

# University Research Institutes and University Research Centres Procedures

## Section 1 - Purpose / Objectives

- (1) The purpose of this document is to outline the procedures to be followed in the management, review, and establishment of University Research Institutes and University Research Centres (henceforth Institutes and Centres).
- (2) The procedures align with and support the [University Research Institutes and University Research Centres Policy](#).

## Section 2 - Scope / Application

- (3) These procedures apply to the entire University.

## Section 3 - Definitions

- (4) Nil

## Section 4 - Policy Statement

- (5) Nil

## Section 5 - Procedures

Roles	Responsibility
Identify key roles involved in procedural steps	Summarise key responsibilities

- (6) In accordance with the [University Research Institutes and University Research Centres Policy](#), the following procedures have been developed to ensure the smooth operation, establishment, and management of Institutes and Centres.

### Establishment

- (7) This section outlines the process and requirements for the establishment of Institutes and Centres.

### The Process

- (8) The process to establish an Institute or Centre is as follows:
- A formal, written proposal (which includes evidence of consultation with and written support from relevant stakeholders) is submitted to the Pro Vice-Chancellor (Research and Research Training) and the relevant Pro Vice-Chancellor (Colleges and Distinctive Specialisations). All formal proposals to establish Institutes and

Centres must ensure that the requirements outlined clause (9) are addressed

- b. Upon receipt of the proposal, the Pro Vice Chancellor (Research and Research Training) and the relevant Pro Vice-Chancellor (Colleges and Distinctive Specialisations) will analyse and assess the strategic need viability of the proposal, with specific reference made to its financial viability.
- c. Once the proposal's strategic need and viability has been established, written endorsement will be obtained from the Pro Vice-Chancellor (Research and Research Training) and the relevant Pro Vice-Chancellor (Colleges and Distinctive Specialisations), and the proposal will be presented to the Vice-Chancellor for consideration. The Vice-Chancellor may, at his or her discretion, also refer the proposal to other groups, persons or committees for advice.
- d. Following approval from the Vice-Chancellor, the proposal will be presented by the Vice-Chancellor (or delegate) to the University Research Committee and the Academic Board for comment and endorsement. It is within the discretion of the Academic Board to seek further information on the proposal, including from its subcommittees and through University-wide consultation.
- e. In the event that Academic Board endorses the proposal, the Vice Chancellor (or delegate) will make the necessary organisational arrangements for the establishment of the Institute or Centre. The Vice-Chancellor (or delegate) will also announce the formation of the Institute/Centre to the wider-University.

## **Institute/Centre Proposal**

(9) Written proposals to establish Institutes and Centres will analyse and include information on the following:

- a. The proposed name of the Institute or Centre;
- b. The name of the proposed Home College (see clauses (12) and (13) of these procedures);
- c. A list of University organisational units involved with and supportive of the proposal and their level of involvement;
- d. A statement of vision, mission and purpose of the Institute/Centre;
- e. The extent and evidence of endorsement for the establishment of the Institute/Centre from across the University, including written support from the proposed Home College Dean (see clauses (12) and (13));
- f. A detailed outline of the research programme(s) and activities that are to be undertaken. With respect to this, the proposal should make reference to the [University Research Institutes and University Research Centres Policy](#), which normally requires that the scope of the research questions that are examined by Institutes be broad and interdisciplinary, touching on multiple aspects of a research question(s) or problem(s), resulting in multiple research programmes. Centres can, on the other hand, normally apply themselves in a more focused manner, to a single research area or question, and as such are not normally required to have multiple research programmes;
- g. A five year strategic plan which includes:
  - i. A five year financial and business plan;
  - ii. Information on how the proposed Institute/Centre intends to conduct activities that are in accord with, and supportive of, the University's Strategic Plan and other super-ordinate policy documents, including those related to research and teaching and learning;
  - iii. How the proposed Institute/Centre will build on disciplines to develop cross disciplinary approaches in support of research, including likely impact on and collaboration with other University Institutes, Centres and Colleges;
  - iv. Information on how the Institute/Centre intends to meet the required Scale Indicators ( see clause 10);
  - v. A list of long-term (5 years) and short-term (3 years) objectives;
  - vi. The disciplines that will form the focus, activities and mission of the Institute/Centre;
  - vii. The Fields of Research and Socio-Economic Objective to be included within the Institute/Centre;
  - viii. How the Institute/Centre will achieve significant profile and recognition for the University;

