 staff members.
- Purchase of office furniture for 3 staff members.

Ongoing Operating Expenditures

- The Institute will be located either at the TBRHSC or Lakehead University and therefore, rental of space will be nil.
- Any costs associated with conducting research are to be covered through research grants.
- Any capital expenditures other than those indicated below, will be covered through capital grants obtained in the future.

Endowment Fund Requirements

- The endowment fund required to cover the operating costs listed below is based upon the fund earning 5% in interest per year.

Draft Financial Model March 1, 2004 – April 30, 2008

Budgeted Expenditures For the Year Ending April 30,	May 1 - April 30				Total
	Mar 1 - April 30	2005	2006	2007	2008
Salary Chair/Chief		113,000	116,390	119,900	123,500
Salary Director	11,700	70,000	72,100	74,300	76,600
Salary Administrative Assist	5,900	35,000	36,100	37,200	38,400
2 Post-Doctoral Fellowships		-	-	-	-
Benefits	3,600	43,600	45,000	46,300	47,700
Advertising & Marketing	25,000	5,000	5,000	5,000	5,000
Books and Periodicals	3,000	3,000	3,000	3,000	3,000
Computer Hardware	15,000	5,000	-	-	-
Computer Software	5,000	500	500	500	500
Furniture & Equipment	12,000	1,000	1,000	1,000	1,000
Interviews and Recruitment	8,000	-	-	-	-
Printing/Photocopy Charges	3,000	3,000	3,000	3,000	3,000
Postage	500	600	800	1,000	1,200
Telephone	2,000	3,500	3,500	3,500	3,500
Training/Travel	9,000	12,000	12,000	12,000	12,000
Miscellaneous	5,000	5,000	5,000	5,000	5,000
	108,700	300,200	303,390	311,700	320,400
					1,344,390

Sources of Financing

There are several sources of funding that will need to be accessed to sustain the operations of the NWOCRI. Once the Director is appointed, applications to these programs can be made.

Ontario Research and Development Challenge Fund (ORDCF)

Currently, funds both limited term industrial Chairs and Endowment Chairs. The Laurentian Chair in Cancer Research has been funded through this program. ORDCF's intention is to:

- Support job creation and economic growth;
- Promote world-class research of interest to the private sector;
- Encourage more collaboration between the private sector and research institutions;
- Improve Ontario's ability to attract and keep world-class researchers and skilled technicians, and to conduct state-of-the-art research; and
- Help Ontario's universities and other research institutes compete for funding from other Provincial and federal research programs.

One of the major benefits of this program is the wide range of eligible expenses that will be covered through the grant. Eligible direct expenses may include:

- salaries and benefits of researchers;
- salaries and benefits of technical and support staff assigned to the proposal;
- skilled technical personnel;
- equipment and facilities (re-equipping, renovation, construction);
- data bases.

The funding formula that ORDCF requires currently is:

- ORDCF: maximum of 22.33%
- Institution: minimum of 44.34%
- Contributing Business Partner: minimum of 33.33%

However, it is anticipated that the contribution percentages will change to 1/3 from all partners in the next round. The next round of requests for applications is anticipated to be in the first quarter of 2004.

Also, at the discretion of the ORDCF Board, funds from all sources, including the private sector, institutions, charities and foundations, municipalities, private philanthropy, and other sources are deemed as qualifying for the support required to attract an ORDCF contribution.

The history of the ORDCF program is to fund very large projects (at least \$5 to \$10 million range). It is anticipated that this will not change in the future.

FedNor Innovation Fund

One of FedNor's goals is to strengthen Northern Ontario communities by supporting projects that address local needs and priorities which result in long term benefits including job creation, economic diversification, and enhanced business competitiveness.

Eligible costs may include operating and capital expenditures. Only costs that are reasonable, incremental and which relate directly to the eligible activities will be allowed.

FedNor's contributions will normally not exceed 50% of eligible costs to a maximum contribution of \$500,000. In addition, funded projects are usually not longer than 3 to 5 years.

Applications can be submitted at any time.

Northern Ontario Heritage Fund Corporation (NOHFC)

Generally, NOHFC will only fund capital projects. Eligible costs include, but are not limited to, consulting and professional fees related to design, planning, engineering, legal and accounting services, as well as construction costs such as site improvements, materials, equipment and labour.

Projects proposed by or directly benefiting an individual business are not eligible. The costs of full-time staff or operating costs of organizations may not be considered eligible.

