

## POLICY ON RESEARCH CENTRES AND OTHER RESEARCH GROUPS

---

**Authorised by:** Vice-Chancellor and President on behalf of Council

**Date authorised:** 11 August 2005

**Effective Date:** 11 August 2005

**Review Due Date:** 11 August 2008

**TRIM File Number:** 1998/2609

**Related Documents:** N/A

**Implementation & Review:** Deputy Vice-Chancellor and Vice-President (Research)

**Superseded Documents:** Policy on Research Centres and Other Research Groupings

Any person who requires assistance in understanding any aspect of this document should contact Lynette Kelly in the Research Branch on extension 35137.

---

This policy consists of:

### Preamble

1. Objectives and Framework
2. Research Groups Designated by a Faculty or Faculties
3. University Research Centres
  - Establishment
  - Operation
  - Reporting
  - Review
4. University Research Clusters
5. Externally Designated Centres and Activities Involving External Partners

Attachment A University Research Centres: Activities and Functions

Attachment B University Research Centres: Responsibilities of Director

Attachment C University Research Centres: Measures of Performance

Attachment D University Research Centres: Annual Reporting Requirements

Attachment E University Research Centres: Risk Analysis Model for Joint Ventures

### PREAMBLE

The University of Adelaide vision has a global focus, with a strong emphasis on internationally renowned research output, outstanding research training, and highly productive strategic relationships with other universities and selected partners in industry, government, and the wider community, in

Australia and overseas. The University recognises that in order to achieve this vision, areas of present or potential research excellence and innovation need to be identified, encouraged and promoted.

The aim of this policy is to encourage the development and, where appropriate, the formal designation of Research Centres, Research Clusters and other groups so that they will become a focal point of the University's research effort and promotion. While this policy pertains primarily to internally designated groups, some matters specific to the operation, relationship and review of externally designated centres are also clarified.

The University recognises that not all such research initiatives will fit neatly within this policy. It is expected that this policy and associated guidelines established by the Deputy Vice-Chancellor and Vice-President (Research) will be appropriate to most research groups seeking formal designation and proponents will be expected to justify why any variation is appropriate. To accommodate such situations, this policy provides for some flexibility at the discretion of the Deputy Vice-Chancellor and Vice-President (Research) and the Vice-Chancellor and President.

This policy does not refer to any group that has as its primary focus, the teaching of undergraduate courses or the provision of research support services (eg, analytical facilities).

## **1. OBJECTIVES AND FRAMEWORK**

1.1 This policy statement is applicable to Faculty Research Groups and Units, University Research Centres, University Research Clusters and other research groups established within the University of Adelaide which have, as their primary focus, the pursuit of cooperative research activity by individuals and research teams who share common or complementary interests.

1.2 The aims of this policy are to:

- (i) encourage and facilitate the establishment and effective operation of productive research groups at all levels within the University;
- (ii) clarify the process for the establishment, operation and review of formally designated Research Centres and other groups and their relationship to the University or its Faculties;
- (iii) explain the Research Cluster strategy and process of Cluster designation;
- (iv) encourage the alignment between University and Faculty research strengths and strategies and the official designation of research groups;
- (v) ensure the maintenance of a central register of research groups operating at different levels within the University; and
- (vi) facilitate the effective promotion of the University's research strengths.

1.3 The University encourages the development of research teams within and across disciplines at all levels and in collaboration with other institutions. It is expected that such research teams wishing to operate as a readily identifiable, named group will seek approval under this policy.

1.4 Within the University, research groups may seek formal designation as:

- (i) a Research Group or Unit as recognised by a Faculty (see section 2)
- (ii) a University Research Centre (see section 3); or
- (iii) a University Research Cluster (see section 4).

1.5 A Research Group or Research Unit will be designated by a Faculty in accordance with this policy and any other guidelines approved by a Faculty for this purpose.

1.6 A University Research Centre will be designated by the Vice-Chancellor and President and its operation overseen by an Executive Dean in accordance with this policy and any other guidelines approved for this purpose.

1.7 A University Research Cluster will be designated by the Vice-Chancellor and President and its operation overseen by the Deputy Vice-Chancellor and Vice-President (Research) in accordance with this policy and any other guidelines approved for this purpose.

1.8 The use of the title Institute will normally be reserved for major research initiatives approved by the Vice-Chancellor and President outside the framework of this policy.

1.9 Research groups are not to use the title of Research Centre, Research Group or Research Unit unless they have obtained approval to do so under this policy.