- h. How the proposed Institute/Centre will achieve/meet the required strategic criteria (see clauses (69) and (70));
- i. Benchmarking against external bodies and an analysis of existing bodies that operate in the same or similar research area or areas;
- j. The extent and evidence of external support, endorsement and involvement that will result from the formation of the Institute/Centre;
- k. How the Institute/Centre will build upon and enhance the research performance and research grant and publication outcomes of the University, including any supporting evidence;
- l. In what way the people associated with the proposed Institute/Centre are sufficient in number and appropriately qualified and experienced to enable the Institute's/Centre's objectives to be met;
- m. The proposed management structure, including any available information on those proposed to take senior positions

## Scale

(10) In accordance with the University Research Institutes and University Research Centres Policy, Institutes and Centres will be differentiated by their Scale. These procedures outline the method to determine scale, which will be through a series of indicators, to be known as Scale Indicators. To that end, after five years of operation, Institutes and Centres will normally be required to meet the following minimum Scale, as determined by each of the Scale Indicators below. (The five year reference recognises that Institutes and Centres will undergo a 'start-up' period during which they will be building capacity that will enable them to earn income and produce outputs commensurate with these Scale Indicators.)

**Table 1 - Scale Indicators**

Scale Indicator		Minimum Requirement	
	Institute	Centre	
Staff Profile			
Number of Institute or Centre Partners* (headcount/number above 0.4 EFT)	Minimum 15 staff, based on a 3 year rolling average	Minimum 8 staff, based on a 3 year rolling average	
Number of Affiliates* (EFT) *see clauses (50) and (51) below for definitions of 'Partner' and 'Affiliate'	Minimum 15, based on a 3 year rolling average	Minimum 8, based on a 3 year rolling average	
HDR Student Indicators			
Institute or Centre Partners and Affiliates HDR Student Load	At least 3 EFTSL of HDR Student Principal Supervisions	At least 1.5 EFTSL of HDR Student Principal Supervisions	

## Institute and Centre Management

(11) This section outlines the organisational, management and reporting requirements that apply to Institutes and Centres.

### Organisational Home

(12) Institutes and Centres will normally be organisationally situated within a College, which will be known as the 'Home College'.

(13) The Home College will be determined by the Vice-Chancellor (or delegate), and would normally be that which has a discipline and research profile that most closely aligns with the research and discipline profile of the Institute or Centre.

## **Institute and Centre Director**

(14) Institutes and Centres will be managed by a Director, who will normally be full-time and research active.

## **Institute and Centre Directors to Report to Home College Dean**

(15) Institute and Centre Directors will be required to report to the Dean of the Home College.

## **Institute and Centre Director: Relationship to Pro Vice-Chancellor (Research and Research Training)**

(16) In addition to the requirements of clause (15), Directors of Institutes and Centres will have a commensurate reporting line to the Pro Vice-Chancellor (Research and Research Training) on strategic matters relating to research and research training. The organisational relationship is detailed in Figure 1 .

## **Management Committee**

(17) Institutes and Centres will be required to establish Management Committees to oversee and advise on Institute/Centre operations and planning activities. The Management committee will be appointed by and chaired by the Institute/Centre Director, and include representatives from the Institute/Centre, the Home College, other Colleges and organisational units from the wider University. It is expected that the Management Committee will meet at least three times a year.

## **Institute and Centre Advisory Board**

(18) Institutes and Centres will be required to have an Advisory Board. The Advisory Board will have external representatives, (such as from other universities, external research organisations, government, industry and/or the community) and provide links to external stakeholders as well as advice to the Director on matters such as key research and directions in the field. The Advisory Board can also advise on issues related to resources, succession planning, the structure of research programmes and interactions with customers.

(19) Advisory Board Nomination and Appointment

(20) This section outlines the process to be followed in the appointment of Institute and Centre Advisory Board members.