Projects must be self-sustaining once established. Administrative costs for the preparation and completion of project proposals are not eligible under this initiative. Generally, the NOHFC will fund a conditional contribution up to 75 percent of eligible costs. Applicants must contribute at least 25 percent of project costs from their own resources and through partner contributions. In-kind contributions, including materials, equipment and volunteer labour, to a maximum of 15 percent of total eligible costs, may be included as part of the applicant's contribution. In-kind contributions must be measurable. All costs must be verified and applicants are required to provide evidence of costs incurred.

Where a community is faced with extraordinary circumstances, the NOHFC may consider reducing the community's contribution level requirement on a case-by-case basis.

The maximum NOHFC contribution for any one project is \$5,000,000.

Multi-year projects are permitted, and funding may flow over two or three years.

Applications can be submitted at any time.

Ontario Cancer Research Network/Cancer Research Institute of Ontario

In March 2003, the Ontario Government announced their commitment of \$1 billion in funding for a new Cancer Research Institute of Ontario (CRIO), the aim of which is to inject \$100 million each year, for ten years into cancer research.

It is anticipated that the NWOCRI will position members to access these funding programs to fund research projects.

In addition, the OCRN holds granting competitions twice each year.

The OCRN allocates approximately \$7 million for each grant competition; this amount includes funding for the entire term of the grant and provision of 20% overhead to the host institution. Approximately 10-15 grants are awarded in each competition.

While there is no limit to the amount of funding that can be requested, it is expected that the average funding of each approved project will be \$150,000 per year, for a maximum of three years.

The OCRN will conduct competitions through 2005. Competitions after the November 2005 competition will depend on whether the OCRN receives new funds for its research programs.

National Cancer Institute of Canada (NCIC)

Funded by the Canadian Cancer Society and The Terry Fox Foundation, the Institute is the longest standing and most prestigious Canadian research organization devoted to advancing cancer control. This year, NCIC provided \$63 million to support excellent cancer research and related programs across the country.

Applications can be made for many different types of funding. The NCIC offers:

- Operating grants to individuals
- Grants to teams or groups
- Personnel awards (studentships, fellowships and career development awards)
- Support for national programs and networks and support for focused initiatives (often inter-agency collaborations) such as breast or prostate cancer research
- Special funding for young investigators just entering the area of cancer research.

Canadian Cancer Society (CCS)

In general, the CCS funds research through the NCIC. Research funding is usually tied to individual researchers and their projects. However, CCS has in the past funded projects similar to the NWOCRI.

Northern Cancer Research Foundation (NCRF)

NCRF's mission is:

“To raise funds to ensure excellence in cancer treatment, research, prevention, education and early detection for the benefit of the people of Northwestern Ontario.”

As of October 2002, the NCRF has allocated grants totaling in excess of \$4.1 million toward cancer care, research and education in Northwestern Ontario. These grants have been for both operational and capital purposes.

Implementation Plan

				2004						
Task Description	Responsibility	Start Date	End Date	Jan	Feb	Mar	Apr	May	Jun	Jul
Formal Establishment of Institute										
Approve Business Proposal	All Partners	Jan-15	Jan-15							
Obtain Recommendation from Senate Research	Lakehead University	Jan-15	Feb-15							
Obtain Approval from Senate	Lakehead University	Feb-15	Feb-28							
Obtain Approval of Special Appointment Policy	Lakehead University/TBRHSC	Jan-31	Jan-31							
Draft Affiliation Agreements	Lakehead University	Jan-01	Feb-28							
Execute Affiliation Agreements	All Partners	Jan-31	Feb-28							
Draft MOU Specific to NWOCRI	Lakehead University	Jan-01	Feb-15							
Execute MOU Specific to NWOCRI	All Partners	Feb-01	Feb-28							
Institute Administration										
Appoint Interim Institute Chair/Chief	Governance Committee	Jan-31	Mar-01							
Establish where the Institute Offices will be Located	Lakehead University/TBRHSC	Jan-01	Feb-15							
Hire Director/Administrator	Governance Committee	Feb-01	Mar-1							
Hire Administrative Assistant	Governance Committee	Mar-01	Mar-15							
Funding										
Draft Grant Application to OCRN	Director	Mar-01	Mar-31							
Draft Grant Application to FedNor	Director	Mar-01	Mar-31							
Draft Grant Application to ORDCF	Director	Mar-01	Mar-31							
Draft Grant Application to NOHFC	Director	Mar-01	Mar-31							
Establish Chair in Cancer Research										
Advertise Position	Governance Committee	Jan-31	Feb-28							
Hold Interviews	Governance Committee	Feb-28	Apr-30							
Appoint Chair in Cancer Research	Governance Committee	May-01	Jun-30							

Northwestern Ontario Cancer Research Institute Constitution

1. Name: The Northwestern Ontario Cancer Research Institute

2. Objectives:

The Mission of the Northwestern Ontario Cancer Research Institute is:

"To undertake, develop and support cancer research and related programs in Northwestern Ontario that will improve the prevention, screening, supportive care, palliative care, diagnosis and treatment of cancer. This includes a focus on cancer issues of the people of Northwestern Ontario."

