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ACADEMIC	1	
RESEARCH AND RESEARCH TRAINING	3	
RESEARCH MANAGEMENT	4	
NUMBER	002	
Policy Database Document Reference Number 134002D		

RESEARCH CENTRES AND INSTITUTES PROCEDURE


Parent Policy Title	Research Centres and Institutes Policy																			
Associated Documents	Template Constitution for Research Centres and Institutes Policy for Research Centres and Institutes																			
Preamble	The establishment of a Centre can only be justified where the proposed research activities will represent academic endeavour at a high level and be likely to enhance the national and international standing of the University.																			
General	'Centre' for the purposes of these procedures includes both Centres and Institutes whose main purpose is research.																			
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1. Establishment	A University or Faculty Centre must have a constitution which is based on the <u>Template Constitution for Research Centres and Institutes</u> . The constitution shall detail the proposed membership, categories of members, organisational structure, the authorities and responsibilities of a Director and executive, and arrangements for directing the work of the Centre.																			
2. Budget	For the purposes of budgetary control, a Centre is incorporated in a Faculty and the responsibility for its financial and managerial operation rests with the Dean. Centres whose activities span more than one Faculty must have a constitution identifying one of the Faculties as the responsible Faculty for the purposes of reporting and accepting administrative and financial responsibility. The Planning and Resources Committee (respectively Faculty Board) receives a proposal for a budget for a University (respectively Faculty) Centre, which may then be recommended for the normal budgetary process. The proposal for the budget should include the Constitution and a document giving background:																			

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	<ul style="list-style-type: none"> • Structure • Research Plan • Proposed Budget • University policy and practices not elsewhere addressed including interaction with Schools and Faculties, space and infrastructure, expected additional external funding to be received, appointment of any staff <p>Planning and Resources Committee will consider budgets for University Centres based on three yearly reports and reviews including whether the Centre has met the Key Performance Indicators. If the Planning and Resources Committee does not allocate to a University Centre budget separate to normal Faculty allocations, the Centre will become a Faculty Centre.</p>
3. Approval	<p>The RGSC considers the constitution of a University Centre on recommendation from the Dean.</p> <p>The Academic Board approves the Constitution.</p> <p>The Faculty Board approves the constitution of a Faculty Centre.</p> <p>The DVC R approves an External Centre by signing the relevant contract on behalf of the University.</p>
4. Director	<p>A Director of a Centre will normally be appointed for up to three years, in the first instance, renewable for further periods of up to three years. The Duties of the Director will be responsible for:</p> <ul style="list-style-type: none"> • overall financial and academic administration of the Centre • the day to day activities of the Centre in accordance with the legislation, policies and procedures of the University and the academic and research objectives of the University • management and supervision of staff appointed to the Centre • planning, reporting and the fulfilment of the objectives and plans of the Centre • chairing the Executive Committee of the Centre. <p>The Director will be supervised by the Dean unless otherwise indicated at appointment. The Director will be responsible to the DVC R, via the Dean, for the planning, reporting and fulfilment of the objectives and plans of the Centre.</p>
5. Annual Reporting	<p>A University (respectively, Faculty) Centre must submit an annual report to the Academic Board (respectively, RGSC), via the Dean and DVC R (respectively the Dean), on the operations of the Centre for the previous calendar year. An External Centre must submit a report to the RGSC unless the contract under which the Centre is established has a different reporting mechanism.</p> <p>The annual report in each case must be submitted each year by a date</p>

