

# UNIVERSITY OF ADELAIDE RESEARCH INSTITUTES AND CENTRES PROCEDURES

## 1. University Research Institute Procedures

### 1.1 Establishment of a University Research Institute

It is the responsibility of the DVC&VP(R) to:

- i. Assess the proposal to establish a University Research Institute and engage in consultation as considered appropriate;
- ii. Ensure that funding for multi-institutional structures is tied to University activities and research priorities;
- iii. Determine the risk of forming a new University Research Institute, including the likelihood of it attaining financial sustainability;
- iv. Approve the appointment of a University Research Institute Executive Director;
- v. Ensure that the continuation of any central funding is tied to the achievement of key performance indicators and targets. The level of central funding may be increased or decreased depending on this achievement; and
- vi. If the DVC&VP(R), after due consultation, is satisfied that establishing the proposed University Research Institute is in the best interests of the University, recommend it to the VC&P or Provost for approval, with any conditions the DVC&VP(R) considers appropriate.

### 1.2 Application Process

An application to establish a University Research Institute will be submitted to the DVC&VP(R).

#### Stage 1: Submission of Expression of Interest

An Expression of Interest (maximum 3 pages) is required to outline the nature and vision of the University Research Institute, leadership, research quality and the way in which it will contribute to achieving the research goals within the University's Strategic Plan and FAME Strategies. Successful applicants will be invited to progress to the second stage. Applicants must address all requirements listed below, and provide evidence of support of the Executive Dean(s) from any participating Faculty.

#### 1. *Working Title for the Proposed University Research Institute*

#### 2. *Key Contact/Proposal Executive Director*

#### 3. *Key Researchers*

Identify the core researcher(s) to lead the establishment of the University Research Institute and state the key partners, i.e. whether or not the Institute involves more than one School or Faculty, or is a multi-institutional joint venture. Indicate if any University Research Centres will be associated with the Institute, and list any proposed external partner organisations, indicating if there are any relationship agreements already in place.

#### 4. *Proposal*

##### 4.1 *Purpose /Mission*

Provide an overview of the purpose and mission of the University Research Institute and its relationship to achieving the strategic objectives of the University.

##### 4.2 *Strategic Context*

Provide details on the strategic significance of the proposed University Research Institute taking into account:

- The ability to contribute to the strategic objectives of the University, in particular the FAME Strategies;
- The ability to contribute to State and National research priorities, and/or to be a recognised international contributor in a defined area of research strength;

- The ability to accelerate University research, engagement, commercial research and/or research training priorities;
- The capacity to generate high quality research outputs;
- The extent of competition from other organisations in the same research field, and the uniqueness of this proposal;
- The ability to develop verifiable public good outcomes, and the possible impacts of these outcomes;
- The ability to sustain a critical mass of researchers and professional staff support appropriate to the endeavour;
- The capacity to leverage additional external funding support; and
- Where appropriate, the ability to serve as an 'umbrella' for a range of relevant activities, and a prominent 'shopfront' that enhances relations with external partners.

#### **4.3 Key Performance Indicators**

Include a set of proposed key performance indicators (KPIs) with related targets.

### **5. Researcher Engagement**

Researchers who engage with a University Research Institute must be academic staff, graduate researchers and/or affiliates of the University, with a commitment to collaborating with the University Research Institute on planned projects and activities to achieve the Institute's vision and mission.

University Research Institutes will operate with an 'inclusive' model for researcher engagement across a broad multidisciplinary or capability base.

Provide details of the proposed model for Institute membership and expected benefits for researchers who engage with the Institute. This should include reference to:

- The potential contribution to research training at the Honours and Postgraduate level;
- The potential contribution to the development of early-career researchers; and
- The potential engagement with or contribution to First Nations research.

### **6. Indicative Budget**

Provide a five year budget for the University Research Institute, including brief justifications and a request for central funding. Include estimates of salary costs (including on-costs) for new positions (or time release), non-salary operating costs and any funds required for research co-investment or leveraging. Flag any significant new infrastructure, equipment or accommodation impacts. As a general guide, University Research Institute budget proposals should not exceed \$1M p.a. It is understood that this information is indicative only and budgets will be more fully developed at Stage 2.