To achieve this Mission, the NWOCRI is committed to:

- Offering a platform for the training, development and support of personnel in cancer research in Northwestern Ontario.
- Conducting research that relates to all parts of the Continuum of Cancer Care. This includes Prevention, Screening, Supportive Care, Palliative Care, Diagnosis, and Treatment. In doing so, the Institute will foster the development of emerging or expanding areas of research such as: Biological, Bio-molecular, Epidemiological, Psychosocial, Medical Physics, Nursing, and Clinical Trial research.
- Supporting the translation of basic research into clinical programs.
- Developing interdisciplinary areas of research strength and fostering of translational research by increasing communication between fundamental and clinical investigators.

3. Membership:

- a. Classes of Membership: There will be three types of Institute membership: Members (full members), Associate Members and Honorary Members.
- b. Eligibility for membership: Institute Members are individuals from Lakehead University, Northern Ontario Medical School or the Thunder Bay Regional Health Sciences Centre who have their primary research or conduct a substantial amount of research in the area of cancer. Founding members (those involved with the establishment of the Institute) will automatically be considered as a Member. Associate Members are researchers engaged in Cancer Research who are willing to contribute to the goals of the Institute. Since many of the members of the founding partners of the Institute have well-developed research collaborations with investigators at other institutions, it is reasonable to predict that clinical and basic scientists at other institutions may also eventually wish to be affiliated with the Institute as Associate Members. Honorary Members are

researchers who have conducted cancer research and have contributed substantially to the creation or ongoing affairs of the Institute.

- c. Voting Rights: Business meetings of Institute Members will take place at least once per year. All Members will be able to vote on issues or motions at meetings of the Institute Members. Such issues and motions will be those requiring input from all founding partners and will include, but not be limited to, items such as significant research infrastructure needs, creation of new research groups, and changes to the constitution. A two-thirds majority will be required to implement changes to the Constitution.
- d. Founding Members: Investigators with a primary research association in one of the founding partners at the time the Institute is formally approved by the Lakehead University Senate and have been involved with the establishment of the Institute will automatically be considered founding Members of the Institute.
- e. Appointment of New Members:
 - i. New Members will be investigators and scientists recruited to work primarily within one of the partners of the Institute. It will be the responsibility of the relevant partner to identify the criteria for recruiting and funding for doing so within their organisation. New Members may be identified from within Lakehead University, the Northern Ontario Medical School, the Thunder Bay Regional Health Sciences Centre communities or recruited from outside.
 - ii. Applications to become new Associate Members will be welcomed from those engaged in research relevant to cancer from throughout the Lakehead University, the Northern Ontario Medical School and the Thunder Bay Regional Health Sciences Centre communities who are interested in participating in the intellectual and academic activities of the Institute. In addition, as noted elsewhere, non-Lakehead University researchers involved in collaborative research with Institute Members may also make application for Associate Membership in the Institute. Such applications will be made to the Director for consideration by the Member Advisory Board. Academic appointment at Lakehead University is not required for Membership, Associate Membership or Honorary Membership. However, there are certain rights afforded only to researchers who are appointed at the University. Therefore, it is strongly recommended that researchers from other institutions apply for academic appointment at Lakehead University

- f. Term of Membership and Associate Membership: Each Member and Associate Member will be assessed for continued Membership at least every three years by the Member Advisory Board. Continued Membership or Associate Membership will be determined based upon the level of research associated with the Institute and its members.