1.10 Neither the Director/leader nor members of a Research Group/Unit, Centre or Cluster have the right to enter into contracts on behalf of the University or the group but must comply with the relevant University policies in this regard (ie, administered through ARI).

1.11 Each Research Group/Unit, Centre and Cluster should develop and maintain an appropriate summary of its research strengths and activities which may be used for central and individual promotional purposes. Update material should be provided each year to the relevant Executive Dean(s), Deputy Vice-Chancellor and Vice-President (Research) and Research Branch.

## **2. RESEARCH GROUPS DESIGNATED BY FACULTIES**

2.1 A research group may seek formal designation within its Faculty as a Research Group or Research Unit.

2.2 A Research Group or a Research Unit is a formally recognised group of researchers who share common or complementary research interests and operate primarily, but not necessary entirely, within a single Faculty. The group's growth, focus, orientation, track record, interest and other factors will influence when (and whether) it later seeks designation as a Research Centre.

2.3 Approval for the establishment of a Research Group or Research Unit may be granted by the responsible Executive Dean of Faculty on the recommendation of the Head(s) of School and/or Faculty Research Committee concerned. The Executive Dean of Faculty will advise the Deputy Vice-Chancellor and Vice-President (Research) of such approvals.

2.4 An application for designation as a Research Group/Unit may be made to the Executive Dean of Faculty at a time and in a form specified by that Faculty.

2.5 A Research Group/Unit will be established by the Faculty for a designated period, normally an initial period of three years.

2.6 A Research Group/Unit will be led by a nominated leader who will report on the group's activities to a Head of School nominated by the Executive Dean.

2.7 A Faculty Research Group/Unit must clearly promote its relationship to the University of Adelaide in its title, sub-title or other form.

2.8 Each Faculty will establish guidelines for the operation and review of its Research Groups/Units which will specify any performance criteria and reporting requirements. Responsibility for monitoring compliance shall rest with Executive Dean(s) of Faculty and the responsible Head of School.

2.9 Each Faculty will report annually to the Deputy Vice-Chancellor and Vice-President (Research) on Research Groups and Units that are active and continuing. Research Branch will maintain the official list of Research Groups and Research Units operating across the University.

2.10 Continuation of permission to use the title of Research Group/Unit will be subject to the group's compliance with any reporting and review requirements established by the Faculty.

2.11 A Research Group/Unit may apply to change its name by writing to the Executive Dean of Faculty. The Deputy Vice-Chancellor and Vice-President (Research) and Research Branch should be advised of any such approvals.

2.12 A Research Group/Unit may apply for formal designation as a Research Centre in accordance with this policy.

### **3. UNIVERSITY RESEARCH CENTRES**

3.1 A University Research Centre is a formally recognised group of researchers who:

- (i) share common or complementary research interests;
- (ii) have, as a group, established an international and/or national reputation for high quality research and research training at all levels; and
- (iii) may operate entirely within one Faculty or involve other Faculties and organisations.

3.2 University Research Centres are expected to capitalise on the University's strengths in a particular field and fulfil a range of functions aimed at strengthening, extending and promoting their research and research training activities and linkages, nationally and internationally (see [Attachment A](#)).

3.3 University Research Centres are expected to develop and maintain a high profile in their respective fields, nationally and internationally, and result in increased research funding being won by Centre participants. Research Centres will be expected to develop and maintain formal collaborations with similar or complementary research groups outside the University.

3.4 University Research Centres and/or their members may wish to collaborate with other research groupings as part of an interdisciplinary University Research Cluster addressing a major theme (see section 4) or externally designated group of some form (see section 5).

3.5 University Research Centres may be encouraged to seek external recognition (eg, designation as a Commonwealth funded centre) at the appropriate time in their development.

#### **Establishment**

3.6 A formal proposal to establish a University Research Centre is submitted by the proponent(s) to the most relevant Executive Dean for consideration within the Faculty. The proponent will be expected to consult with all relevant Schools and other Faculties, as appropriate, to ensure the proposed Centre is consistent with other academic plans and capitalises on all the University's major strengths in the field. Each Faculty may determine its own timetable for the receipt and consideration of Centre proposals.

