

Research Oversight Committee

Genome BC Guidelines

Genome BC and Genome Canada recognize the important role of a Research Oversight Committee (ROC) in the success of funded projects. Genome BC views the primary role of the ROC as providing strategic advice to both the project team and Genome BC on approaches and directions to aid the project in achieving its long and short term objectives. Expectations of the ROC include but are not limited to the following:

- Providing guidance and recommendations in light of major advances in the project's field of research
- Providing context and illustrating the relevance of broader trends in science and technology that have the potential to impact the project
- Identifying and evaluating scientific and GE3LS challenges facing the project team and providing counsel
- Participating actively in the refinement of strategies to transfer, disseminate, use, and/or apply the deliverables from the research to realize socio-economic benefits to Canada

To clarify the role and mandate of the ROC, Genome Canada has provided projects with a Research Oversight Committee Terms of Reference (attached). This document provides guidance on the mandate, composition, administration and organization of the ROC. Genome BC is responsible for establishing and managing the project's ROC, which will be composed of members with sufficient expertise to cover the breadth of the proposed project including the research activities and potential deliverables and outcomes. The ROC will report directly to Genome BC. Expectations relating to the organization and administration of ROC meetings are as follows:

1. In advance of each ROC meeting, Genome BC will provide a template agenda to the project and will work with the project leader(s) and project manager to review and finalize the agenda. The agenda will include:
 - a. An in camera session between Genome BC and the ROC at the start of every meeting
 - b. An in camera session with Genome BC and the ROC towards the end of every meeting to discuss potential outcomes of the meeting, concerns, recommendations, and next steps
 - c. A follow-up session with the project team to give feedback and discuss next steps
2. It is anticipated that ROC meetings will generally be scheduled for four hours, up to a maximum of one day duration. It is acceptable for the project to schedule other academic discussions to coincide with the ROC meeting; however these must occur after the conclusion of the meeting and at the expense of the project. Genome BC expects to host all ROC meetings at our offices. Genome BC will work with the project manager to schedule meetings and will ensure the appropriate meeting space and equipment is available for each meeting
3. In advance of each meeting Genome BC will provide a template report to the ROC as guidance on the nature of information the ROC will be reporting back to Genome BC. The ROC Chair will forward the completed report to Genome BC within 2 weeks of the meeting. Genome BC will review the ROC report and work with the ROC chair to finalize the report. Following this, Genome BC will circulate the report to the project leader(s)

Research Oversight Committee

Terms of Reference

Mandate

The mandate of the Research Oversight Committee (ROC) is to report to the Genome Centre on the progress being made by the Project and make recommendations regarding continued funding as well as to provide advice and guidance to the research team to help ensure that the Project achieves its stated objectives and milestones. The roles and responsibilities of the Project Team, Genome Centre and Genome Canada are outlined in Appendix 1.

Composition

1. The membership of the ROC must be completely independent from the Project Team with no real or perceived conflicts of interest as outlined in Appendix 2. The ROC should be composed of members with sufficient expertise to cover the breadth of the proposed project including the research activities and potential deliverables and outcomes. It is expected that most Projects would require a ROC of between 4-6 members, including the Chair; however, large complex projects may necessitate a larger ROC.
2. The Chair of the ROC will be appointed by the Genome Centre.
3. Representatives from the Lead Genome Centre, Genome Canada and any Co-Lead Genome Centre(s) may attend the ROC meetings as observers. Any other major funder (an organization providing 25% or more of the project's total funding) also has the right to have an observer. In addition, key stakeholders may attend at the invitation of the Lead Genome Centre.
4. The ROC membership, including the Chair, will be determined by the Genome Centre taking into consideration suggestions from the project team. The ROC membership must be approved by Genome Canada before funds can flow to the Project.

Roles and Responsibilities of the ROC

To accomplish its mandate the ROC should:

1. Monitor quarterly milestones and assess the progress being made by the Project in order to: i) advise the Funders on continued funding for the Project; and, ii) provide advice to the project team to help them achieve their stated objectives and milestones.
2. Review proposed scientific, GE³LS or management changes to the Project and make recommendations to the Genome Centre regarding approval. At the first ROC meeting for a newly funded project, the ROC is responsible for reviewing the proposed Gantt chart and ensuring that the milestones proposed are consistent with those in the original proposal, or as modified by the review committee's recommendations. The milestones

are expected to be reasonable, quantifiable and include sufficient detail to enable the ROC to carefully monitor progress and advise the Genome Centre on continued funding.