4. Administrative Structure:

- a. Governance of the Institute. A Governance Committee will consist of appointees from each of the founding partners. The Committee functions to ensure that the research foci of the Institute are consistent both with the Institute's mandate and each Governing Institution's Mission, Vision and Goals. The Committee will meet at least once a year. The Committee functions in the following capacities: Reviewing and approving the goals, objectives, and work plans for the Institute; Monitoring the individual and collective work of the Institute; Establishing policy and guidelines governing the Institute's operation.
- b. Day-to-Day Management of the Institute. Management and administration responsibility will be the responsibility of the Institute's Chair and staff. They will report directly to the University's management on financial and administrative matters of the Institute. Moreover, for any responsibilities assigned to the Institute Chair and staff relating to facilities and administration at the Thunder Bay Regional Health Sciences Centre, they will report directly to management at the Health Sciences Centre. The acting interim Chair of the Institute will assume these responsibilities until there is an appointment of a full-time Institute Chair.
- c. Appointment of the Chair. The full-time Chair will be recruited by a Faculty of Science and Environmental Studies Search Committee constituted with appropriate Departmental and Institute representation and should be a recognised leader in Cancer research with considerable administrative strengths.
- d. Member Advisory Board. An Advisory Board will be appointed with an equal amount of Institute Members drawn from Lakehead University, the Thunder Bay Regional Health Sciences Centre and the Northern Ontario Medical School. The primary objective of the Member Advisory Board is to assist the Institute in achieving its goals. In particular the Advisory Board will among other things, recommend policy and provide advice on the Institute's operation, activities, and programs. The Board functions in an advisory capacity to the Governance Committee of the Institute. The Institute Chair (an ex-officio member of the Board) will Chair meetings. Meetings will be held at least once a year to review the activities and accomplishments of the Institute and to provide specific advice regarding the implementation of the Institute's objectives.

e. Powers and Functions of the Chair.

The Chair will:

- i. Conduct a program of research within one of the partners of the Institute.
- ii. Have overall administrative responsibility for ensuring the goals of the Institute are met. The Chair will chair the Institute Member Advisory Board.
- iii. Represent the Institute within each of the founding partner Organisations.
- iv. Take a leadership role in advancing the profile of the Institute nationally and internationally.
- v. Actively pursue new funding opportunities for the Institute and its programs.
- vi. Undertake those duties assigned by the founding partner organisations.

f. Amendment of the Constitution. Constitutional amendments may be proposed by the Member Advisory Board and subjected to a vote by the Members. Constitutional changes will require acceptance by all founding partners and a two-thirds majority of Members to enact. A simple majority of Members from each founding partner and approval by the founding partners' Governance Representative will be required to consider that a partner has approved a constitutional change.

5. Relationship to the University. The Institute will be governed by the pertinent rules, regulations and policies of Lakehead University.

Appendices

Examples of Mission and Vision Statements	46
Examples of Membership Criteria At Other Institutes	52
Examples of Institute Structures and Associated Responsibilities.....	56

Examples of Mission and Vision Statements

Lakehead University

Mission Statement

Lakehead University is committed to **excellence and innovation in undergraduate and graduate teaching, service, research and other scholarly activity**. As part of this commitment, Lakehead University is dedicated to a student-centred learning environment. Lakehead University values its people and the diversity of their ideas, contributions and achievements. Lakehead University is dedicated to working with Aboriginal peoples in furthering their educational aspirations. Building on its past accomplishments and recognizing its role in Northwestern Ontario, Lakehead University reaches out regionally, nationally and internationally.

Lakehead University is committed to educating students who are recognized for leadership and independent critical thinking and who are aware of social and environmental responsibilities.

Vision

Lakehead University will be a respected, mid-sized university offering a range of programs at the undergraduate and graduate levels. With excellence and accountability as its hallmarks, Lakehead University will compete successfully for scholars, students and funding in the Canadian academic realm. As expected of any modern university, Lakehead will participate in the global community but also will continue to respect the special role it can play in the region and in Aboriginal education in Canada. Building on its established foundation, Lakehead will increase its commitment to scholarly activity and research, outreach and professional service. The University will pursue opportunities that provide distinction and support for the academic function.

Cancer Care Ontario

Vision (draft)

To create a cancer system that ensures timely, equitable access to quality care for the citizens of Ontario.

Mission (draft)

To ensure the best quality cancer information, prevention, diagnosis, research, treatment and supportive care for the people of Ontario.

Cancer Care Ontario is Ontario's authority on cancer information and care practices, and is responsible for monitoring and ensuring the quality of cancer care in the province. As the government's principal adviser on cancer issues, Cancer Care Ontario's mission is to ensure the best quality cancer information, prevention, diagnosis, treatment and supportive care for the people of Ontario. A knowledge- and evidence-based organization, Cancer Care Ontario relies on science to guide its activities. In addition to working in partnership with hospitals providing cancer care across the province, Cancer Care Ontario directly manages the Ontario Breast Screening Program, the Ontario Cervical Screening Program, the Ontario Cancer Registry and the New Drug Funding Program, and runs a multifaceted program in cancer research.

