

Procedures Governing Research Institutes and Centres

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Proposals for Establishment

Researchers may make application for the establishment of a Research Institute or Centre at any time by following the steps outlined below.

1. Appendix 1 provides an outline of the format for a proposal to establish an Institute. The proposal must demonstrate the capacity to meet the criteria for an Institute within a nominated timeframe. Proposals should be forwarded to the Pro Vice-Chancellor (Research) who will forward the proposal to the Academic Board Research Committee for discussion prior to approval.
2. Appendix 2 provides an outline of the format for a proposal to establish a Centre. The proposal must demonstrate the capacity to meet the criteria for a Centre within a nominated timeframe. Proposals should be forwarded through the relevant Head(s) of School(s) to the relevant Faculty Research Director who will forward the proposal to the Faculty Executive Committee for discussion prior to approval. Once approved, the PVC/Dean will advise the Pro Vice-Chancellor (Research) of the Centre's approval.
3. Once a Research Institute or Centre has been approved, arrangements should be made to immediately establish and maintain a current web presence with a link advised to Research Services. This web presence will include, at a minimum, a description of the Research Institute's or Centre's purpose, its research goals and objectives, current projects, information regarding its Director and contact details.

Annual Interim Report

Institutes and Centres will provide an annual interim report based on the template provided at Appendix 3. In the case of a Research Institute, this interim report will be submitted to the Pro Vice-Chancellor (Research). In the case of a Research Centre, this interim report will be submitted to the relevant PVC/Dean of Faculty and Faculty Research Director with a copy to the Pro Vice-Chancellor (Research). The annual interim reports will be submitted in March of each year, and will address the entire preceding year's activities.

The annual interim reports will provide a key component of the self-review document for the performance review of a Research Institute or Centre.

Performance Review

Institutes

Institutes will be reviewed every three years, by a Review Committee established by the Academic Board Research Committee (ABRC). Six months notice of a performance review will be provided to the Institute by the Pro Vice-Chancellor (Research). At that time, the Research Committee of Academic Board will constitute a Review Committee and clarify its terms of reference, after consultation with the Director of the Institute.

The Review Committee will include:

1. An external Professor who has experience as a Director of a research Institute at another University;
2. the Research Directors of each Faculty; and
3. A Professor from within the university, nominated by the Pro Vice-Chancellor (Research).

The Director of the Institute will produce a self-review document to be considered by the Review Committee. This document will contain at least the following information:

1. All annual interim reports since the time of last performance review or establishment, as appropriate;
2. A summary of all achievements and financial position since the time of last performance review, or establishment, as appropriate, linked clearly to the performance KPIs;
3. The plans for the Institute over the next three year period, showing how this plan linked to the University's overall strategic plan.

The Review Committee will report to the ABRC providing recommendations as to continuation, dis-establishment or change of focus, informed by evidence of performance against nominated performance indicators.

Centres

Centres will be reviewed within the review and reporting cycle for Schools under the Academic Quality Management Policy. The

Review Committee will report providing recommendations as to continuation, dis-establishment or change of focus, informed by evidence of performance against nominated performance indicators.

Where a Centre operates across Schools, the primary School of alignment for the Centre as well as the review cycle will be specified at the time of establishment by the relevant PVC/Dean, but in no case will reviews be less frequent than every three years.

For a review of a Centre, the minimum information to be considered will be all annual interim reports since the time of last performance review or establishment, as appropriate.

APPENDIX 1

Proforma: Proposal to establish a Research Institute

Proposals to establish Research Institutes must provide the following information. Proposers should read the *Policy Governing Research Institutes and Centres*. Current university Institutes address the relevant issues and criteria contained in this proforma in their self-review report for their next scheduled review date to allow for transition to the revised policy.

1 Objectives

1.1 This section should contain statements on the:

- strategic objectives of the Institute;
- relationships with the University's Strategic Plan and Research Plan,
- operational objectives, including the time-scale for achieving these objectives and outcomes (milestones) of the Institute.

2 Nature of work to be undertaken

2.1 This section should explain the major research, teaching, consultancy and community/industry/profession-based service programs to be undertaken by the Institute.

A performance plan should define key performance indicators and targets such as external grants, publications, higher research degree completions, and other income if appropriate. Non-quantified KPIs may include external relationships and partnerships, and reflections of research impact, including, for example, innovation adoption, policy influence, community/industry/ profession development & change where appropriate. This section should also argue for the desired weighting of key performance criteria given the objectives set out in the first section.

2.2 Information should be provided on arrangements for the enrolment and supervision of students. (All students will be enrolled through Schools.)

3 Arrangements for administration

3.1 This section should contain the operational details of the institute including:

- selection of the Director;
- the role and contribution of the Institute Director to the Institute;
- key academic staff: their reporting lines and their time commitment to proposed activities (including other commitments);
- organisational structure and governance considerations; and
- organisational links and support

3.2 Recommendations regarding the composition of any management committee or independent advisory board must be provided, but final approval of the composition will rest with the Pro Vice-Chancellor (Research).

3.3 Agreements with external parties must be approved by the UNE Legal Office, and signed by the University.

4 Required resources

4.1 This section should detail the resources required to operate the institute, such as:

- funding;
- space; and
- other specific resources (e.g. computing infrastructure.)