3.7 Applications are to be submitted in a form determined by the Faculty but will normally be expected to include information on:

- (i) title of the proposed Research Centre;
- (ii) aims;
- (iii) summary of the proposed research program(s);
- (iv) relationship between the proposed Research Centre and the research plans/strategies of the University, Faculty(ies) and key Schools;
- (v) description of the existing and potential internal collaborative arrangements and external linkages (local, national, international);
- (vi) track record of proposed Director and key participants;
- (vii) the management/advisory structure of the Research Centre;
- (viii) performance indicators suggested for the subsequent evaluation of the Research Centre. (It is recognised that these indicators will vary in order to reflect the different programs and orientation of individual Centres; see Attachment C);
- (ix) current and proposed sources of funding required to support the Research Centre's programs including a budget / business plan confirming the Centre's financial viability for a minimum of five years. Funding for the core non-research running costs of a Research Centre (e.g. advisory board, administration costs) should normally be met from Faculty and/or School sources;
- (x) accommodation and infrastructure requirements and how they are to be met.

3.8 It is recognised that the complexity of the management structure, funding requirements and other details will vary between each application depending on the group's history, size, mission, research relationships and other factors.

3.9 Following Faculty review, the Executive Dean will determine whether or not to recommend the University Research Centre be established and under what conditions. Such a recommendation, together with a copy of the proposal, should be accompanied by evidence of endorsement by any other relevant Faculties and forwarded to the Deputy Vice-Chancellor and Vice-President (Research) for endorsement. Where appropriate, the Deputy Vice-Chancellor and Vice-President (Research) may send the proposal to University Research Committee for further discussion and advice. The Deputy Vice-Chancellor and Vice-President (Research) will, in turn, forward the recommendation to the Vice-Chancellor and President, via VCC, for approval. The Deputy Vice-Chancellor and Vice-President (Research) will inform the University Research Committee of the outcome for information.

3.10 Designation as a University Research Centre does not mean that the University will provide financial support. Any request for such funding will need to be justified in the application submitted to the Faculty and supported by the relevant Head of School and/or Executive Dean, and would normally be met from Faculty resources. Under exceptional circumstances, should central University resources be requested by Centre proponents and endorsed by the Faculty(ies), then the Deputy Vice-Chancellor and Vice-President (Research) and University Research Committee would be expected to provide more detailed advice to the Vice-Chancellor and President and have a more active role in Centre performance monitoring and review.

3.11 It is anticipated that Faculty recommendations concerning the establishment of University Research Centres, submitted in accordance with these guidelines, will normally be endorsed subject to reporting and review.

3.12 The Deputy Vice-Chancellor and Vice-President (Research) may refer a recommendation to others for comment where the proposal involves a joint venture (see section 5).

3.13 A University Research Centre will normally be established for an initial period of five years.

3.14 A Research Centre that is wholly or substantially within the University of Adelaide must clearly promote its relationship to the University of Adelaide and its standing as an approved University

Research Centre in its title, sub-title or other form. A designated University Research Centre may develop a distinctive logo or other form of presentation but this may only be used in association with the approved University logo and following endorsement by the Marketing and Strategic Communications Office.

3.15 Research Branch will maintain the official list of designated University Research Centres for promotional and other purposes.

3.16 A Research Centre may apply to change its name, major focus or management structure by writing to the Executive Dean who would make recommendations to the Deputy Vice-Chancellor and Vice-President (Research). Such a change will normally be approved by the Deputy Vice-Chancellor and Vice-President (Research) and will be notified to the Vice-Chancellor and President, as appropriate under the University policy pertaining to delegations.

3.17 The University may wish to establish other kinds of Centres that do not have research as their primary orientation. It is envisaged that while the general principles and standards implicit within this policy would apply to such initiatives, the Vice-Chancellor and President may approve the establishment of Centres of various kinds.

## **Operation**

3.18 Each University Research Centre must have a Director who will be responsible for managing its activities. The Director will be appointed by, and report on Centre matters to, the relevant Executive Dean of Faculty through a nominated Head of School. The Executive Dean may formally delegate responsibility for oversight of particular Centres under this policy to a Head of School (or other nominee) with a view to ensuring that Research Centre activities are consistent with and complementary to other core academic activities of the Faculty.

3.19 The Director will undertake a range of responsibilities specific to the effective operation of the Research Centre, as agreed with the Executive Dean and the Centre Board and which may encompass the duties described in [Attachment B](#).

3.20 Each Research Centre must have a Board or Committee, appointed by the Director in consultation with the Executive Dean, to assist in the planning, budgeting and monitoring of Centre activities. Such a Board/committee should meet at least twice a year.

