Governance procedure

Establishment, Management and Closure of Institutes, Centres and Research Networks

1. Purpose and Scope

The purpose of this procedure is to outline the steps required for the establishment, management and closure of institutes, centres, central research platforms and research networks.

The procedure applies to all units types under the categories outlined in the [Establishment, Management and Closure of Institutes, Centres and Research Networks Policy](https://ppl.app.uq.edu.au/content/1.30.06-establishment-management-and-closure-institutes-centres-and-research-networks).

This procedure also outlines the strategy for application to extant institutes, University centres, faculty centres, school centres and institute centres.

1. Process and Key Controls

The differentiating features of the various types of institutes, centres and research networks are found in the Framework Principles (section 7.1).

* 1. Establishment

The establishment of an institute, centre, central research platform or research network necessitates the requirements as outlined in the Framework Principles to be met.

In addition, the establishment of an institute, centre or central research platform requires:

1. Formal proposal using the *Proposal to Establish* template.
2. Sponsorship by a Senior Management Group member (Proponent).
3. Consultation and advice from key committees and stakeholders.
4. Recommendation by the relevant Delegate.
5. Approval by the appropriate Approval Authority.

The establishment of a research network requires:

1. Expression of interest by the researcher (Proponent).
2. Recommendation by the relevant Delegate.
3. Formal proposal using the *Proposal to Establish* template.
4. Pitch to relevant Panel.
5. Approval by the appropriate Approval Authority.
   1. Management

The management and governance arrangements within institutes, centres and research networks must be maintained in line with the approved proposal for establishment, and the requirements of this procedure.

Institutes, centres and research networks must maintain their scale in accordance with the framework principles to continue to operate.

Any variation from the steps outlined in the procedures, or from the governance structure as approved in the proposal document, will require approval from the appropriate approval authority.

* 1. Closure

The ability of an institute, centre or research network to meet its key performance indicators and the strategic objectives of the University will be considered prior to closure or disestablishment.

1. Key Requirements
   1. Establishment
      1. Institutes

Senate is the approval authority for the establishment of Institutes and their governance structure.

The Vice-Chancellor will make a recommendation to the Senate based on advice and recommendations from the relevant member of the Vice-Chancellor’s Committee and after consultation with the Academic Board and Research Committee.

The concept for the establishment of an institute must first be proposed to the Senior Management Group after significant consultation.

* + 1. Centres

There are five distinct types of centres.

* + - 1. Research centres

The Vice-Chancellor is the approval authority for the establishment of research centres and their governance structure.

The Deputy Vice-Chancellor (Research), as the delegate for research centres, will make a recommendation to the Vice-Chancellor based on advice and recommendations from the proponent and after consultation with Academic Board and relevant sub-committee (or relevant key stakeholders where a sub-committee of Academic Board does not exist).

* + - 1. Academic centres

The Vice-Chancellor is the approval authority for the establishment of academic centres and their governance structure.

The delegate will make a recommendation to the Vice-Chancellor based on advice and recommendations from the proponent and after consultation with Academic Board and relevant sub-committee (or relevant key stakeholders where a sub-committee of Academic Board does not exist).

The major activities of the academic centre will determine the delegate:

* The Deputy Vice-Chancellor (Academic) is the delegate for academic centres focussed on teaching and learning.
* The Deputy Vice-Chancellor (External Engagement) is the delegate for academic centres focussed on community service.
  + - 1. Affiliate centres

The Vice-Chancellor is the approval authority for the establishment of an affiliate centre.

Advice will be taken from the Senior Management Group and Legal Services to determine the suitability of approving the affiliate centre and the associated benefits and risks.

The Vice-Chancellor will assign the development of an affiliate relationship to a member of the Senior Executive who will be responsible for ensuring the development of a detailed proposal, including clearly defined governance arrangements and a host within UQ, and an affiliate agreement developed in consultation with Legal Services.

* + - 1. Externally-funded research centres

The Deputy Vice-Chancellor (Research) is the approval authority for the establishment of an externally-funded research centre and the approver for bids for submission to external agencies.