(21) The Institute/Centre director will be responsible for nominating persons to be Advisory Board Members.

(22) Advisory Board member nominations should be discussed with and receive the endorsement of the Vice-Chancellor (or delegate) and Pro Vice-Chancellor (Research and Research Training). Discussion with and endorsement of the Vice-Chancellor (or delegate) and Pro Vice-Chancellor (Research and Research Training) will be supplemented with discussion with and endorsement of the University leader(s) responsible for external affairs where a nomination is of an external person(s).

(23) Upon receipt of endorsement/approval, the Director may proceed to appoint the members to the committee for a term of two years or less.

(24) The Institute/Centre Director must inform the Vice-Chancellor (or delegate), the Pro Vice-Chancellor (Research and Research Training) and the senior University leader(s) responsible for external affairs (in the case of external appointments) of any person who has ended a period of membership of the Advisory Board.

(25) The Institute/Centre Advisory Board will be expected to meet at least twice annually.

## **Organisational Homes: Special Provisions**

(26) A body formally established as a Centre under the auspices of the [University Research Institutes and University](#)

[Research Centres Policy](#) may be organisationally located (nested) in a body formally established as an Institute under the auspices of the policy. For the purposes of this section, such a Centre will be referred to as the Subordinate Unit and such an Institute as the Parent Organisation. Figure 2 depicts this kind of relationship.

(27) In such a case, the Subordinate Unit will normally:

- a. have a leader who reports to the Director of the Parent Organisation and not a Home College Dean (see clause (15));
- b. have a leader who does not report to the PVC (Research and Research Training) on strategic matters relating to research (see clause (16)), but who instead reports to the PVC (Research and Research Training) through the auspices of the Director of the Parent Organisation;
- c. not be required to produce an Annual Report, but will normally contribute to the Parent Organisation's Annual Report;
- d. not undergo separate review but will be reviewed as part of a review of the Parent Organisation;
- e. not be required to establish a Management Committee or an Advisory Board;
- f. be able to claim attribution for research income and publication according to the methodology outlined in the policy and these procedures;
- g. supervise Higher Degree by Research students directly under the nomenclature of the Subordinate Unit and be entitled to claim the Higher Degree by Research Student load, completions, publications and research income according to the methodology outlined in the policy and these procedures;
- h. be entitled to accept Members under the 'banner' of the Subordinate Unit;
- i. be required to meet Scale Indicators (see section (10)) in its own capacity;
- j. be required to meet Performance and Strategic Criteria in its own capacity (see clauses (69) and (70)).

(28) In such a case, the Parent Organisation will:

- a. have a leader (a Director) who reports to a Home College Dean;
- b. normally require the Director of the Subordinate Unit to report to the Director of the Parent Organisation;
- c. have a leader who reports to the PVC (Research and Research Training) on strategic matters relating to research;
- d. be required to produce an Annual Report;
- e. be subject to the review provisions in the policy and these procedures;
- f. be required to establish a Management Committee and an Advisory Board;
- g. normally be required to meet Scale Indicators (see clause (10)) without the inclusion of any input from the Subordinate Unit;
- h. normally be required to meet Performance and Strategic Criteria (see clauses (69) and (70)) without the inclusion of any input from the Subordinate Unit

## **Institute and Centre Reviews**

(29) Institutes and Centres will be reviewed in accordance with clauses (19) and (20) of the [University Research Institutes and University Research Policy](#). This section outlines the process and requirements for Institute and Centre reviews.

### **Review Secretariat**

(30) The Secretariat to the review will be drawn from the Office for Research.

## **Initiating the Review**

(31) Institute/Centre reviews will be initiated by the Vice-Chancellor (or delegate). Normally, the Institute/Centre director will be advised of the review six months in advance of the review date.

(32) Following initiation, the Director of the Office for Research will establish a review schedule and notify the Institute/Centre Director at the beginning of the year in which the review is to take place.

## **Review Panel Composition and Appointment**

(33) The review panel will be appointed by the Vice-Chancellor (or delegate).

(34) The Institute/Centre Director will be invited to provide a list of external panel member nominees with contact details and a brief summary of the reason for nomination. However the Vice-Chancellor (or delegate) will not be bound by the Institute/Centre Director's recommendation and may seek recommendations from others at his/her discretion.