3.21 The composition of each Centre Board or Committee will be individually determined, but must include:

- (i) a nominee of the Executive Dean of the Faculty most closely associated with the Centre;
- (ii) at least one external member; and
- (iii) representatives of key disciplines and participants, including external organisations if relevant.

3.22 The function of the Centre Board/Committee may vary among Research Centres but ideally should contribute to its effective operation by providing:

- (i) an expert group that the Director can use as an independent sounding board for the operation of the Centre;
- (ii) a group that can provide a source of information and ideas for research and funding opportunities; and
- (iii) a group that can assist the Centre with useful external links, in benchmarking its activities and outcomes, in developing its strategic plan and assisting with the review of the Centre.

3.23 The Centre Director may establish other committees to provide advice or support as he/she sees fit or as recommended by the Faculty. A list of Board/Committee members should be included in the Centre annual report.

3.24 Members of University Research Centres may be drawn from the staff and research students of Faculties, from elsewhere in the University and from outside the University; and the Centre may establish categories of membership. A membership list should be included in the Centre annual report.

3.25 Staff of the University who are members of a Research Centre will retain their responsibilities to their respective Head of School or other area, as appropriate, but on Centre matters will be responsible to the Director or Board/Committee (as set out in individual constitutions or guidelines).

3.26 Research students associated with a University Research Centre will normally be enrolled through the most relevant Schools, and associated income allocated in line with established University funding guidelines.

3.27 Each Research Centre should have a properly formulated framework and plan for its governance and management. This may take the form of a constitution, business or strategic plan and/or a set of operational guidelines. A copy of any such document should be lodged with Research Branch.

3.28 Each University Research Centre is expected to identify those performance indicators by which it, the School, Faculty and the University can most appropriately evaluate its progress and achievements. The choice of indicators will depend upon each of the aims of each Research Centre ([Attachment C](#)).

3.29 All funds received by the Research Centre shall be deemed University funds for audit and accounting purposes. All equipment purchased from such funds or any income accruing direct to a Research Centre is the property of the University. In case where a Research Centre includes participants from more than one institution, prior agreements as to the financial management and operation of the Research Centre must be approved by the Executive Dean and Deputy Vice-Chancellor and Vice-President (Research) (see also section 5).

3.30 The monitoring of a Research Centre's financial position and management will be the responsibility of the relevant Executive Dean(s) of Faculty, who:

- (i) may request additional information from the Director/Centre Board in relation to the Centre's financial management; and
- (ii) will report to the Deputy Vice-Chancellor and Vice-President (Research) any concerns or relating to the Centre's financial management and assets.

## Reporting

3.31 The Director of each Research Centre will provide the appropriate Head(s) of School, Executive Dean(s) of Faculty(s) and the DVC(R) with an annual report for each calendar year by 30 April of the following year or an alternative date specified by the Faculty. The report is to include information on Research Centre activities, performance, financial management and other details as specified, from time to time, by the Executive Dean. (See [Attachment D](#)).

3.32 Faculty Associate Deans (Research) will be responsible for monitoring the performance of the University's Research Centre Policy and for keeping the Deputy Vice-Chancellor and Vice-President (Research) and University Research Committee briefed of any issues or opportunities arising.

## Review

3.33 University Research Centres will be subject to periodic review that will normally take place every five years, although:

- (i) an initial review may be conducted after the first three years' operation of a new Research Centre; and
- (ii) the Executive Dean may initiate a review at any time.

3.34 The terms of reference and process for a review will be determined by the Executive Dean and will have regard to the size, complexity and evidence of current performance of the Centre under review.

3.35 A Research Centre review may be conducted by a specially constituted review committee appointed by the Executive Dean, following consultation with Schools and other Faculties and with the Deputy Vice-Chancellor and Vice-President (Research), as appropriate. External peer review and national/international perspectives of the Research Centre research activities will normally be sought. Such a review of a University Research Centre should consider:

- (i) its activities and achievements in relation to its own statement of aims, objectives and functions;
- (ii) its strategic plan and its congruence with the strategic plans of the University and relevant Faculty(ies);
- (iii) an evaluation of its performance in relation to the indicators stated in the establishment proposal;
- (iv) any funding and other resources received from the public and private sectors;
- (v) effectiveness of its governance and management structure;
- (vi) links with the private sector, other academic and research institutions, government bodies and the wider community;
- (vii) visibility of the Research Centre and its reputation locally, nationally and overseas;
- (viii) viability and justification for continued designation as a University Research Centre.