The establishment within UQ systems is optional. Establishment of an externally-funded research centre is intended to provide greater visibility to its activities.

* + - 1. Central research platforms

The Deputy Vice-Chancellor (Research) is the approval authority for the establishment of a central research platform. The Deputy Vice-Chancellor (Research) may request input from the Research Committee before approval.

The Pro-Vice-Chancellor (Research Infrastructure) will make a recommendation to the Deputy Vice-Chancellor (Research) for the establishment of a central research platform, or for combining with an existing capability, on behalf of the proponent.

The Pro-Vice-Chancellor (Research Infrastructure) may also submit proposals directly to the Deputy Vice-Chancellor (Research).

The Vice-Chancellor is the final approval authority for the establishment of a central research platform that cannot be financially supported within the Deputy Vice-Chancellor (Research)’s existing funds and user fees.

* + 1. Research networks

The Deputy Vice-Chancellor (Research) is the approval authority for the establishment of research networks and their governance structure.

The delegate will make a recommendation to the Deputy Vice-Chancellor (Research) based on advice and recommendations from the proponent.

The focus of the research network will determine the delegate:

* The Director of the Global Change Institute is the delegate for transdisciplinary impact research networks. The host is the Global Change Institute.
* The Pro-Vice-Chancellor (Research) is the delegate for capability research networks. The host responsibility will be shared between the Deputy Vice-Chancellor (Research) and an institute or faculty.
  1. Management

The general arrangements for the management, governance and operations of an institute, centre and research network are outlined in the framework principles, section 7.1 of this procedure.

The final arrangements will be approved during the establishment phase.

Any variations from the arrangements agreed at establishment must be approved by the relevant approval authority on recommendation of the relevant delegate.

* + 1. Role of an advisory board

Advisory boards provide non-binding strategic advice to the management team. They may provide advice on industry trends or raised issues, monitor performance and challenge the management team to consider options for improving performance.

Dependent on the type of entity, an advisory board may be mandatory and with specific representation requirements.

* + 1. Management committee

Institutes must establish a management committee that includes representatives from the wider University community, with membership approved by the host. Management committees set the strategic direction to guide and monitor institute activities and management to ensure they are in keeping with the approved proposal.

* + 1. Lead (Director or Convenor)

Leads are responsible for appropriate management of the institute, centre or research network in accordance with the approved goals and University strategy.

Membership on University committees is at the discretion of the Vice-Chancellor.

Appointment of a Director, or Convenor (for Research Networks), is approved by the relevant approval authority.

* + 1. Operational budget

Institutes and centres need to generate sufficient sources of funds to enable them to cover all expected costs. The nature of operating budgets must be agreed at the establishment.

* + 1. Higher degree by research candidate supervision

Higher degree by research candidates will normally be enrolled through schools. This does not preclude non-school academic staff from being a higher degree by research advisor provided the arrangement is in line with the [Eligibility and Role of Higher Degree by Research Advisors – Policy](https://ppl.app.uq.edu.au/content/4.60.01-eligibility-and-role-higher-degree-research-advisors).

* + - 1. Institutes as enrolling academic organisational units

Institutes may seek to enrol students directly if the number of students in the institute is comparable to a cognate school.

The Vice-Chancellor may approve for higher degree by research candidate enrolment through an institute on the recommendation of the Pro-Vice-Chancellor (Research Training).

An endorsement should be sought from the Higher Degree by Research Committee and Academic Board. The case for direct enrolment to an institute must be initiated by the director of the institute and must articulate the appropriate, capacity, complexity and critical mass to warrant direct enrolment.

* + 1. Renaming

Renaming an institute, centre or research network requires the approval from the approval authority. A justification for the change in name must be presented for consultation. Consultation should follow the same stages detailed for establishment in section 3.1.

* + 1. Special requirements for the management of research networks

All research network must establish a webpage using the standard structure provided by the Office of the Deputy Vice-Chancellor (Research).