Cancer Care Ontario is an employment equity employer. We recognize the importance of building a workforce that reflects and values the diversity of the communities in which we live and work.

NCIC

Mission Statement

The Mission Statement of the Institute as approved by the Board of Directors on February 19, 1988 is: "To undertake and support cancer research and related programs in Canada that will lead to the reduction of the incidence, morbidity and mortality from cancer."

To achieve our mission, we have set the following objectives:

- to initiate and support cancer research through grants and other mechanisms;
- to offer a program for the training, development and support of personnel in cancer research
- to offer a program for the training, development and support of personnel in cancer research
- to provide information related to cancer research and cancer control;
- to facilitate and actively participate in the coordination of activities sponsored by related agencies, both national and international;
- to act in concert with our partner the Canadian Cancer Society.

The NCIC and the Canadian Cancer Society are dedicated to the goal of controlling and eventually conquering cancer. We believe it's essential that Canada attracts and retains

intelligent and imaginative cancer researchers, and that they have the support they need to explore their ideas in laboratory and clinical settings, and in the community

Queen's Cancer Research Institute

This Cancer Research Institute will:

- Cover the range of cancer research from “bench to bedside to boardroom”
- Foster the development of emerging or expanding areas of research e.g. molecular epidemiology, cancer genetics, environmental carcinogenesis and new drug development
- Support the translation of basic research into clinical programs

In addition, the proposed Institute will:

- Create a structure consistent with the thematic organization of the newly formed Canadian Institutes of Health Research
- Provide new interdisciplinary programs for graduate and professional trainees consistent with the reorganization of Graduate Studies in the Faculty of Health Sciences
- Accelerate the application of evidence-based cancer care, at the level of patients and at programmatic levels consistent with major Provincial initiatives in the funding of cancer research

Development of interdisciplinary areas of research strength and fostering of translational research by increasing communication between fundamental and clinical investigators have been recognized as priorities for the Faculty of Health Sciences and Queen's University as a whole. Cancer research has been identified as an established area of strength that is well suited to a research structure that transcends traditional departmental and disciplinary boundaries. The fact that the three research Groups have already engaged in many collaborations within and between themselves illustrates the commitment of those involved to the development of this Institute.

NWORCC

Wet-Lab

Our goal in the wet-lab component of the Research Department is to understand the mistakes in cancer cells in the hope of repairing, reversing or taking advantage of these mistakes to improve cancer treatment success. Our work entails comparing healthy cells with malignant ones at a molecular level, to see why the malignant cells are the way they are. To do this we use advanced technologies for manipulation and analysis of

DNA, RNA and proteins. Dr. John Th'ng studies the biochemical instructions behind how cells divide. We hope one day to defeat cancer by understanding the root causes of this disease.

Academic Value

The Research Laboratory offers local high school and university students as well as students throughout Canada an opportunity to participate in research projects to further advance their studies in biological research techniques.

The Research Laboratory collaborates with other research facilities regarding clinical and basic research.

University affiliations have been established with the Lakehead and McMaster Universities.

Purpose:

To conduct high class, basic research into cellular and molecular aspects of Cancer.
To enhance the expanding clinical trials program and the academic activities of the Centre.

Community Profile

The Northern Cancer Research Foundation has been instrumental in raising funds for equipment for the Research Laboratory. These fund-raising efforts have given the Thunder Bay and District community an opportunity to contribute to local research into the causes of Cancer.

University Health Network

The University Health Network has a tradition of innovative medical discoveries that have profoundly altered the lives of millions of people worldwide.

The mission of the Research Institutes at UHN is to continue and enhance this tradition.

Our twin goals are scientific excellence and clinical impact.

Vancouver Hospital and Health Science Centre

Our Vision

Our vision for research at Vancouver Hospital and Health Sciences Centre:

Healthier Lives through Discovery

Our Mission

Research at VHHSC leads and excels in the generation of health knowledge through discovery, education, application and evaluation.

Research

Research is the future of health care and an integral part of the hospital. At VHHSC and the Faculty of Medicine at UBC the key areas of research emphasis are:

- Brain and Spinal Cord Research
- Cancer Research Centre [with a strong focus on prostate cancer and melanoma]
- Immunology Research Centre
- Lung Disease Research Centre
- Clinical Epidemiology* & Evaluation Lung Disease (still including the definition of epidemiology)
- A Discipline Development Program-which includes important new & existing research not represented in the other centres of research emphasis.