(35) The Vice-Chancellor (or delegate) will issue invitations to the Review Panel.

(36) Panel members will normally be made up of:

- a. Two external members with relevant experience, one of whom will be invited to chair the panel;
- b. A senior representative with management experience from the relevant College;
- c. A senior researcher from within the University who does not have a relationship or membership to the Institute or Centre;
- d. Any other person considered by the person appointing the panel to be valuable for the purposes of the review.

## **Review Standard Terms of Reference**

(37) The Review Panel will normally operate under the following standard Terms of Reference, including:

- a. an assessment of the extent to which the Institute/Centre has met the strategic objectives, purpose and characteristics expected of University Research Institutes/Centres;
- b. an assessment of the Institute/Centre research and research training performance and outcomes;
- c. a consideration and assessment of the role and effectiveness of Institute/Centre management structures;
- d. an assessment of the Institute or Centre against the relevant Performance and Strategic Criteria (see clause (69) and (70));
- e. a determination of the appropriateness and effectiveness in implementation of strategic and operational plans;
- f. a consideration and assessment of whether minimum required Scale Indicators (see clause (10)) have been achieved (on average);
- g. a consideration, analysis and assessment of the financial performance of the Institute/Centre and future financial plans;
- h. an assessment of the extent to which there is effective and comprehensive engagement with staff of the University; for example, through the involvement of Research Associates;
- i. an assessment of the strength and existence of external collaborations and partnerships;
- j. an assessment of the external standing and reputation at both national and international level;
- k. a determination of the Institute/Centre's role and effectiveness in enhancing the University's reputation locally, nationally and internationally;
- l. a consideration and assessment of the strategic, business, operation, research and other plans;
- m. recommendations on the future status and operational arrangements.

(38) It is within the discretion of the Vice-Chancellor (or delegate) to amend these terms.

## **Conduct of the Review**

(39) The Secretariat to the review will make a call for and receive written submissions from persons or groups both internal and external to the Institute/Centre and (where feasible or desirable) external to the University. Review panel members must be provided with submissions and other information at least two weeks before the scheduled meeting.

(40) The Review Panel will convene (normally over a two-day period) and invite the Institute/Centre Director, core staff, research students, external stakeholders (or any other person or group deemed useful) to make a presentation and be interviewed.

(41) The Panel members, with support from the Secretariat, will then prepare a draft Review Report, normally not more than four weeks after the visit. The draft report will report against the Terms of Reference and include commendations, affirmations and recommendations where relevant, and be provided to and seek responses from the:

- a. Vice-Chancellor;
- b. Pro Vice-Chancellor (Research and Research Training);
- c. the relevant Pro-Vice Chancellor (Colleges and Distinctive Specialisations);
- d. the Institute/Centre Director;
- e. the relevant Home College Dean;
- f. any other University person/group deemed appropriate by the panel.

(42) Normally, responses will be received within two weeks.

(43) The Review Panel will then prepare the final report, and provide this to the Vice-Chancellor, Pro Vice-Chancellor (Research and Research Training), relevant Pro-Vice-Chancellor (Colleges and Distinctive Specialisations), Institute/Centre Director and Home College Dean.

(44) Following this, the Vice-Chancellor (or delegate) will develop a response to the final Review Panel report, outlining his/her position on each of the recommendations.

(45) The Vice-Chancellor (or delegate) will then provide the final review report along with his or her assessment and recommendations concerning the future direction of the Institute/Centre to Institute/Centre Director, University Research Committee, the Academic Board, the Pro-Vice-Chancellor (Research and Research Training), the relevant Pro Vice-Chancellor (Colleges and Distinctive Specialisations) and the Home College Dean.

## **Monitoring Review Outcomes**

(46) Within two months of receipt of the final report, the Institute/Centre Director will prepare a report for the Vice-Chancellor, Pro Vice-Chancellor (Research and Research Training), the relevant Pro Vice-Chancellor (Colleges and Distinctive Specialisations) and the Home College Dean outlining the timetable for implementing the recommendations of the Review Panel.