## **Stage 2: Submission of Full Proposal**

If invited to do so by the DVCR&VP(R), the applicant will be required to submit a detailed business plan that expands on the Expression of Interest and additionally addresses the following:

#### **i. How strong is the University in the Research Area?**

- Who are the research leaders in the University?
- Who are the major contributing research groups/centres in the University?
- Is there sufficient existing critical mass to be internationally competitive?
- Are there capability gaps in our existing expertise that need bridging?
- Is there performance data available to support the answers to the above?

#### **ii. What are the opportunities in the Research Area?**

- Does it have a compelling intellectual future?
- What is the anticipated capacity for growth in research activity and research revenue?
- With whom do we currently collaborate and how successfully?
- Are there other parties outside the University who are interested in this Research Area? How might they wish to engage with us?
- Are there opportunities to obtain expert input from the broader community?
- What are the major external funding sources for this Research Area, and how well does the University presently leverage funding from these sources?
- How might we obtain significant leverage from future investment?

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- How well does the Research Area align with state and national Research Priorities?
- iii. *Who are the main competitors in the Research Area and how is the University positioned relative to those competitors?*
- Within the State
  - Nationally
  - Internationally (if relevant)
- iv. *What structures would be deployed in the Research Area to best advantage?*
- Would there be added value in having an overarching University Research Institute?
  - Should existing groups be combined or restructured?
  - Are any particular governance arrangements or key appointments recommended?
- v. *Detailed budget*
- What is the overall level of investment required to make a difference in this Research Area?
  - Where might this investment be targeted for maximum impact?
  - How will this investment build the research capacity and research outcomes of the University of Adelaide?

### **1.3 University Research Institute Executive Director's Responsibilities**

#### ***Responsibility: Pro Vice-Chancellor (Research Excellence)***

In consultation with the DVC&VP(R), develop a Position Description outlining the key responsibilities of the University Research Institute Executive Director.

The following is a guide to the responsibilities of a University Research Institute Executive Director:

- Develop the strategy and program for the realisation of the mission and objectives of the Institute in consultation with relevant Advisory Boards or Committees, DVC&VP(R) and Executive Dean, as appropriate;
- Be responsible for the implementation of the research program, including the allocation of duties to staff;
- Provide leadership and guidance to members and staff about the realisation of its mission and objectives;
- Represent the University Research Institute within and outside the University;
- Ensure that the relationship with the University is clearly promoted in all communications and publications from the Centre/Institute, and complies with the University's Brand Policy;
- Liaise with other Divisions of the University;
- Attract and facilitate research grant and consultancy projects in accordance with relevant University policies and procedures;
- Liaise with the DVC&VP(R) or responsible Executive Dean, as appropriate, about the appointment and management of any administrative staff allocated to the Institute. (The responsibility for appointing academic staff will normally be through the appropriate school, although University Research Institutes may appoint academic staff in circumstances agreed by the DVC&VP(R));
- Prepare the annual budget and disburse, monitor and control funds received or accruing to the in accordance with University policies and procedures;
- Administer the resources consistent with mission and budget;
- Monitor the efficiency and effectiveness, and prepare the annual report; and
- Contribute to the promotion and marketing of the University as a research facility.

### **1.4 Partnerships between University Research Institutes and University Schools**

Each University Research Institute will have a clear governance structure and reporting lines within the University, agreed upon at the time of establishment.

It is essential that University Research Institute Executive Directors, Executive Deans, Heads of School and research staff maintain productive and constructive working partnerships.

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### *Fundamentals*

- i. Interaction between University Research Institutes and Faculties/Schools should be viewed as mutually beneficial;
- ii. University Research Institute Executive Directors and Heads of Schools should work together to increase the research profile, research input and research output of the University;
- iii. The relationship between University Research Institute Executive Directors and Heads of School will be one of mutual respect;
- iv. All parties will provide appropriate information, support and encouragement to enable the successful establishment and running of the Institute; and
- v. There should be recognition of the need to empower University Research Institute Executive Directors.