*Epidemiology: The study of the occurrence, distribution and causes of disease in humankind

Centre of Excellence For Children and Adolescence with Special Needs

Mission:

Our mission is to ensure that advanced knowledge about children and adolescents with special needs living in rural, remote and northern locations is disseminated effectively to those who need it most. This includes parents, children and youth, service providers,

community groups, researchers, non-government organizations, federal, provincial and territorial governments, and all who can make a difference in the lives of children and adolescents with special needs.

Vision:

After five years our Centre is known both nationally and internationally as a network that not only produces knowledge but also puts that knowledge to work for children and adolescents with special needs living in rural and northern communities. Our work is helping to establish Canada as the world leader in research and program and policy development in this area. Our legacy includes the establishment of a permanent "policy community" for special needs in northern and rural Canada, a community that will live on long after the "official" term of the Health Canada Centre has ended.

Examples of Membership Criteria At Other Institutes

Queen's Cancer Research Institute

1. Full Members:

A. Founding Members

- Investigators with a primary research association in one of the three Divisions (ie Clinical Trials) at the time the Institute is formally approved by Senate will automatically be considered founding Members of the Institute.

B. New Members

- Are appointed to one of the Divisions of the Institute.
- Restricted to the faculty of Queen's University and all members of the Institute will hold positions in an established University Department.
- Investigators and scientists recruited to work primarily within one of the Research Divisions of the Institute.
- The relevant Division Head is responsible for identifying the criteria for recruiting and the funding for doing so within their Division.
- May be identified from within the University community or recruited from outside.
- Each new Member will hold a primary appointment in a University department.
- Before such recruitment begins, the relevant Research Division Head will seek approval in principle to recruit from the Institute Director and Management Committee and subsequent approval from the relevant Department Head to begin the process.

2. Associate Members:

- Offered to any investigator at Queen's University, or elsewhere, whose major research focus is cancer and who is willing to contribute to the goals and activities of the Institute.
- Clinical and basic scientists at other institutions may eventually wish to be affiliated with the Institute as Associate Members.
- Associate Members from within the University community will be welcomed to participate in the intellectual and academic functions of the Institute.
- Term of Institute Membership: Full membership of individual faculty in the Institute will last as long as there is continued primary affiliation of that individual in a Research division of the Institute.

Queen's Health Policy Institute

The Centre will have the following members:

Core faculty

- will initially be individuals **with an academic appointment** in the Department
- who would **do a significant proportion of their research under the auspices of the Centre.**
- They may also have **teaching obligations** in the Department.
- Suggested members could be drawn from current Queen's Health Policy staff and **additional members of Community Health and Epidemiology who do similar research.**
- Any member of the Faculty of Health Science whose research is predominately in the areas of health services and policy would be welcome to seek core faculty designation.

Core research staff

- would be **researchers hired by the Centre on a renewable annual contract.**
- Researchers with doctoral credentials have adjunct appointments in the appropriate Department.
- Research staff with masters' level training generally would not be considered for a faculty appointment.

Affiliate faculty

- individuals with a **faculty appointment in other departments** or schools in the **University**, who have **collaborated** (or would be likely to do so) on projects initiated by core faculty or who would do a portion of own their research under the auspices of the Centre.

The new Centre would act as a permanent point of common contact for such groups and all participants would enjoy enhanced opportunities for collaboration. In future, it is possible that more formal affiliations could be worked out not only with internal groups, but also with external entities such as the Health Information Partnership or the Health Unit.

External faculty

- researchers from **outside of Queen's who collaborate** with or are an important resource for core faculty.

- If they do not currently hold an academic position, such individuals might **be offered an adjunct position in the Department of Community Health and Epidemiology.**
- However, **academic credentials rather than formal academic appointments are the essential criteria for assuming External Faculty status.**

All affiliate and external faculty, it should be emphasized, are free to work within and apart from the Centre as they deem appropriate to circumstances. However, in reciprocation for affiliation with the Centre, all members would commit to identifying both their department of origin and the Centre on publications and in other relevant academic circumstances.