(47) Progress in meeting recommendations will be measured and monitored through the Annual Report process.

## **Annual Reports**

(48) Institutes and Centres must prepare an Annual Report for submission by 5 September of each year. The Annual Report must include the following:

- a. an Executive Summary, including completion of any templates developed by Academic Board or its delegated subcommittees;
- b. a Director's Report;

- c. Research Highlights;
- d. Organisational and Management Structure;
- e. Information on Key Staff;
- f. List of Members;
- g. Performance for the reporting year against the Scale Indicators (see clause (10)), Strategic Criteria and Performance Criteria (see clauses (69) and (70));
- h. Revenue statements for the reporting year and budget projections for subsequent years;
- i. Progress towards meeting targets in strategic and operational plans;
- j. Information on current and graduating Postgraduate Research Students;
- k. Major research sponsors and research funding secured;
- l. International Collaborations;
- m. Research Commercialisation outcomes;
- n. Research Projects;
- o. Honours and Awards;
- p. Seminars; Visitors to the Institute/Centre;
- q. Publications, Invited Lectures and Conference Attendance;
- r. Aims and forward projections including KPIs for at least two years following the reporting year;
- s. Where and when relevant, reference to, outcomes of and updates on previous reviews of the Institute/Centre; and
- t. Where an Institute has a Subordinate Area (as outlined in the University Institutes and University Research Centres policy and these procedures), provide a section that enables the activities of the relevant Subordinate Area to be differentiated and separately understood/analysed from the Parent Organisation (as defined in the University Institutes and University Research Centres policy).

(49) The Annual Report must be submitted by the Institute/Centre Director to Vice-Chancellor (or delegate), who will provide it to:

- a. University Council
- b. the University Research Committee
- c. the Academic Board
- d. Senior Leadership Team
- e. Home College Dean

## **Members of Centres and Institutes**

(50) In accordance with the University Research Institutes and University Research Centres Policy, a Member of an Institute or Centre is a person who formally participates and contributes to the research of an Institutes or Centre. Formal participation is evidenced through the completion of application and eligibility requirements (see clauses (54), (62) and (63)).

(51) This section outlines the responsibilities, levels/types, eligibility requirements, application processes and attribution methodology.

## **Responsibilities of Members**

(52) An Institute or Centre Member is responsible for ensuring the following:

- a. that his/her research is attributed to a College, Institute or Centre in the appropriate manner.
- b. in cases of Affiliate and Associate Membership, that the College(s) of his/her employment is (are) made aware



of his/her status as a Member.

- c. in cases where a person is a Member of multiple Institutes or Centres, that all affected Institutes and Centres are made aware of his/her status as a Member at other Institutes and Centres.

## **Responsibilities of Institutes and Centres to Members**

(53) In accepting a person as a Member, an Institute or Centre commits to providing the Member with resources (physical or otherwise) that demonstrably support and enable the Member to undertake the research that is attributed to the Institute or Centre.

## **Levels of Membership and Eligibility**

(54) The University will have five levels of Institute and Centre Membership, including:

- a. Partner
- b. Affiliate
- c. Associate
- d. Adjunct
- e. Graduate Scholar

(55) Institute and Centre Partners

- a. A Partner of an Institute Centre or is a person who is employed by an Institute or Centre to perform research on an appointment of 0.4 equivalent full-time (EFT) or greater.

(56) Institute and Centre Affiliates

- a. Affiliate status is a means to engage the University's experienced and senior researchers into the research activities and programmes of an Institute or Centre for the benefit of both the Institute/Centre, the researcher and the wider-University. It is available to researchers who have a strong and proven track record in research, and it is expected that Affiliates have a high level of engagement with the Institute's or Centre's research activities.
- b. To be eligible to be an Affiliate of an Institute or Centre, a person must:
  - i. be employed by the University but not have an appointment at an Institute or Centre greater than or equal to 0.4 EFT, and
  - ii. meet the required benchmark for his/her level of appointment as specified in the Measure of Research Activity (MORA) exercise (see [Measuring Individual Research Activity Policy](#)). With respect to the benchmark, this does not apply or extend to new staff members who opt to receive automatic benchmark under the [Measuring Individual Research Activity Policy](#). In such cases, the new staff member will instead normally be eligible to apply to be an Associate (see clause (57)).