3.36 The draft review and recommendations, including recommended continuation of the Centre, will be assessed by the Faculty and recommendations forwarded to the Deputy Vice-Chancellor and Vice-President (Research) for consideration.

3.37 Where a Faculty review recommends closure or cancellation of a Research Centre's designation and such a recommendation is supported by the Deputy Vice-Chancellor and Vice-President (Research), then the Centre will normally be given six months notice of such action.

3.38 Where a Research Centre is a part of a larger consortium, the activities of the University's Research Centre will be subject to review in accordance with this policy.

#### **4. UNIVERSITY RESEARCH CLUSTERS**

4.1 University Research Clusters represent a University strategy to facilitate interdisciplinary, multi-faculty collaboration in a thematic area of priority to the state or nation.

4.2 Individual researchers who are members of University Research Centres and/or other research groupings are encouraged to also participate in Research Clusters where appropriate.

4.3 University Research Clusters represent a "strategy" more than a "structure" although proposals for Cluster designation must follow a formal process. Research Clusters are meant to more effectively enunciate and capitalise on the University's interdisciplinary research capabilities in order to address major research questions or themes and to relate to similar clusters in the wider community.

#### **Establishment**



4.4 Proposals for University Research Cluster designation will be invited by the Deputy Vice-Chancellor and Vice-President (Research), usually on an annual basis. Cluster themes may be suggested by the Faculties, University Research Committee, Deputy Vice-Chancellor and Vice-President (Research) or by proponents.

4.5 Research Clusters must address a thematic area deemed a state, national and/or international area of research priority requiring multi-disciplinary approaches, and must actively involve researchers from at least three faculties.

4.6 University Research Cluster proposals will be considered by a selection committee convened by the Deputy Vice-Chancellor and Vice-President (Research). The Vice-Chancellor and President may participate in the selection process.

4.7 An application for designation as a University Research Cluster should be in the form requested by the Deputy Vice-Chancellor and Vice-President (Research) and will normally include the following preliminary information:

- (i) Cluster thematic focus and title;
- (ii) Aims and strategic significance (at institutional, local, state, national and/or international levels);
- (iii) Names of Cluster leader(s), cross-faculty steering committee members and other key researchers;
- (iv) Key programs/sub-themes and evidence of cross-faculty involvement in its initiation;
- (v) Set of proposed strategies that will address income growth, early career researcher involvement, interdisciplinary initiatives, infrastructure sharing and effective interaction with external stakeholders (eg, industry clusters, collaborating agencies, international research teams).
- (vi) Key performance indicators and outcomes by which the Cluster's effectiveness will be measured after the first (and second, if appropriate) year of funding and thereafter;
- (vii) Budget (with justification and timeline) to facilitate Cluster development.

4.8 The Deputy Vice-Chancellor and Vice-President (Research) may recommend the establishment of a Research Cluster at any time, with or without funding being provided, and with conditions specific to each Cluster.

4.9 A University Research Cluster may receive central "seed" funding to facilitate its cross-faculty development for the first one or two years. It is expected that some Clusters will become self-sustaining, others will (in whole or part) develop into other entities (eg, Centre of Excellence) or may change their focus.

4.10 It is expected that the focus, framework, funding needs and other details will vary between Clusters reflecting their strategic fit relative to priorities and opportunities.

4.11 While Research Clusters will be focused around the interdisciplinary research strengths within the University, they are expected to be outwardly focused, form collaborations outside the University and establish links with complementary research groups nationally and internationally.

4.12 A Cluster should clearly promote its relationship to the University in its title, sub-title or other form.

4.13 Research Branch will maintain the official list of designated University Research Clusters.

## **Operation**

4.14 Each University Research Cluster must have a designated leader and a coordinating panel or steering committee comprising researchers from at least three faculties.

4.15 Each Research Cluster should develop, maintain and keep the Deputy Vice-Chancellor and Vice-President (Research) informed of the Cluster's framework for managing its activities. The Deputy Vice-Chancellor and Vice-President (Research) (and/or delegate) will maintain regular interaction with the University Research Clusters to assist in their development and sharing of successful strategies.

## Reporting

4.16 A University Research Cluster will be expected to report annually to, and in a manner and time frame specified by, the Deputy Vice-Chancellor and Vice-President (Research) on its achievements and future plans, including whether continued designation and support as a Cluster is appropriate. Cluster leaders may be asked to present reports on their strategies and progress to the University Research Committee.