### *Protocols*

- i. Researchers who are members of a University Research Institute should be prepared to tailor some of their research directions to align with the vision and mission of the Institute;
- ii. University Research Institute Executive Directors and Heads of School are expected to participate in team meetings to discuss issues of common interest;
- iii. Space and infrastructure will normally be situated within existing University spaces, except in special cases where, for example, Institutes have secured funds for new space. Those overseeing space resources should aim to support procurement of appropriate accommodation for Institute research activities;
- iv. School academics who are members of a University Research Institute will continue to have their PDRs conducted by the relevant Head of School. Heads will discuss the research component of the PDR with University Research Institute Executive Directors, where appropriate; and
- v. Any disputes are to be moderated by the relevant Executive Dean and the DVC&VP(R), following meetings between the parties and where no compromise can be found.

## **1.5 Funding of University Research Institutes**

University Research Institutes may receive annual funding from the DVC&VP(R). However, no application is guaranteed support and there is to be no expectation of any continuous funding. The DVC&VP(R) will:

- i. Determine processes and criteria under which University Research Institutes may apply for central funding; and
- ii. Preference will be given to funding applications that strengthen the University's competitive position as a research provider of excellence, and particularly those applications that can be used to leverage additional external support.

## **1.6 Annual Reporting Requirements for University Research Institutes**

### ***Responsibility: Executive Director, University Research Institute***

Prepare a University Research Institute annual report and submit to the PVC(RE) for review and approval .

### ***Responsibility: Pro Vice-Chancellor (Research Excellence)***

Review and approve University Research Institute annual report. All annual reports should be finalised by 30 June each year.

The report should include the following:

- An 'at a glance' section about the Institute. e.g. mission, objectives, highlights, alignment to University strategic objectives etc.;
- A summary of the year by the Director (with the option of including the Advisory Board Chair);
- Achievement of Key Performance Indicators;
- A page on any Fellows associated with the Institute (their research and how it aligns with the Institute);
- Any awards, prizes, etc., with a link to the research promoted by the Institute;
- Impact and engagement stories, including major collaborations; and
- Any examples of gender equity, diversity and inclusion.

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## University Research Centre Procedures

### 2.1 Establishment of a University Research Centre

It is the responsibility of the DVC&VP(R) to:

- i. Assess the proposal to establish a University Research Centre and engage in consultation as considered appropriate;
- ii. Ensure that funding is tied to University activities and research priorities;
- iii. Determine the risk of forming a new University Research Centre, including the likelihood of it attaining financial sustainability;
- iv. Ensure that the continuation of any central funding is tied to the achievement of key performance indicators and targets; and
- v. If the DVC&VP(R), after due consultation, is satisfied that establishing the proposed University Research Centre is in the best interests of the University, recommend it to the VC&P or Provost for approval, with any conditions the DVC&VP(R) considers appropriate.

### 2.2 Application Process

An application to establish a University Research Centre should be submitted to the DVC&VP(R).

Applications must address the criteria listed below. The application will require a statement of endorsement from the relevant Executive Dean(s) or University Research Institute Executive Director, if applicable.

1. *Working Title for the Proposed University Research Centre*
2. *Key Contact/Proposal Leader*
3. *Key Researchers*
4. *Proposal*

#### 4.1 Purpose /Mission

Provide an overview of the purpose and mission of the University Research Centre and its relationship to achieving the strategic objectives of the University.

#### 4.2. Strategic Context

Provide details on the strategic significance of the proposed University Research Centre taking into account:

- Current research activity amongst proposed Centre participants and how the new Centre will build or enhance areas of research in line with the University's and relevant Faculty Strategic research plans, and State and National research priorities;
- The ability to be a recognised international contributor in a defined area of research strength;
- The timeliness of the Centre to exploit an existing or emerging research opportunity;
- The ability to accelerate University research, commercial research and/or research training priorities (postgraduate, honours);
- The capacity to generate high quality research outputs;
- The ability to develop verifiable public good outcomes, and the possible impacts these outcomes may produce;
- The capacity to leverage additional external funding support;
- The ability to sustain a critical mass of researchers and professional staff support appropriate to the endeavour; and
- Opportunities to obtain expert input from the broader University community.

#### 4.3 Research Program

Provide an overview of the research program, including:

- i. The creative and innovative nature of the proposed research, and its capacity to lead to significant advances in knowledge in the designated research area;
- ii. The degree to which the application enhances the concentration and coordination of research in the particular field(s) of research; and

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- iii. A timeline setting out the planned objectives for the first two years from the Centre's establishment.

#### **4.4 Key Performance Indicators**

Include a set of proposed key performance indicators (KPIs) with related targets.