(57) Institute and Centre Associates

- a. Associate status is a means to grow both the research activities of the Centre or Institute and a person's research performance, and to enable the person to fulfil and eventually meet the requirements for Affiliate status. The Associate's area of research will be related to the focus of the Centre or Institute.
- b. A person is eligible to be an Associate of a Centre or Institute if he/she:
  - i. is employed by the University but does not have an appointment at an Institute or Centre greater than or equal to 0.4 EFT, and
  - ii. has not achieved the benchmark required for his/her level of appointment as part of the MORA exercise

(58) Institute and Centre Adjuncts

- a. A person who is not employed by Victoria University is eligible to be an Adjunct of a Centre or Institute.
- b. Institute and Centre Adjuncts are a means to promote greater industry and community engagement, as well as to draw on research expertise and insights from persons external to the University.
- c. Normally, such a person will be eligible to be an Adjunct if he/she works in an area or areas of direct relevance to the research of the Centre or Institute.

(59) Institute and Centre Graduate Scholar

- a. Graduate Scholar status is available to the University's Higher Degree by Research students and is a means to ensure that they are engaged with the University's flagship research bodies, both for the student's benefit and for the advancement of the University's research.

(60) A Higher Degree by Research student is eligible to become a Graduate Scholar of an Institute or Centre in one of the following ways:

- a. A Higher Degree by Research student whose Principal supervisor is a Partner of a Centre or Institute will be automatically registered as a Graduate Scholar of that Centre or Institute.
- b. A Higher Degree by Research student whose Principal supervisor is not Partner of a Centre or Institute is entitled to apply to be a Graduate Scholar.

### **Term of Membership**

(61) Normally, the term of Membership is:

- a. for the duration of employment in the case of a Partner.
- b. no longer than three years in the case of an Affiliate, Associate or Adjunct, at which point he/she may apply for renewal of Membership, provided all eligibility requirements are met.
- c. for the duration of his/her enrolment in the case of a Graduate Scholar, provided all eligibility requirements are met.

### **Application Process**

(62) Apart from those cases where a person is automatically eligible to be a Member of an Institute (see clauses (55) and (60)a, any person wishing to become an Affiliate, Associate, Adjunct or Graduate Scholar of an Institute or Centre will be required to complete an application process.

(63) The process is as follows:

- a. An intending or renewing Member must submit a completed Membership application form to the Director of the Institute/Centre, outlining the level of membership that is sought and providing the necessary supporting evidence to the Director of the Institute/Centre (or delegate).
- b. The Director of the Institute/Centre (or delegate) will consider the application, and either approve it, reject it or offer the applicant an alternate level of Membership.
  - i. In the event of approval, the Director of the Institute/Centre (or delegate) will inform the applicant, the Office for Research and the applicant's Home College and ensure that the applicant is entered on the relevant University Membership registry.
  - ii. Where an application is rejected, the Director of the Institute/Centre (or delegate) will advise the

applicant's home college and write to the rejected applicant advising him of the reasons for the rejection, and if applicable (where the application is one of membership renewal), ensure that the required change is made to the relevant University Membership registry.

- iii. where a member is approved but at an alternate level of Membership (Reclassification of Membership, see clauses (65) and (66), the Director (or delegate) will inform the Office for Research, the applicant's Home College and the applicant, providing reasons for the amended offer, and if applicable (where the application is one of membership renewal), ensure that the required change is made to the relevant University Membership registry.

## Appeals

(64) An applicant who has been deregistered, whose application for Membership has been rejected or has been offered a level of Membership that is different to that applied for (Reclassification of Membership, see clause (65) and (66), will be entitled to appeal the outcome. The process will be as follows:

- a. In the first instance, the applicant may appeal in writing to the Director of the Institute/Centre (or delegate), outlining why he/she considers that the decision should be changed, outlining what change he/she requests, and provide supporting evidence additional to that provided in the original application. The Director (or delegate) will then reconsider the application and either amend or maintain the original decision.
- b. If the Director (or delegate) maintains the original decision, the applicant is entitled to appeal in writing and provide all supporting information to the Pro-Vice Chancellor (Research and Research Training).
- c. The Pro-Vice Chancellor (Research and Research Training) will then consider the appeal and uphold or amend the decision made by the Director (or delegate) and advise both the applicant and Director of his/her decision in writing.
  - i. In the event that the Pro-Vice Chancellor (Research and Research Training) requires an amendment to the decision made by the Director (or delegate), the Director (or delegate) will inform the Office for Research and ensure that the required change is made to the relevant University Membership registry.