## 5. EXTERNALLY DESIGNATED CENTRES AND ACTIVITIES INVOLVING EXTERNAL PARTNERS

5.1 Research activity involving external partners may take a number of forms, from joint activity on a single project or broader program, to a major collaborative venture that may be in receipt of external funding (eg, Cooperative Research Centre). These guidelines pertain to the latter kind of activity – ie, major collaborative venture.

5.2 An important consideration in undertaking research or other activity with an external partner is the extent to which the University is prepared to share control of the research program, resources and other factors. Under the Commonwealth Government's National Governance Protocols for Higher Education Providers, the University must also assess the risk arising from its part ownership of any joint venture. Proponents of such joint ventures should utilise the University's Risk Analysis Model, including the Risk Assessment Questionnaire, to assess, document and manage potential consequences to the University under financial, reputation, service delivery and other risk categories (see [Attachment E](#)).

5.3 Any formal collaboration or sharing of resources with another university, research institution or other external body requires a formal agreement to be negotiated between the parties and signed by the recognised signatory of the University (ie, the Vice-Chancellor and President or Deputy Vice-Chancellor and Vice-President (Research) or delegate, as appropriate). Research Centres that represent a joint venture with external partners must have formal management agreements signed between appropriate member institutions. These will normally be developed and negotiated by the proponent in conjunction with ARI.

5.4 Clear and unambiguous arrangements need to be agreed in relation to the operation of a collaborative centre. Such joint venture agreements will normally be expected to address the following issues:

- (i) recommended governance and management structure of the joint venture (eg, incorporated or unincorporated joint venture);
- (ii) how to measure and recognise contributions from each party (eg, equity and cash in-kind contributions, access to and use of facilities);
- (ii) administration and distribution of external funding;
- (iv) the composition of the board or committee that will manage or advise the centre;
- (v) the role of the board (powers and limitations), including control of resources;
- (vi) responsibility for determining overall objectives;
- (vii) responsibility for determining research, consulting and educational projects;

- (viii) the extent to which the University maintains freedom to conduct teaching, research and consulting activities outside the Centre in circumstances where there are overlapping interests;
- (ix) monitoring and control of outputs;
- (x) status, selection and other procedures regarding any staff to appointed by the joint venture;
- (xi) ownership of intellectual property resulting from joint projects and control of its use in teaching, further research and commercialisation;
- (xii) strategies for commercialisation and distribution of income;
- (xiii) the extent to which the parties agree to share information and allow cross fertilisation of research programs;
- (xiv) arrangements for students, their supervision and the use of their intellectual property.

5.5 Members or groups of the University involved in such a joint venture may wish to establish an identity within the institution (eg, seek designation as a Faculty Research Group or Unit or University Research Centre). In such cases, the researchers should identify an appropriate classification under this policy and submit a formal proposal in accordance with these guidelines. An external centre that seeks such recognition is bound, once accepted, by the relevant reporting and review requirements of that category. Where possible, internal review mechanisms will accommodate the requirements of external partners.

5.6 Where it is proposed to establish a Commonwealth funded research centre (eg, CRC, ARC Centre of Excellence) then a submission should be made through the appropriate Executive Dean(s) of Faculty to the Deputy Vice-Chancellor and Vice-President (Research) in accordance with guidelines and time line issued by the Deputy Vice-Chancellor and Vice-President (Research) and the relevant sponsor.

5.7 Where a University Research Centre succeeds in becoming a Commonwealth funded centre then its operations and review will be governed by the rules of the funding body.

5.8 For each proposed Commonwealth funded centre, the appropriate Executive Dean (with majority involvement in the centre) shall appoint a "Faculty Responsible Officer" who will report on Centre matters to a designated Head of School. The Responsible Officer will have specific responsibilities in relation to the centre's establishment, operation, reporting and liaison with ARI and the Deputy Vice-Chancellor and Vice-President (Research).