Research networks are expected to be inclusive. All University researchers may seek membership of a research network irrespective of their organisational unit. Disputes on membership will be considered by the delegate of the initial proposal who has ultimate discretion on membership.

* 1. Closure

In determining whether to close and disestablish an institute, centre or research network, the following may be taken into consideration:

* Performance: if found to be unsatisfactory or consistently falls short of agreed key performance indicators;
* A review report recommends closure;
* Membership falls below the required level of critical mass, or there is a loss of key staff;
* Lack of financial viability;
* Merged with another structure; or
* The strategic objectives of the University are no longer met.

The closure of an institute, centre or research network is at the discretion of the approval authority.

* 1. Reclassification

Institutes, centres or research networks may seek reclassification if it is found that they better align as a different type.

To reclassify, an institute, centre or research network must be closed and a new entity established following the relevant establishment steps in section 3.1.

* 1. Transition and notice period

A Transition Period is in place from 6 September 2018 to consider how each extant institute and centre (in existence as at 6 September 2018) will be treated under this procedure. The Vice-Chancellor will consider recommendations on each extant institute and centre and has ultimate discretion in determining the approach to be taken for each, but must seek the approval of the Senate for the establishment, reclassification or closure of institutes.

Differences of view between the Deputy Vice-Chancellor (Research) and the institute or centre as to the status or reclassification of the institute or centre will be escalated to the Vice-Chancellor for a definitive determination.

Within the transition period, the extant institute or centre will be either classified under the Establishment, Management and Closure of Institutes, Centres and Research Networks Policy and Procedure or notified that they do not meet the criteria for classification. Where the criteria are not met the institute or centre will be given the option of entering into a notice period of three years, during which time they will need to take corrective action to meet the criteria for classification.

Failure to meet the criteria following the expiration of the notice period will normally lead to the disestablishment of the institute or centre.

It is recognised that for strategic reasons, some extant institutes and centres may be approved to continue under this policy framework even if they do not meet the requirements oftheEstablishment, Management and Closure of Institutes, Centres and Research Networks Policy after the transition or notice periods. This is at the discretion of the relevant approval authority.

1. Roles, Responsibilities and Accountabilities

The roles, responsibilities and accountabilities are outlined in the Establishment, Management and Closure of Institutes, Centres and Research Networks Policy, section 5.0.

The requirements listed below are in addition to those listed in the policy.

* 1. Deputy Vice-Chancellor (Research)

The Deputy Vice-Chancellor (Research) is the host for capability research networks.

* 1. Pro-Vice-Chancellor (Research)

The Pro-Vice-Chancellor (Research) provides recommendations to the Deputy Vice-Chancellor (Research) on the establishment of capability research networks and has final discretion to resolve membership disagreements.

* 1. Senior Management Group

During the transition period, the relevant Senior Management Group member is required to assess the extant institutes and centres for which they have oversight against the framework principles and provide recommendations to the Deputy Vice-Chancellor (Research) on the approach to be taken for each.

* 1. Director of Global Change Institute

The Director of the Global Change Institute provides recommendations to the Deputy Vice-Chancellor (Research) on the establishment of transdisciplinary impact focussed research networks and has final discretion to resolve membership disagreements.

As the host of transdisciplinary impact research networks, the Director of the Global Change Institute will provide strategic advice on governance and management matters.

1. Monitoring, Review and Assurance

The host of an institute, centre and research network must monitor the performance of the unit annually against its agreed key performance indicators.

Where performance is considered by the host to be unsatisfactory, they may seek an early review through the relevant approval authority.

The review of institutes, research centres and academic centres are conducted in accordance with the [Organisational Unit Reviews Policy](https://ppl.app.uq.edu.au/content/1.40.05-organisational-unit-reviews) and [Review of Institutes and Centres Procedures](https://ppl.app.uq.edu.au/content/1.40.08-review-university-institutes-and-centres).

* + 1. Affiliate centres

The timing and process of the review of affiliate centres will be established in the affiliate agreement and conducted accordingly.