Membership will **not be restricted to Queen's University** staff, but will be extended to appropriate external scholars with the following characteristics:

1. Appropriate academic credentials and evidence of scholarly productivity;
2. Expertise of value in collaborative projects with Centre members;
3. No full-time appointment in a similar or competing group at a Canadian university. (Adjunct appointments elsewhere are acceptable, as are full-time academic appointments in foreign universities or Canadian universities where health services research is not an organized research strength. Typically, external faculty would be expected to be employed by government or non-governmental organizations.) This approach will allow the Centre the maximum opportunity to benefit from the skills of external scholars, without intruding on the territory of competing scholarly entities.

Membership Renewal

Membership for core faculty will be continuing. For affiliate and external faculty it will be reviewed every three years, with renewal based on actual contribution to the Centre's activities.

Laurier Institute for the Study of Public Opinion and Policy (LISPOP)

Membership

Membership will be open to all Wilfred Laurier University faculty and students who have a research interest in matters pertaining to public opinion and public policy.

Adjunct membership will also be extended by invitation to others off-campus who are interested in contributing to *Institute* activities. Members will receive regular updates of the *Institute's* activities and have a voting role in the selection of the Management Board.

Examples of Institute Structures and Associated Responsibilities

Laurentian University Chair in Cancer Research

Reports to:

- is cross-appointed to the three core institutions (Laurentian University, NEORCC, HRSRH)
- will form the node to for a health network with other partners (NOMECC, Cambrian College, College Boreal)

Responsibilities to Laurentian

- Lead a research program in the molecular biology of cancer
- holds a tenured academic appointment at Laurentian and spearhead the development of a PHD program in molecular biology located at Laurentian with faculty drawn from Chemistry, biochemistry, biology, school of human kinetics and the Tumour Biology Group at NEORCC
- Chair will allow for the acquisition of infrastructure such as high speed DNA sequencing facilities
- Act in a mentoring capacity to the relatively young researchers
- Oversee the development of a doctoral program in Chemistry and Biochemistry at Laurentian
- Development of a Northern Health Research Network

Responsibilities to NEORCC

- Assume the role of Director of Basic Research at NEORCC and supervise and mentor the current complement of Tumour Biologists.
- Responsible in conjunction with other research leaders at NEORCC for implementing a broader vision of Tumour Biology, including studies of molecular epidemiology of cancer and radiobiology/biophysics
- Provide ongoing support and expertise towards the development of a service-oriented molecular laboratory at HRSRH
- The laboratory will provide human health benefits by offering important health services not currently available in the north – detection and diagnosis
- Early detection and testing leads to early treatment decisions.
- Development of a Northern Health Research Network

Queen's Cancer Research Institute

Day-to-Day Management

Institute will be managed on a daily basis by a Management Committee consisting of the leaders of each of the three Divisions plus one other individual from each Division (total 6 members). This Committee will be chaired by an interim acting Institute Director, appointed by the Dean of the Faculty of Health Sciences. The acting Director will oversee the day-to-day operations of the Institute until funding for a full time position is obtained and a permanent Director is appointed.

In addition to a Management Committee, an Advisory Board will oversee the Institute. The Board will have broad representation with members drawn from the University, the Hospitals, the local Community, and agencies and bodies that support Cancer Research Funding. The Board will review the activities and accomplishments of the Institute and recommend to the Director future programmes and directions. Through its arms length advisory function, the Board will provide support and advance the goals and activities of the Institute.

Management Committee

A Management Committee consisting of the three Division Heads (Group leaders) together with one additional member from each Division will manage the day-to-day Institute activities. Meetings will be chaired by the Director.

The committee will:

- Meet at least once per month to discuss issues brought forward by Division Heads or the Director regarding programmatic or practical matters relating to Institute function.
- Approve new Associate Members,
- Be a forum for discussion and approving appointment or recruitment initiatives for new Members,
- Formulate ideas for new research directions, educational initiatives and teaching.
- Establish other committees within the Institute to deal with these and other matters.
- Be responsible for considering changes to the constitution of the Institute, and other agenda items of broad concern for discussion and decision at meetings of the Institute Members.

Advisory Board

An Advisory Board will be appointed with members drawn from the University, the Hospitals, the local Community, and agencies and bodies that support Cancer Research Funding.

The Advisory Board will:

- Review the activities and accomplishments of the Institute and recommend to the Director future programmes and directions.
- Provide support and advance the goals and activities of the Institute.

Institute Director

The full-time Director will be recruited by a Faculty of Health Sciences Search Committee constituted with appropriate Departmental and Institute representation and should be a recognised leader in Cancer research with considerable administrative strengths.