#### **5. Researcher Engagement and Development**

Researchers who engage with a University Research Centre must be academic staff, graduate researchers and/or affiliates of the University, with a commitment to collaborating with the University Research Centre on planned projects and activities to achieve the Centre's vision and mission.

University Research Centres will operate with an 'inclusive' model for researcher engagement.

Provide details of the proposed model for University Research Centre membership and expected benefits for researchers who engage with the Centre. This should include reference to:

- i. The potential contribution to research training at the Honours and Postgraduate level;
- ii. The potential contribution to the development of early-career researchers; and
- iii. The potential engagement with or contribution to First Nations research.

#### **6. International, National and Regional Links and Networks**

Identify the potential to enhance effective interactions and linkages with researchers in other universities and research organisations working in the proposed fields of research; and the potential to attract external partners to the Centre and develop long-term strategic partnerships.

#### **7. Governance**

Provide details of:

- i. The 'home' School and Faculty of the University Research Centre;
- ii. The proposed management arrangements and responsibilities (the adequacy of which will be assessed and may be refined in conjunction with the DVC&VP(R) and proposed Director during the establishment process), including the organisational structure of the proposed Centre, its reporting arrangements both internally and externally, its financial management (if applicable), and its business and strategic plans, which should include milestones for achievement of objectives; and
- iii. The proposed Director's research profile, existing FTE commitments and capacity for leadership, vision, management and strategic planning.

#### **8. Organisational Support**

- i. If planned to be a physical University Research Centre, outline the physical location of the proposed Centre and its accommodation needs, together with an indication of how these needs are to be met, by whom and at whose cost, as well as commitments to provide basic infrastructure, telecommunications and computing facilities, and other key resources such as administrative and technical support staff;
- ii. If planned to be a virtual University Research Centre, outline the level of resources to be provided by the "home" School and Faculty of the Centre, and other key resources such as administrative staff to support its operation;
- iii. Specify the provision of funding to support the Director and key investigators to execute research leadership roles;
- iv. Explain the approach to integration and management of the Centre's relationship with relevant Faculties, including any impacts on the structure and/or operations of existing Schools and Faculty/University Research Centres; and
- v. Present an operational plan that sustains the Centre's activities in the long-term.

#### **9. Indicative Budget (where applicable)**

Summarise the major budget items for each of the initial three years of the existence of the University Research Centre, providing brief justifications or explanations as necessary. Flag any significant new infrastructure, equipment or accommodation impacts. As a general rule, budget proposals should not exceed \$250,000 per annum.

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## 2.3 Funding of University Research Centres

University Research Centres are eligible to apply for internal central University research funding. However, no application is guaranteed support and there is to be no expectation of any continuous funding. The DVC&VP(R) will:

- i. Determine processes and criteria under which University Research Centres may apply for central funding; and
- ii. Preference will be given to funding applications that strengthen the University's competitive position as a research provider of excellence, and particularly those applications that can be used to leverage additional external support.

## 2.4 Annual Reporting Requirements for University Research Centres

### ***Responsibility: Director, University Research Centre***

Prepare a University Research Centre annual report and submit to the Executive Dean for review and approval. In circumstances where the Research Centre is hosted by a University Research Institute, the annual report must be reviewed and approved by the PVCRE.

### ***Responsibility: Executive Dean or PVCRE***

Review and approve the University Research Centre annual report.

Research Centre annual reports should be focus on research impact, including outcomes by theme or area as appropriate (and which might include significant publications), alignment to University strategic objectives, major collaborations, progress on key performance indicators and overview of future focus.

All annual reports should be finalised by 30 June each year.

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## 3 University Research Institute and Centre Reviews and Renewals

University Research Institutes and Centres will have an initial term of up to five years but will be considered for renewal by the VC&P or Provost, on the recommendation of the DVC&VP(R). The request to renew a University Research Institute or Centre term will require a formal review of its performance against agreed key performance indicators. This review must occur early in the final year of the initial establishment period.

However, the DVC&VP(R) (in the case of a University Research Institute or University Research Centre) or the relevant Executive Dean (in the case of a University Research Centre) may initiate a review at any time.

If renewal beyond the original establishment period is not sought, the final year review is not necessary, although a final annual report is still required. Review processes are required to address the criteria listed below.