* + 1. Central research platforms

Central research platforms will be reviewed every five years. The structure and format of the review are at the discretion of the Deputy Vice-Chancellor (Research). A review committee will be formed and must at a minimum include an external chair with recognised expertise and knowledge in the area of the central research platform, a member of the Research Committee and a director/senior researcher from another central research platform.

* + 1. Research networks

Research networks will not undergo formal review; however, the viability and suitability to continue will be reviewed annually by the Deputy Vice-Chancellor (Research) following submission of the report detailed in section 6.2.

1. Recording and Reporting
   1. Recording

Establishment and operational details for an institute, centre or research network will be recorded in a central registry. To facilitate the recording of this information, the approval authority for a newly approved entity must advise the Office of the Deputy Vice-Chancellor (Research).

The host is responsible for establishing the institute, centre or research network in University systems in accordance with the [Organisational Structures in University Systems Procedures](https://ppl.app.uq.edu.au/content/1.30.04-organisational-structures-university-systems).

* 1. Reporting
* Institutes are required to report to the host in a format and at regular intervals as advised by the host.
* The host of research centres and academic centres must report on the performance of research and academic centres to the relevant delegate.
* Externally-funded research centres must report in accordance with the requirements of the external funder. Reports provided to the external funder should be copied to the host by the director. It is expected that at least one report will be provided annually.
* Affiliate centres must report in accordance with the requirements of the affiliate agreement.
* Central research platforms will be required to report regularly to the Deputy Vice-Chancellor (Research) in a format and at regular intervals advised by the Deputy Vice-Chancellor (Research).
* Research networks are required to submit a short report to the Deputy Vice-Chancellor (Research) by 30 June each year. The report must include a list of internal and external researchers who are members of the research network and a description of the activities undertaken in the proceeding calendar year in line with the articulated plan. Additionally:
* Transdisciplinary impact research networks must report on their progress to impact targets monitored against agreed schedule set by the advisory board.
* Capability research networks must report against their articulated plan that targets external larger-scale funding opportunities not accessible by individual groups.

1. Appendix
   1. Framework principles

The framework principles define the different entity types and details around scale, governance and operations.

* 1. Definitions

**Affiliate agreement -** formally describes the relationship between The University of Queensland and an independent legal entity as it pertains to the pursuit of research, educational or other activities undertaken for mutual benefit.

**Approval authority -** the designated authority for approving changes to the University’s organisational structure.Senate for institutes.Vice-Chancellor for research centres, academic centres and affiliate centres. Deputy Vice-Chancellor (Research) for central research platforms, externally-funded research centres and research networks.

**Delegate -** responsible for providing recommendations to the approval authority.

**Extant institutes and centres -** institutes and centres established prior to 6 September 2018 under the previous policy framework.

**Host -** the faculty, school, institute or central portfolio responsible for the establishment, management and performance monitoring of the institute, centre or research network.

**Panel –** likely to be an existing committee or group, will be at the discretion of the approval authority.

**Proponent** - the individual who initialises the proposal for the establishment of a new unit.

**Proposal -** the document that justifies the establishment of an institute, centre or research network.

1. Meta Data for Document Management

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| Web Links | [Establishment, Management and Closure of Institutes, Centres and Research Networks Policy](https://ppl.app.uq.edu.au/content/1.30.06-establishment-management-and-closure-institutes-centres-and-research-networks)  [Eligibility and Role of Higher Degree by Research Advisors – Policy](https://ppl.app.uq.edu.au/content/4.60.01-eligibility-and-role-higher-degree-research-advisors)  [Organisational Unit Reviews Policy](https://ppl.app.uq.edu.au/content/1.40.05-organisational-unit-reviews)  [Review of Institutes and Centres Procedures](https://ppl.app.uq.edu.au/content/1.40.08-review-university-institutes-and-centres).  [Organisational Structures in University Systems Procedures](https://ppl.app.uq.edu.au/content/1.30.04-organisational-structures-university-systems). |
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