The Director will:

- Conduct a program of research within one of the Divisions of the Institute
- Have overall administrative responsibility for ensuring the goals of the Institute are met.
- Chair the Institute Management committee meetings.
- Represent the Institute within the University.
- Take a leadership role in advancing the profile of the Institute nationally and internationally.
- Actively pursue new funding opportunities for the Institute and its programs.

Professional Institute staff

- All professional Institute staff (faculty) will also be staff of a University Department.

Office and administrative staff

- Each Research Group already has office and administrative staff and these will continue once they become Divisions of the Institute.
- Beyond this, there will be a need for new administrative infrastructure support for the office of the Institute Director.

Technical staff

- Each of the three Groups employs specialized staff that will meet the initial technical needs of the Institute.

University of British Columbia Policy on Institutes

Governance

1. that the **governance of an inter-Faculty Institute** or Centre be provided by a **Steering-Advisory Committee of representatives from proposing Faculties**, the Chair to be the Dean (or designate) of the host faculty (in many cases the Dean of Graduate Studies), and include the Director and other participants as deemed appropriate;
2. that the **Steering-Advisory Committee** have the following **specific responsibilities**:
 - A. to **recommend the appointment of a Director** of the Institute or Centre on the advice of an appropriately constituted search committee;
 - B. to provide the Dean of the host faculty and the Director with **advice on the strategic direction and management of the Institute** or Centre;
 - C. to **approve an annual report** including a rolling three-year unit-based academic plan;
 - D. to **approve an annual budget**;
 - E. to consult with, and obtain the approval of, affiliated faculties on all matters pertaining to proposed teaching and/or degree programs;

Centre of Excellence For Children and Adolescence with Special Needs

National Research Coordinating Committee

Responsibilities:

The primary objective of the National Research Coordinating Committee is to assist the Centre of Excellence for Children & Adolescents with Special Needs in achieving its goal, namely to ensure a future where children and adolescents with special needs can combine the riches of life in northern and rural communities with the very best services Canada has to offer.

The Committee functions to ensure that the research foci of the Centre are consistent both with the Centre's mandate and Health Canada's objectives. The NRCC meets by teleconference every six weeks and face-to-face twice per year; one of these two annual meetings is hosted by Lakehead University and the other by one of the partner institutions. The Committee functions in the following capacities:

- Developing the goal, objectives, and work plans;
- Monitoring the individual and collective work of the Task Forces;
- Establishing policy and guidelines governing the Centre's operation; and,
- Nominating members of the various boards, committees and panels associated with the Centre.

Membership:

The National Research Coordinating Committee consists of the National Director, who chairs the Committee, the Research Director, and all Task Force Directors.

National Advisory Board

Responsibilities:

The primary objective of the National Advisory Board is to assist the Centre of Excellence in achieving its goal, namely to ensure a future where children and adolescents with special needs can combine the riches of life in northern and rural communities with the very best services Canada has to offer.

The Board functions in an advisory capacity to the Centre, meeting twice per year to provide specific advice regarding the implementation of the Centre's objectives, in particular:

- Identifying and facilitating appropriate strategic alliances for the Centre;
- Facilitating partnerships between the Centre and the particular constituency represented by the respective Board member;
- Facilitating the provision of policy advice with local, provincial and federal policy makers;
- Advising on the role and limitations of technologies in providing services to children and adolescents with special needs across Canada; and,
- Assisting in communication strategies and activities to publicize the Centre's work.

Membership:

The National Advisory Board consists of distinguished individuals from across Canada who have interests or expertise involving children and adolescents with special needs living in rural and northern communities. Members are appointed by the National Director (an ex-officio member of the Board) in consultation with the Centre's partners.

University of Alberta Policy on Institutes

Role of Directors and Advisory Committees

The director of a research institute, centre, or group is the chief executive officer of that unit. Directors will exercise general supervision over the operation of the unit; specific responsibilities will vary with the size of the unit and with the complexity of its policies and operations.

In terms of **accountability, administrators of institutes, centres, and groups report to a Department Chair, Dean, or the appropriate Vice-President.**

Experience has shown that advisory or policy committees can, through appropriate membership, enhance the performance of institutes, centres, and groups and facilitate inter-Faculty and interdepartmental involvement and cooperation. The specific terms of reference for advisory committees will undoubtedly vary from one unit to another, but the purpose of these committees would be, among other things, **to recommend policy and to provide advice on the unit's operation, activities, and programs.** Such committees and related terms of reference may be established by a Department Chair, Dean, or the appropriate Vice-President.