3. Provide strategic advice to the Project Team and the Genome Centre on approaches and directions to aid the Project in realizing benefits and achieving its long-term objectives. This includes providing advice on major trends in science and technology that are likely to have an impact on the Project as well as scientific and GE³LS challenges facing the Project Team.
4. Review the implementation of the Project's management plan and, where appropriate, make recommendations aimed at improving management of the Project.
5. Identify issues related to GE³LS, Data Release, Intellectual Property (IP) and translation of technologies that arise from the Project, where appropriate.

Administration and Organization

Conflict of Interest

1. At the start of each ROC meeting, in an *in camera* session with the Genome Centres, ROC members disclose any potential Conflict of Interest.

Timing

1. The ROC should meet with the Genome Centre and the Project Team twice a year. Over the life of the project at least three of these meetings must be face-to-face. The first face-to-face ROC meeting should be held as soon as possible and within six (6) months after the Project has begun. Efforts should be made to ensure that the majority of the ROC members attend in person. The initial meeting should serve to familiarize the ROC members with the Project's goals and approve any changes to the milestones.
2. If Genome Canada organizes an interim review, the ROC will meet in person with the Project Team prior to the review so that the Project Team has sufficient time to implement any recommendations before the project is evaluated at interim review.

Responsibilities of Chair

1. The Chair of the ROC is responsible for:
 - i. working with the Genome Centre to develop meeting agendas for the ROC meetings;
 - ii. chairing the meeting; and,
 - iii. working with the other members of the ROC to prepare a written report of the meeting, which includes specific recommendations for the Project Team and action items arising from the meeting.

Documents and Record Keeping

1. The ROC should receive copies of documentation related to the Project including:

- 2 weeks prior to the first ROC meeting:
 - the final approved project description, Gantt chart and budget; and,
 - copies of the reviews of the Project generated by Genome Canada's peer-review mechanism.
- 2 weeks prior to each ROC meeting:
 - a scientific report that includes: an account of the progress in achieving the Project's objectives and milestones; an updated Gantt chart; a description of any proposed changes to the Project;
 - financial reports describing budget variance in activities; and,
 - copies of publications arising from the Project.
- Prior to Interim Review (if applicable):
 - a copy of the Progress Report submitted for Interim Review.
- Following Interim Review (if applicable):
 - copies of the reviews of the Project generated by Genome Canada's interim review.

Within 2 weeks of each ROC meeting the written report of the meeting prepared by the Chair should be sent to the Genome Centre. The Genome Centre will send copies of the report to the Project shortly thereafter.

Financing

1. ROC costs will be included as part of the project's budget (under Services from Others to not impact the 5% G&A cap). The budget line should be attributed to Genome Canada as the source of funds BUT since the Lead Genome Centre is responsible for establishing and managing the project's Research Oversight Committee the Lead Genome Centre should be listed as the "Organization incurring cost".

Term of Appointment and Addition of New Members

1. Members of the ROC will be appointed for the term of the Project.
2. Changes in ROC membership may occur throughout the term of the project. Any changes in the ROC membership must be made by the Genome Centre, in consultation with the Project Team, and with the approval of Genome Canada.

Remuneration

Members and the Chair receive an honorarium for the work they do on behalf of the ROC. In addition, all reasonable expenses related to their attendance at meetings will be reimbursed.

Management of Funded Projects: Roles and Responsibilities

Project Team

The Project Leader of a Genome Canada funded project is responsible for the intellectual direction of the proposed research and assumes administrative and financial responsibility for funds that will be paid to his/her institution.

In applications where the responsibility for the intellectual direction of the research is shared more or less equally between two or more individuals the project may also nominate a co-Project Leader.

The Project Leader(s) has/have the authority in the day-to-day management of the projects.

Projects are expected to inform the Genome Centre of any proposed changes to the initially approved scope of the project in order for the Genome Centre to assess the significance of the change and the appropriate mechanism for approval.

Projects receive strategic advice from the Research Oversight Committee (ROC) on approaches and directions to aid the Project in achieving its long-term objectives. This includes providing advice on major trends in science and technology that are likely to have an impact on the Project as well as scientific and GE³LS challenges facing the Project team.