## Membership Deregistration and Reclassification

(65) Reclassification of Membership refers to changing a Membership type into another. For example, an Associate becomes an Affiliate, or an Affiliate becomes an Associate. Deregistration refers to the termination/cancellation of a Membership.

(66) Deregistration or Reclassification can occur in one of three ways:

- a. Initiated by the Member:
  - i. Deregistration:
    - A Member of an Institute or Centre who no longer wishes to be a Member must advise the Institute/Centre Director in writing. Upon receipt of the written Membership resignation, the Institute/Centre Director will ensure that relevant University Membership registry is amended and that the Member is Deregistered.
  - ii. Reclassification:
    - A Member who wishes to be Reclassified must apply for the requested Membership level by following the application procedures outlined in clause (54).
- b. Initiated by the Director:
  - i. A Director of an Institute or Centre may Deregister or Reclassify a Member who fails to meet the eligibility requirements for his/her Membership for a period of two (2) consecutive years. A Member who has been Deregistered or Reclassified by an Institute/Centre Director may appeal using the provisions in

clause (64).

- ii. A Partner who is no longer employed by the Institute/Centre or by the University may be Deregistered or invited to apply for Adjunct status.
  - iii. A Partner who is no longer employed by the Institute/Centre but who continues to be employed by the University may be Reclassified.
- c. Membership Lapse: An Affiliate, Associate, Adjunct or Graduate Scholar of an Institute or Centre whose Term of Membership has expired and who has not applied for renewal within six (6) months of expiry will be considered "lapsed" and Deregistered. In such a case, the Director will ensure that the required change is made to the relevant Membership registry.
- i. A member who wishes to 'revive' a lapsed Membership will be required to complete the application procedures outline in clauses (62) and (63).

## **Membership and Attribution/Distribution of Research**

(67) The attribution of competitive research income and research publications will be as follows:

- a. Attribution/Distribution of Research Income
  - i. Institutes and Centres can claim external research income that has been reported as part of the University's Higher Education Research Data Collection(HERDC) return that was recorded as income in a designated Institute or Centre cost centre or account.
  - ii. Any income transferred from another University cost centre to an Institute or Centre will not be attributed to the Institute or Centre that received the transfer of income.
- b. Attribution/Distribution of Research Publications and Outputs
  - i. Institutes and Centres can claim Research publications and outputs reported as part of the University's weighted HERDC return that:
    - contain the Centre or Institute name in the publication by-line; or
    - were written by a person who was a Partner of a Centre or Institute at the time of publication.
  - ii. An Institute or Centre cannot claim a publication as an Institute or Centre publication where the author was not a Partner of the Centre of Institute at the time of publication or there is no Centre or Institute affiliation/mention in the by-line.
- c. Method for Counting Research Publications and Outputs
  - i. Counting of research publications and outputs will be weighted following the method used in the HERDC, which is as follows: journal articles, conference papers and book chapters earn 1 point each, books earn 5 points each.
  - ii. In cases of a publication with multiple authors, each VU organisational unit that is represented at the time of publication can claim the full points associated with that publication. This means that the points that accrue from the publication will not be split between the multiple VU organisational units that are represented by the authors of the publication. The presence of an external author or authors has no bearing on the distribution of the points associated with the publication.
  - iii. For example, the 1 point associated with a journal article that is written by a VU author from Institute A, a VU Author from College B and an external author from XYZ University will enable Institute A to earn 1 point and College B to also earn 1 point. However, were the two VU authors in this case both from Institute A, then Institute A would earn 1 point only and not 2 points (that is, 1 point per author). The author representing XYZ University has no bearing on the distribution of the 1 point.