### 3.1 Establishing a Final Year Review Committee

#### ***Responsibility: DVC&VP(R) for a University Research Institute or the Executive Dean for a University Research Centre***

Establish a final year review committee with the following minimum composition:

- i. One external member with exceptional standing in the academic area of the Institute/Centre
- ii. A senior researcher within the University, from a Faculty not associated with the Institute/Centre; and
- iii. Any additional members that the Executive Dean or DVC&VP(R) considers appropriate; and for Centres only, the Deputy Dean (Research) from the responsible Faculty.

### 3.2 Documents for the Final Year Review

#### ***Responsibility: Director of the University Research Institute or Centre***

Arrange for the Review Committee to be provided with the following information:

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- i. A copy of the original establishment documentation;
  - ii. Copies of previous annual reports;
  - iii. Relevant data pertaining to performance;
  - iv. A written submission from the Executive Director/Director outlining the major achievements and research impact of the Research Institute or Research Centre, and proposed future developments; and
  - v. Any additional information as requested by the Review Committee.

### **3.3 Review Committee Terms of Reference**

#### ***Responsibility: Review Committee***

- i. Review the purpose, goals and priorities of the Institute/Centre and assess whether or not those goals remain appropriate to the University's strategic aims;
- ii. Review the activities and achievements of the Institute/Centre in relation to its own statement of aims, objectives and functions, and the indicators stated in the original establishment proposal;
- iii. Evaluate the research performance of the Institute/Centre in the context of trends in the area and the performance of comparable structures elsewhere;
- iv. Review the organisational structure of the Institute/Centre in the context of its research and other functions, and the effectiveness of its governance and management;
- v. Review the role played by the Institute/Centre in relation to relevant industry and government bodies, and/or in service to the profession and the community;
- vi. Review the quality and extent of the involvement of the Institute/Centre in research training and its support for researchers at all levels;
- vii. Recommend, in light of its performance, whether the Institute/Centre should continue and, if so, in what form; and
- viii. For a Research Centre, present a report to the Executive Dean, and for a Research Institute present a report to the DVC&VP(R) and Institute Executive Director.

### **3.4 Outcomes of Review**

#### ***Responsibility: Executive Dean responsible for University Research Centre***

- i. In the case of a University Research Centre review, prepare a written response to the Review Committee's report and submit both documents to the DVC&VP(R) for consideration; and
- ii. Oversee the implementation of any review recommendations approved by the DVC&VP(R).

#### ***Responsibility: Executive Director, University Research Institute***

In the case of a University Research Institute, present the Review Report to the Institute Advisory Board and assist the Chair of the Institute Advisory Board to prepare a written response to the Report. This is submitted to the DVC&VP(R). If the DVC&VP(R) is a member of the Institute Advisory Board, they must not be involved in this part of the process.

#### ***Responsibility: DVC&VP(R)***

- i. Consider all recommendations made in the Report and the response, and approve a final set of recommendations for implementation, including a determination whether to renew the Institute/Centre for a further specified period (conditionally or otherwise), or re-establish the Institute/Centre in another form, or disestablish the Institute/Centre;
- ii. In the case of a recommendation to disestablish the Institute/Centre or establish it in another form, submit a recommendation to the VC&P or Provost for approval;
- iii. Inform the responsible Executive Dean, the Executive Director/Director of the Institute/Centre and, where applicable, the Institute Advisory Board, of the final decisions reached during the above process; and
- iv. For a University Research Institute, oversee the implementation of any review recommendations.



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#### **4. Disestablishment of a University Research Institute or Research Centre**

##### ***Responsibility: VC&P or Provost***

As per Principles 8, 18 and 24, University Research Institutes and Centres will be disestablished after five years unless their renewal is endorsed by the DVC&VP(R), and in the case of University Research Centres, on the recommendation of the Executive Dean.

In determining whether or not to disestablish a University Research Institute or Centre, the following circumstances may be taken into account:

- i. Performance is found to be unsatisfactory or consistently falls short of agreed KPIs;
  - ii. A Review Report recommends closure;
  - iii. Institute/Centre researcher membership falls below the required level of critical mass, or there is a loss of key staff;
  - iv. Lack of financial sustainability;
  - v. Merger into another structure;
  - vi. The strategic objectives of the University are no longer met; and/or
  - vii. The reputation of the University is negatively impacted.
-