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	<p>advised at www.latrobe.edu.au/research/institutes and will include a financial statement of funds received and expended.</p> <p>The annual report must include a statement that the Constitution has been reviewed and amended in the light of any changes to the Research Centres and Institutes Policy or the Centre's objectives and plans.</p> <p>Details which should be included in a Centre Annual Report:</p> <ul style="list-style-type: none"> • Aims and objectives, rationale • Staffing, including staff of the Centre, staff employed at the Centre and elsewhere with % of time, staff on secondment, visiting staff • Overview/summary/highlights of the year's work • Current research projects, including funding and stage/progress • Financial statement for the last calendar year • Current education role, including undergraduate, postgraduate (with enrolments and completion of higher degrees) and continuing education • Seminar program • Conferences/workshops of the Centre or ones attended by staff/students • Publications • Conference presentations • Other talks and lectures not included elsewhere • Staff contributions in other areas, eg. Committees, reviewing grant applications, reviewing for academic journals, reviewing theses, organisation of conferences and workshops, other dissemination of research funding, submissions, contributions to policy development • Awards • National and international visitors • Reports from staff of work carried out by them overseas • Grants awarded, with funding, amounts and sources. <p>Directors of Centres should also include anything else which would impart a sense of the research activity and energy of the Centre and indicate how its activities could only be achieved by the Centre and not achieved by the individuals as members of Departments/Schools.</p>
<p>6. Three Yearly Reporting</p>	<p>Three years after a Centre has been established, and every three years subsequently or at the time of a Centre review, the Annual Report shall include a summary of the achievements of the Centre related to its earlier plans and also its plan and foreshadowed budgets for the next three year period as well as a report on Key Performance Indicators . The plan should demonstrate connection with relevant University and Faculty plans. The three-yearly report must give evidence that the Centre is a viable academic endeavour at a high level and has substantially met the Key Performance Indicators. If the Key Performance Indicators have not been met substantially, then the three yearly report must include explanations and plans for remedy.</p> <p>A three-yearly report is accelerated to the time of a review of a Centre if this occurs before the end of a three-year period.</p>

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7. Review	<p>The review of a University (respectively Faculty) Centre is conducted every five to six years by a panel containing two members external to the University with expertise in the area(s) of research of the Centre, chaired by a member of the RGSC chosen by RGSC and contains two internal members nominated by the Dean following consultation with the Director.</p> <p>The terms of reference of a review of a University (respectively, Faculty) Centre are decided by the RGSC (respectively, Faculty Board) but will be based on the following standard terms of reference:</p> <ol style="list-style-type: none"> 1. Review the academic activities of the Centre and report on whether these are in accord with the stated aims and objectives for the Centre. 2. Report on the quality of publications and any other research outputs. 3. Review the projected programme of activities for the next five years and comment on its quality, feasibility and the extent to which it is aligned with University and Faculty plans. 4. Recommend to the Research and Graduate Studies Committee on whether the Centre/Institute be permitted to operate for a further period of up to five years, including any recommended changes in the mode of operation and academic objectives.
8. Continuation / Closure	<p>Following the review of a University (respectively, Faculty) Centre, the RGSC (respectively, Faculty Board) shall make a recommendation to the Academic Board (respectively, RGSC) on a further period, up to six years, of University Centre status. Following approval of a further period of operation by Academic Board and consultation with the Director of the Centre and RGSC, the DVC (Research) will set Key Performance Indicators for the following three years of operation of the Centre. These will include targets for involvement of staff in the Centre, publication targets for the work of the Centre involving these staff, external income targets, and targets for activities as well as contributions to research strengths in the University.</p> <p>On receiving a three-yearly report in which there is a substantial failure to meet Key Performance Indicators, the Faculty Board or RGSC may seek further details from the Centre or set up a Working party to conduct a review and to advise it on whether it should recommend that the Centre be permitted to continue or be terminated.</p> <p>Recommendation by a Faculty Board that a Centre close shall be referred to the RGSC for review and decision. Recommendation by RGSC that a Centre close shall be referred to the Academic Board for review and decision. An External Centre expires at the end of the contract period, unless the contract is renewed or it is re-established as a University or Faculty Centre.</p>
Status	<p>Revised format and content. Approved by Academic Board, 10 August 2011, Minute 450.3.3; Research and Graduate Studies Committee June/July 2011. Prior approvals: Academic Board, 10 June 2009, Council on 6 July 2009; Academic Board 11/1994.</p> <p>The implementation of the latest version of these Procedures supersedes all previous versions.</p>

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Approval Body	Academic Board
Initiating Body	Research and Graduate Studies Committee
Definitions	<p>Centres –both Centres and Institutes whose main purpose is research</p> <p>Dean – the Dean of the Faculty specified in the constitution of the Centre</p> <p>Director – the Director of the Centre</p> <p>RGSC – the Research and Graduate Studies Committee</p> <p>DVC R – the Deputy Vice-Chancellor (Research)</p> <p>External Centres – Centres which are established by means of a contract</p> <p>University Centres – Centres which have a budgetary allocation separate to normal Faculty allocations</p> <p>Faculty Centres – Centres other than those specified above.</p>
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Contact person or area	Deputy Vice-Chancellor (Research)