

## Research Institutes, Centres and Clusters Procedures

### 1. LEGISLATION/ENTERPRISE AGREEMENT/POLICY SUPPORTED

[Research Management Policy](#)

### 2. IMPLEMENTATION PRINCIPLES

- 2.1. The University will invest significant resources to build research excellence and impact society in a limited number of research areas that are globally significant and internationally recognised.
- 2.2. The fundamental criteria for the formation and continuation of Research Institutes and Research Centres are:
  - Conduct of world standard research
  - Focus on high quality research outputs
  - Significant Higher Degree by Research load
  - Sustainable critical mass of researchers
- 2.3. Research Institutes and Research Centres are both areas of major research activity; Research Institutes and Research Centres are differentiated by the relative standing of their research and demonstrated research capacity, with the objective that highly successful Research Centres will have the potential to become Research Institutes.
- 2.4. The titles 'University Research Institute' (or 'Research Institute') and 'University Research Centre' or ('Research Centre') shall only be used by registered University Research Institutes and Centres within the University.
- 2.5. Research Institutes and Research Centres will align with the strategic research directions of the University.
- 2.6. The title 'Institute' requires the approval of the Deputy Vice-Chancellor, Research.
- 2.7. The title 'Centre' requires the approval of the Deputy Vice-Chancellor, Research.
- 2.8. Strategic Research Institutes established under earlier Procedures are covered by these Procedures.
- 2.9. University Research Institutes and Centres are branded in accordance with the [Brand Communications Policy](#).

### 3. PROCEDURAL DETAILS

#### Research Institutes

#### Formation of Research Institutes

- 3.1. An application for the formation of a Research Institute is completed in accordance with the [Guidelines for Research Institutes and Centres \(Guidelines\)](#).
- 3.2. Applications are recommended by the relevant faculty research and development committee/s and Pro Vice-Chancellor/s to the Deputy Vice-Chancellor, Research.
- 3.3. The formation of a Research Institute is approved by the Vice-Chancellor on the recommendation of the Academic Board.
- 3.4. Research Institutes have a term of up to five years subject to satisfactory annual performance. Evidence of satisfactory performance in a performance assessment may result in renewal for up to a further five years.
- 3.5. Once approved, a Research Institute is registered by the Research Office at Curtin.

#### Operation of Research Institutes

- 3.6. Research Institutes undertake collaborative research and develop strong and enduring links with other institutions regionally, nationally and internationally to achieve international impact and recognition.
- 3.7. A Research Institute has direct accountability to the relevant Pro Vice-Chancellor/s or delegate.

- 3.8. Research performance indicators and targets are recommended by the relevant Pro Vice-Chancellor and approved by the Deputy Vice-Chancellor, Research.
- 3.9. A Research Institute develops a strategic plan and enters into a performance agreement with relevant Pro Vice-Chancellor/s and the Deputy Vice-Chancellor, Research, based on the performance indicators and targets, and reports annually on performance.
- 3.10. Research Institutes are expected to attract external grants and contracts but may receive financial support from the University for a designated period.
- 3.11. Research Institutes operate in accordance with the [Guidelines](#).
- 3.12. Variation to the name of a Research Institute is approved by the Deputy Vice-Chancellor, Research in consultation with the relevant Pro Vice-Chancellor/s.

#### Advisory Board

- 3.13. The members of the Advisory Board are approved by the Deputy Vice-Chancellor, Research in consultation with relevant Pro Vice-Chancellor/s and the Director of the Institute.
- 3.14. The appointment of the Chair of the Advisory Board is approved by the Deputy Vice-Chancellor, Research.

#### Annual Reporting

- 3.15. A Research Institute submits an annual report to relevant Pro Vice-Chancellor/s and the Deputy Vice-Chancellor, Research in accordance with the [Guidelines](#).
- 3.16. The Deputy Vice-Chancellor, Research reports annually on Research Institutes to the University Research and Development Committee and to the Academic Board.

#### **Performance assessment of Research Institutes**

- 3.17. A performance assessment of a Research Institute may be conducted at any time by the Research Office at Curtin at the direction of the Vice-Chancellor, the Deputy Vice-Chancellor, Research, relevant Pro Vice-Chancellor/s, or the Academic Board.
- 3.18. The Research Office at Curtin will conduct a performance assessment of a Research Institute in relation to its objectives and performance indicators, in the fifth year of operation or sooner.

#### **Closure of Research Institutes**

- 3.19. The closure of a Research Institute may be approved at any time by the Vice-Chancellor on the recommendation of Academic Board.
- 3.20. The Closure Plan for a Research Institute is approved by relevant Pro Vice-Chancellor/s and the Deputy Vice-Chancellor, Research.
- 3.21. The Director, or nominated officer, is responsible for implementing the Closure Plan.