## **6.9. University Membership Registry**

(68) The Office for Research will be required to maintain an electronic Registry of Members (the University

## Strategic and Performance Criteria

### Strategic Criteria

(69) Institutes and Centres must demonstrate their contribution to and achievement of a series of Strategic Criteria. The Strategic Criteria for Institutes and Centres include:

- a. Demonstrated contribution to the University's overall aspirations and goals, including with respect to teaching and learning, research and any other high level goals, as outlined in the Strategic Plan and other super-ordinate documents.
- b. Demonstrated alignment with research focus areas, as outlined in the University strategic plan.
- c. Demonstrated contribution to University research targets as outlined in the University Strategic Plan and the VU Research Plan.
- d. Demonstrated contribution to the University's research reputation.
- e. The ability to be vehicles for the inculcation of research best practice across the University.
- f. The ability to work towards the establishment of a thriving research culture at the University.
- g. The ability to contribute to and demonstrate the building of the University's research capacity.

### Performance Criteria

(70) University Institutes and University Research Centres are expected to meet the following Performance Criteria, determined over a five year period (The five year reference recognises that Institutes and Centres will undergo a 'start-up' period during which they will be building capacity that will enable them to earn income and produce outputs commensurate with these Scale Indicators.):

**Table 2 - Institutes and Centre Performance Criteria**

	Institutes	Centres
HERDC Research Income (Categories 1-4)*		
Institutes and Centres built around the Science, Engineering and Health Disciplines	At least \$1,600,000 p.a., based on a 3 year rolling average	At least \$1,000,000 p.a. based on a 3 year rolling average
Institutes and Centres built around Business, Social Science, Humanities and Creative Arts Disciplines	At least \$800,000 p.a. based on a 3 year rolling average	At least \$500,000 p.a. based on a 3 year rolling average
Total HERDC Research Outputs (weighted by publication type**)		
Institutes and Centres built around the Science, Engineering and Health Disciplines	120	75
Institutes and Centres built around Business, Social Science, Humanities and Creative Arts Disciplines	60	40
Publications in SCImago Q1 or recognised equivalent (%)	65	55
Grant Applications		
Total number of Cat 1-4 research grant applications submitted per annum	At least 20 p.a. based on a 3 year rolling average	At least 10 p.a. based on a 3 year rolling average
Number of Category 1 grants awarded to an Institute or Centres with an Institute or Centre listed as the first Investigator	At least 10 grants over five years	At least 5 grants over five years

\*does not include income from international students

\*\*weighting follows the method used in the HERDC, which is as follows: journal articles, conference papers and book chapters earn 1 point each, books earn 5 points each.

## **Higher Degree by Research Students**

(71) This section outlines a series of procedures and requirements related to Higher Degree by Research Students.

### **Higher Degree by Research Students: Attribution of Research**

(72) In accordance with the policy, an Institute or Centre can claim the Higher Degree by Research Student load and completions in the following manner:

- a. where a Higher Degree by Research student's primary supervisor was a Partner of an Institute or Centre during the period of supervision and the period of primary supervision equated to at least 50 per cent of the duration of enrolment (not including periods of intermission), then all load, completion and/or other relevant indicators associated with that student will be attributed to the Institute or Centre.
- b. where a Higher Degree by Research Student's primary supervisor is not a Partner of an Institute or Centre but has an associate supervisor who is a Partner of Centre or Institute, then all load, completion and/or other relevant indicators associated with that student will be attributed to the organisational unit of the Primary Supervisor.

### **Administrative and Management Recovery Levy**

(73) In accordance with the policy, Colleges may apply an administrative levy of 15 per cent on Institutes and Centres to recover costs associated with the administration and management associated with a student's management and enrolment where:

- a. Higher Degree by Research student receives primary supervision from an employee of an Institute or Centre
- b. the period of primary supervision equated to 50 per cent or more of his/her duration of enrolment, not including period of intermission.

## **Section 6 - Guidelines**

(74) Nil

## Status and Details

<b>Status</b>	Historic
<b>Effective Date</b>	3rd October 2014
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<b>Responsible Officer</b>	Beverley Baugh Executive Director, Research Services 9919 5827
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