5 Budget

5.1 The budget should cover an establishment period and the first three years of operation of the Institute. The principles for the budget should be agreed with the UNE Chief Operating Officer or their delegate.

5.2 Where appropriate, the following resource management principles should be clearly documented, with assurances that all relevant stakeholders (including those external to the University) are in agreement:

- amount, source and duration of any University contribution to the Institute;
- cost/income splitting arrangements for research activities;
- cost/income splitting arrangements for teaching students;
- cost/income splitting arrangements for Institute staff and, in particular, the Institute Director; and
- the distribution of returns, including Research Block Funding, from activity, based on outputs.

6 Arrangements for review and termination

6.1 A sunset period for the Institute should be specified, at which time an independent review should be conducted prior to continuation of the Institute.

7 Support

7.1 The proposal should be accompanied by letters of support from the relevant PVC/Dean and, where appropriate, relevant Heads of School and other stakeholders indicating the level of their commitment, financial or otherwise, to the proposed institute.

APPENDIX 2

Proforma: Proposal to establish a Research Centre

Proposals to establish Research Centres must provide the following information. Proposers should read the *Policy Governing Research Institutes and Centres*.

1 Objectives

1.1 This section should contain statements on the:

- strategic objectives of the Centre;
- relationships with the University's Strategic Plan, Research Plan and Faculty and/or School research priorities
- operational objectives, including the time-scale for achieving these objectives and outcomes (milestones) of the Centre.

2 Nature of work to be undertaken

2.1 This section should explain the major research, teaching, consultancy and community/industry/profession-based service programs to be undertaken by the Centre.

A performance plan should define key performance indicators and targets such as external grants, publications, higher research degree completions, and other income if appropriate. Non-quantified KPIs may include external relationships and partnerships, and impact, including innovation adoption where appropriate. This section should also argue for the desired weighting of key performance criteria given the objectives set out in the first section.

2.2 Information should be provided on arrangements for the enrolment and supervision of students. (All students will be enrolled through Schools.)

3 Arrangements for administration

3.1 This section should contain the operational details of the Centre including:

- selection of the Director and reporting lines;
- the role and contribution of the Centre Director to the centre;
- key academic staff: their reporting lines and their time commitment to proposed activities (including commitments to other Schools/Centres);
- organisational structure and governance considerations; and
- organisational links and support

3.2 Agreements with external parties must be approved by the UNE Legal Office, and signed by the University.

4 Required resources

4.1 This section should detail the resources required to operate the Centre, such as:

- funding;
- space; and
- other specific resources (e.g. computing infrastructure.)

5 Budget

5.1 The budget should cover an establishment period and the first three years of operation of the Centre. The principles for the budget should be agreed with the UNE Chief Operating Officer or their delegate.

5.2 Where appropriate, the following resource management principles should be clearly documented, with assurances that all relevant stakeholders (including those external to the University) are in agreement:

- amount, source and duration of any Faculty or School contribution to the Centre
- cost/income splitting arrangements for research students
- cost/income splitting arrangements for teaching activities;
- cost/income splitting arrangements for Centre staff and, in particular, the Centre Director; and
- the distribution of returns, including Research Block Funding, from activity, based on outputs.

6 Arrangements for review and termination

6. A sunset period for the Centre should be specified, at which time an independent review should be conducted prior to continuation of the Centre.

7 Support

7.1 The proposal should be accompanied by letters of support from the relevant Head of School and, where appropriate, other stakeholders indicating the level of their commitment, financial or otherwise, to the proposed Centre.

APPENDIX 3

Annual Interim Reporting Template for Research Institutes/Centres

Research Institute/Centre Name: _____

Director: _____

Year established: _____

Year being reported on: _____

Date of Interim Report submission: _____

Please supply comments and/or data/evidence under each of these headings for the previous 12 months of activity.

1.	Participants in the activities of the Institute/Centre (academics, technical & administration)
2.	Research students (new, continuing, length of candidature, completions; project title or area)
3.	Publications (including citations)
4.	Research Grants (numbers, project titles, chief investigators, amounts and duration)
5.	Research Consultancies/Contracts (area(s) of consultancy, commissioning body, relevant dates)
6.	Research Impacts (e.g., how results were delivered; project follow-through; policy and/or change influences; media exposure; awards & prizes; paradigm shifts in discipline or area of application; invitations to contribute to national and international fora; enhanced HDR recruitment)
7.	<p>Community/Business/Industry/Government/Profession engagement indicators (where appropriate, include comments on social inclusion and other important social and environmental issues implicated in the Institute/Centre's engagements):</p> <ul style="list-style-type: none"> • Local • National • International
8.	New innovations and pathways for adoption/adoption progress for previous innovations

9.	New collaborations or expansions of previous collaborations
10.	Role in contributing to the strengths of the University, Faculty, Schools (as appropriate)
11.	How is the Institute/Centre's research informing teaching?
12.	What has the Institute/Centre achieved that would not have otherwise been achieved without the existence of the Institute/Centre?
13.	Financial performance of the Institute/Centre against budget (attach summary balance sheet)
14.	Looking Forward - Plans & Priorities for the next 12 months)
15.	Any other information or comments relevant to the Institute's/Centre's operation over the past 12 months?