Genome Centres

The Genome Centres have the lead in ensuring the effective management and monitoring of their projects. As independent organizations, the Genome Centres have developed and implemented their own mechanisms to ensure that the projects are achieving their objectives and milestones. These mechanisms align with the Centres' funding agreements with Genome Canada as well as Genome Canada's guidelines for funding projects. Genome Centres require financial reports from their funded projects and submit the high-level quarterly financial reports to Genome Canada. As well the Genome Centres may require Project reporting on a quarterly or semi-annual basis.

The Lead Genome Centre is responsible for establishing and managing the project's Research Oversight Committee (ROC), taking into account recommendations from other Genome Centres that have a substantive financial investment in the Project. The ROC reports directly to the Lead Genome Centre on the progress being made by the Project and makes recommendations regarding continued funding of activities. In addition the ROC provides advice and guidance to the research team to help ensure that the Project achieves its stated objectives and milestones.

It is the responsibility of the Lead Genome Centre to invite Genome Canada to all ROC meetings, and to provide copies of materials supplied to the ROC and received from the ROC. Also, the Lead Genome Centre will be responsible for ensuring all necessary approvals are secured from Genome Canada as described in the Guidelines for the Management of Changes to Genome Canada funded Projects

All Genome Centres making an investment in the Project will be invited to attend the ROC meetings, and will be provided with copies of materials supplied to the ROC and received from the ROC.

As part of their role in managing projects, Genome Centres assess any proposed changes to a project and when judged significant will request that the ROC provide a recommendation to the Genome Centre of the proposed change prior to a decision on, and implementation by, the Genome Centre.

Genome Canada

Genome Canada is responsible for the overall management of the Program.

Genome Canada is responsible for the final approval of changes to a project when the changes are deemed significant as outlined in the Guidelines for the Management of Changes to Genome Canada funded Projects. Genome Canada may attend the ROC meetings as an observer and will receive all ROC-related meeting materials, reports and recommendations through the Genome Centre. Genome Canada will use the recommendations from the ROC as well as the Genome Centre to help inform their approval.

In addition, Genome Canada will receive quarterly financial reports from the projects. These reports are reviewed by Genome Canada finance staff and form the basis for quarterly advances to each project through the Genome Centre.

Research Oversight Committee

The ROC reports to the Lead Genome Centre on the progress being made by the Project and makes recommendations regarding continued funding as well as providing advice and guidance to the research team to help ensure that the Project achieves its approved milestones within the framework of the approved budget.

Major Funder

An organization other than Genome Canada or a Genome Centre that provides 25% or more of the project's total funding. This may be an up-front national partner with Genome Canada at the time of launch of the Program or a project-linked co-funder. These funders have observer status at ROC meetings and receive ROC reports and recommendations through the Lead Genome Centre.

**Research Oversight Committee
Confidentiality and Conflict of Interest Policy**

Confidentiality

All documents and information provided must be treated as strictly confidential and may not be used for any purpose beyond that for which they were originally intended. All materials related to the ROC must be stored and transmitted in a secure manner to prevent unauthorized access. When documentation is no longer required, it must be destroyed using a secure method (i.e., for paper files - burning, shredding or returning them to the Genome Centre for destruction or for electronic files - deleting them from your computer).

Conflict of Interest

Every effort is made not only to ensure that the decisions of the Research Oversight Committee (ROC) are fair and objective, but that they are also perceived to be so. Members should avoid any actions that may appear to be conflicts of interest or that could reasonably be seen to affect a member's objectivity.

Potential conflicts of interest (real or perceived) may arise between individuals who:

- have a financial and/or professional relationship with a member of the research team
- are from the same institution or company and interact with a member of the research team in the course of their duties
- are in a position to gain or lose financially from the outcome of a project (e.g., hold stock in the company of an industry partner or a competitor)
- have collaborated, published or been a co-applicant with a member of the research team
- are a student or mentor of a member of the research team
- are close personal friends or relatives of a member of the research team
- have had long-standing scientific or personal differences with a member of the research team

NB: The examples above are not meant to be all inclusive.

ROC members should inform the Genome Centre of the recentness, nature, frequency and strength of their past interactions with project team members and collaborators. Each situation will be judged on a case-by-case basis. If there is any potential for a real or perceived conflict of interest, there must be full and open disclosure to the Genome Centre staff.

Description of all potential sources for conflict of interest (recentness, nature, frequency, scope):

DECLARATION

I, the undersigned, do hereby agree to adhere to the Confidentiality and Conflict of Interest Policies described above.

Name **(Please print)**

Signature

Date