## UNIVERSITY RESEARCH CENTRES: ACTIVITIES & FUNCTIONS

University Research Centres are expected to fulfil a range of functions aimed at strengthening, extending and promoting their research and research training activities and linkages, nationally and internationally. They would normally be expected to:

1. support high quality research which contributes to regional and national objectives, including those of advancement of knowledge, economic and social development, and that which promotes national and international collaboration in achieving these objectives;
2. focus the research activities of University staff and students and, in so doing, use available resources more efficiently;
3. foster collaborative research efforts between individuals and research teams within and outside the Centre;
4. encourage inter-disciplinary approaches to address a particular set of research problems;
5. establish and maintain regional, national and international links with individuals and teams conducting research in similar or complementary fields;
6. complement and enrich the high degree/research training programs of the University;
7. where possible, strengthen the links between research activities and teaching within the various Faculties of the University;
8. enhance the status of the University by raising the level and public profile of research activity;
9. seek to attract, through the Research Branch or ARI Pty Ltd as appropriate, funds from the public and private sectors to help support the University's research program;
10. provide opportunities for the professional development of staff, particularly new and early career researchers; and
11. undertake research and consultancy activities on behalf of industry, Government, the community and the region.

## UNIVERSITY RESEARCH CENTRES: RESPONSIBILITIES OF DIRECTOR

Responsibilities of the Director will vary, to some extent, between University Research Centres and may include:

1. developing the strategy and program for the realisation of the mission and objectives of the Research Centre in consultation with the Centre Board/Committee and Executive Dean, as appropriate;
2. being responsible for the implementation of the program of the Research Centre, including the allocation of duties to staff of the Centre;
3. providing leadership and guidance to the members and staff of the Research Centre with regard to the realisation of the missions and objectives of the Centre;
4. authorising the appointment of members of the Research Centre;
5. participating in the research program of the Research Centre;
6. representing the Research Centre within and outside the University;
7. liaising with other sections of the University in relation to matters affecting the Research Centre;
8. attracting and facilitating research grant and consultancy projects undertaken under the auspices of the Research Centre in accordance with the relevant University policies and procedures;
9. prepare reviews of the staffing establishment and the related funding source of the Research Centre as required;
10. liaising with the responsible Executive Dean of Faculty, as appropriate, in relation to the appointment and management of any staff employed by or seconded to the Research Centre;
11. administering the resources of the Research Centre;
12. preparing the annual Centre budget, on the advice of the Centre Board/Committee and, in consultation with the Board/Committee and appropriate Executive Dean disburse, monitor and control funds received or accruing to the Research Centre in accordance with University policies and procedures;
13. approving all expenditures of the Research Centre in accordance with University policy and any guidelines established by the relevant Faculty;
14. monitoring the performance of the Research Centre with regard to efficiency and effectiveness, and prepare the annual report and statement of accounts of the Centre; and
15. contributing to the promotion and marketing of the University as a research facility.

## UNIVERSITY RESEARCH CENTRES: MEASURES OF PERFORMANCE

Each University Research Centre is expected to identify performance indicators by which it proposes to measure progress towards achieving its aims and the vision of the University of Adelaide. While the indicators used by each Research Centre will vary according to its scope, mission, relationships and other factors, they will normally address the following headings:

### International Collaboration – e.g.

- visits by overseas scholars and/or other collaborators
- visits by Research Centre members to overseas institutions
- attendance at overseas conferences
- memorandum of agreement and/or exchange agreement with international institutions and organisations
- collaborative grants/projects

### External Financial Support – e.g.

- award of National Competitive Grants
- financial support from other public sector sponsors
- international funding
- research contracts and consultancy with industry
- client diversity

### Peer Recognition – e.g.

- award of prizes
- invitations to present keynote addresses at major for a
- election to learned societies and academies

### Extent of Contribution to the Public and to Industry – e.g.

- publications, seminars
- citations, where appropriate to the discipline
- visits by industry
- policy input
- press coverage
- participation in public debate
- other peer reviewed outputs appropriate to the discipline
- relationship of Centre activities to National Research Priorities

### Intellectual Property – e.g.

- patents
- licenses and license income
- commercial products
- other commercial outcomes

### Education and Training – e.g.

- research education and training
- workshops and short courses for academic, industrial and the wider communities

- mentoring and other programs to support the development and success of Early Career Researchers

Cooperative Arrangements – e.g.

- collaboration with other research centres nationally and worldwide
- shared infrastructure development, staff appointments and other collaborative initiatives
- new links
- visitors

Marketing of Research Centre Activities – e.g.

- Government, industry or other community recognition
- Positive media exposure of Centre activities
- Participation in industry and other for a

Management Effectiveness – e.g.

- Financial management
- People and skill development
- Capitalising on the University's expertise to grow the Centre's profile and success

## UNIVERSITY RESEARCH CENTRES: ANNUAL REPORTING REQUIREMENTS

The Director of each University Research Centre will provide the appropriate Executive Dean(s) of Faculty with an annual report for each calendar year, usually by 30 April of the following year.