#### **Research Centres**

##### **Formation of Research Centres**

- 3.22. An application for the formation of a Research Centre is completed in accordance with the [Guidelines](#).
- 3.23. Applications are recommended by the relevant faculty research and development committee/s and relevant Pro Vice-Chancellor/s to the Deputy Vice-Chancellor, Research.
- 3.24. The formation of a Research Centre is approved by the Vice-Chancellor on the recommendation of the Academic Board.
- 3.25. Research Centres have an initial term of up to three years subject to satisfactory annual performance. Evidence of satisfactory performance in the performance assessment may result in renewal for up to a further three years.
- 3.26. Once approved, a Research Centre is registered by the Research Office at Curtin.

##### **Operation of Research Centres**

- 3.27. Research Centres undertake collaborative research and develop strong and enduring links with other institutions regionally, nationally and internationally to achieve international impact and recognition.

- 3.28. A Research Centre has direct accountability to the relevant Pro Vice-Chancellor/s or delegate.
- 3.29. Research performance indicators and targets are set by the relevant Pro Vice-Chancellor and approved by the Deputy Vice-Chancellor, Research.
- 3.30. A Research Centre develops a strategic plan based on the performance indicators and targets, and reports annually on performance.
- 3.31. Research Centres are expected to attract external grants and contracts but may receive financial support from the University for a designated period.
- 3.32. Financial support for Research Centres is primarily the responsibility of the relevant Faculty/s and School/s.
- 3.33. Research Centres operate in accordance with the [Guidelines](#).
- 3.34. Variation to the name of a Research Centre is approved by the Deputy Vice-Chancellor, Research.

#### Annual Reporting

- 3.35. A Research Centre submits an annual report on its activities to relevant Pro Vice-Chancellor/s and the Deputy Vice-Chancellor, Research in accordance with the [Guidelines](#).
- 3.36. The Deputy Vice-Chancellor, Research reports annually on Research Centres to the University Research and Development Committee and to the Academic Board.

#### **Performance assessment of Research Centres**

- 3.37. A performance assessment of a Research Centre may be conducted at any time by the Research Office at Curtin at the direction of the Vice-Chancellor, the Deputy Vice-Chancellor, Research, relevant Pro Vice-Chancellor/s, or the Academic Board.
- 3.38. A self-assessment will be undertaken by a Research Centre in the third year, or sooner, of its operation. The assessment shall include the activities of the Research Centre against its objectives and, where there is an application for continuation, an assessment of financial viability.
- 3.39. The report on the self-assessment is submitted to relevant Pro Vice-Chancellor/s and the Deputy Vice-Chancellor, Research.

#### **Closure of Research Centres**

- 3.40. The closure of a Research Centre may be approved at any time by the Vice-Chancellor on the recommendation of Academic Board.
- 3.41. The Closure Plan for the Research Centre is approved by the relevant Pro Vice-Chancellor/s and the Deputy Vice-Chancellor, Research.
- 3.42. The Director/Convenor, or nominated officer, is responsible for implementing the Closure Plan.

#### **Research Clusters**

##### **Formation, Operation and Closure of Research Clusters**

- 3.43. Groups of researchers within a Faculty, or across Faculties, aspiring to recognition as a Research Centre may, as a developmental step, apply for recognition to the relevant Pro Vice-Chancellor as a Research Cluster.
- 3.44. Application for recognition shall be on the basis of alignment with the University's research focus, and capability and commitment of the researchers. Approval for formation of a Research Cluster does not imply a University funding obligation.
- 3.45. If a Research Cluster involves more than one Faculty, then a single host Faculty is identified to assume leadership of the Cluster on behalf of all participants.
- 3.46. Research Clusters have a term of three years, after which, they will demonstrate potential to move to Research Centre status, continue or be closed.
- 3.47. A performance self-assessment will be undertaken by a Research Cluster in the third year, or sooner, of its operation.
- 3.48. The relevant Pro Vice-Chancellor is the approval authority for the formation, registration, operation, performance assessment and closure of Research Clusters.

#### 4. RESPONSIBILITIES

In addition to any responsibilities set out in section 3,

#### 5. SCOPE OF PROCEDURES

This procedure applies to all staff and University Associates.

##### 5.1 Exceptions

- (a) External Collaborative Research Centres are covered by the *External Collaborative Research Centres Procedures*.