The report is to include information requested by the Executive Dean, normally:

1. a review of activities, achievements and outcomes of the Research Centre. The report should be set in the context of the overall research and research dissemination strategy of the Research Centre. It should cover the previous financial year and include:
  - progress in the research program of the Research Centre, covering the research projects undertaken, the researchers involved in each project, research outcomes and their impact;
  - progress in relation to performance indicators adopted by the Research Centre and the achievement of any operational targets;
  - any benchmarking activities against cognate and other related research groups.
2. a financial statement of income and expenditure of the Research Centre, demonstrating accountability for funds provided;
3. a list of Research Centre members;
4. a list of Research Centre publications/other research output and relevant publications of its members;
5. details of Research Centre Board/Committee membership;
6. a report by the Convenor of the Centre Board/Committee; and
7. other details as specified, from time to time, by the Executive Dean.



## UNIVERSITY RESEARCH CENTRES: RISK ASSESSMENT QUESTIONNAIRE FOR JOINT VENTURES

Under the provisions of protocol 11 of the Commonwealth Government's National Governance Protocols for Higher Education Providers the University must assess the risk arising from its interest in any entity, partnership or joint venture including entities such as Cooperative Research Centres. It should be noted that it is the risk to the University that is to be assessed not the risk to the entities themselves.

To assist in this assessment a number of questions have been developed that are designed to prompt an understanding of the level of risk within the entities. There are a number of general questions designed to understand the activities that the entities are engaged in and then a number of questions under each risk category as defined by the University risk management framework. The Consequence Table and Joint Venture Risk Matrix forming part of the University's Risk Analysis Model could also be used in this exercise.

### *Strategic Risks*

- What activities are conducted by the entity?
- What protocols have been established by the entity (eg delegations, strategic planning, performance reporting, quality control)?
- What skills, knowledge and experience is possessed by the Board, executive and staff involved in the entity's activities?
- What level of reporting occurs to the University and what level of University executive involvement is there in the entity's activities?

### *Financial Risks*

- What is the size and nature of the investment held by the University in the entity (eg outstanding calls)?
- What is the size of the operations of the entity, (eg turnover, assets, liabilities)?
- What level of losses or liabilities can be generated by the entity's activities?
- What is the size and nature of the units that generate income for the entity, (eg lumpy transactions or many small transactions)?
- What competition exists for the services being provided and the volatility of demand for the service?
- What ability does the entity have to enter into commercial arrangements and raise debt?

### *Educational Risks*

- What link exists between the activities of the entity and the University's provision of educational services (eg service delivery, funding)?
- Where the entity provides direct educational services what would be the impact on the University's ability to provide such services without that entity?
- What impact would it have if the University was unable to perform the educational services provided by the entity?

### ***Employee Welfare / Public Safety***

- What physical environment are the employees working in?
- What OH&S policies and practices are in place?
- What risks are the public exposed to?
- How is the entity resourced, (ie University staff, contractors etc)?

### **Legal / Commercial**

- Are there any outstanding legal claims, what is their nature and what magnitude are they?
- Are the business activities of a nature that may give rise to litigation and what magnitude might such litigation be?
- What level of insurance cover does the entity retain to cover litigation and other commercial losses (including insurance claim excess and maximum limits of cover)?
- What legislation is the entity subject to and what is the likelihood and consequence of non-compliance with such legislation?
- What controls are in place to ensure fraudulent activities are either prevented or detected and remedied in a timely manner?
- What controls are in place to prevent the loss of intellectual property and the associated income?

### ***Environment***

- What environmental impacts can be caused by the activities conducted by the entity?
- Where there are potential environmental impacts are these ongoing or single events?
- Where there are potential environmental impacts are these easily remedied or will they require significant investment and/or ongoing attention to be remedied?

### ***Reputation / Brand Image / Political***

- What prominence does the brand name have in South Australia and outside of South Australia?
- What is the mix and profile of the customer base and/or stakeholders?
- How closely aligned and linked is the entity's brand name to the University (eg research)?
- How media sensitive and/or politically sensitive are the activities conducted by the entity?

### ***Service Delivery***

- What benefits are provided to the University as a result of the entity's activities?
- What are the implications to the University activities if the entity is unable to meet its obligations (eg funding, service delivery)?
- What controls are in place to ensure service delivery occurs and the quality of such service delivery is maintained?
- What reliance does the entity have on activities outside of its control to ensure service delivery?