#### 6. DEFINITIONS

(Note: Commonly defined terms are located in the [Curtin Common Definitions](#). Any defined terms below are specific to this document)

##### **Advisory Board**

Advisory Boards are groups of people who advise on the strategic direction and operation of a Research Institute. Board members are chosen to ensure a spread of expertise and promote and support the activities of the Research Institute. The membership includes representation from internal and external stakeholders including industry, government and community members as appropriate. Advisory Boards have no delegated authority, management responsibility or authority to direct Research Institutes. Board membership is not remunerated.

##### **Research Centre**

An area of major research activity of national excellence in research germane to the University's vision, mission and goals, of significance to the community, and meriting repute in the national and international contexts. Research Centres provide a focus for research activity within a specialised area or discipline.

##### **Research Clusters**

Groups of researchers within or across Schools and Faculties working in a specific area and aspiring to recognition as a Research Centre.

##### **Research Entity**

A registered University Research Institute, University Research Centre or External Collaborative Research Centre which is hosted by the University.

##### **Research Institute**

An area of recognised international and national excellence in research in the University. Research Institutes are established to facilitate, extend and enable the promotion and conduct of research, development and related activities in well-defined areas of research strength that advance the achievement of the University's vision, mission and goals. Research Institutes are larger than Research Centres, and produce higher quality and more significant research.

#### 7. SCHEDULES

*Nil*

#### 8. RELATED DOCUMENTS/LINKS/FORMS

##### **External**

[Australian Code for the Responsible Conduct of Research](#)

##### **Internal**

Academic Governance Framework (forthcoming)

[Brand Communications Policy](#)

[Guidelines for Research Institutes and Centres](#)

[Research Enabling Plan](#)

[Responsible Conduct of Research Procedures](#)

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<b>Approval Authority</b>	Deputy Vice-Chancellor, Research
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## REVISION HISTORY

Version	Approved/ Amended/ Rescinded	Date	Committee / Board / Executive Manager	Approval / Resolution Number	Key Changes and Notes
A005/P4.1	Approved	03/08/2001	Academic Senate	AS 213/01	Appendix G to Attachment 1 to Document No AS 74/01
A005/P4.2	Amended	31/08/2001	Academic Senate	AS 248/01	Attachment 1 to Document No CC 129/01, Amendment to 5.7 (i) effective 1 January 2002
A005/P4.2	Amended	29/09/2001			Registers as approved by the Director, Research and Development
A005/P4.3	Amended	10/01/2002			Registers as approved by the Deputy Director, Research and Development
A005/P4.4	Amended	05/04/2002	Academic Senate	AS 65/02	Document AS 41/02, Registers; Added the Key Centre for School of Science and Mathematics Institute to Schedule 1 & deleted Science and Mathematics Education Centre from Schedule 2
A005/P4.5	Amended	09/04/2002			Centre of Excellence in Mass Spectrometry officially renamed the John de Laeter Centre of Mass Spectrometry
A005/P4.6	Amended	03/05/2002	Academic Senate	AS 94/02	Document No AS 54/02, Registers; Added the West Australian Centre for Geodesy to Schedule 2
A005/P4.7	Amended	27/05/2002			Registers; Added the Interactive Virtual Environments Centre (VEC) to Schedule 3
A005/P4.8	Amended	01/08/2003	Research and Development Committee	UR&D 18/03	Document No UR&D 27/03 Various Amendments to the Registers. Noted by Academic Senate (Res: AS 235/03 Doc No AS 108/03, RES: AS 278/03 Doc AS 131/03, Res: AS 279/03 Doc No AS 132/03, Res: AS 280/03)
A005/P4.9	Amended	27/09/2005	Planning and Management Committee	PMC 116/05	Item 6 of PMC 20/05 Agenda, Addition of Section
A005/P4.10	Amended	17/04/2007	Planning and Management Committee	PMC 22/07 (ii) (Endorsed by PMC)	Document No 00398/07 (To Support 3 Tier Management Structure Comprising Faculties, Schools and Departments)
A005/P1.5	Amended	09/05/2007	Council	C 58/07	Document No 00390/07
A005/P4.11	Approved	27/07/2007	Academic Board	AB 162/07	Document No 00806/07
	Administratively Updated	20/03/2008	Director, Legal and Compliance Services		Reformatted and Amended to Reflect Organisational Chart

	Amended	27/11/2009	Academic Board	AB 302/09	Attachment 2 to Document No 01505/09
	Amended	28/06/2013	Academic Board	AB 111/13	Attachment 1 to Document No 00658/13 (includes title change)
	Administratively Updated	06/10/2015	Director, Legal and Compliance Services	EC 76/15	Executive Manager Title Changes
	Approved	23/05/2018	Deputy Vice-Chancellor, Research	EM1807	Unconditional