

Research Entity

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1.0 Purpose

This Procedure provides for the operationalisation of the *Research Entity Policy*.

This document sets out the requirements and processes associated with the establishment, membership, governance and support, monitoring of progress and performance, and disestablishment of Griffith University Research Entities that are within the scope of the Griffith University *Research Entity Policy*.

2.0 Scope

This Procedure applies to all Research Entities that have been established or propose to be established under the Griffith University *Research Entity Policy*.

3.0 Procedure

3.1 Establishment

There is a two-stage process for establishing a Research Entity for an initial three-year term, and the expectation is they will typically be hosted in a School/Department within one of the Griffith Academic Groups unless by exception approved by the Deputy Vice Chancellor (Research).

Stage 1: Expression of Interest (EOI) to Establish a Research Entity

Submissions of an EOI for the establishment of a new Research Entity can be made at any time but will normally be considered in parallel with the timings of the Research Entity Annual Progress Report process.

An EOI submission will be made through completion of a pro forma document and will propose the:

- Research Entity name, hosting arrangements, and initial term.
- Strategic purpose, rationale, and objectives of the Research Entity.
- Governance, management, and partners of the Research Entity.
- Identified sources of external funding for the Research Entity.

The EOI will require a statement of support and endorsement from the Group Pro Vice Chancellor/s. The EOI will then be submitted via the Office for Research to the Establishment and Review Committee for consideration.

Following the review of an EOI, and on the recommendation of the Establishment and Review Committee, the Deputy Vice Chancellor (Research) will authorise and communicate one of the following outcomes:

- Support to establish a Research Entity with a set of agreed objectives, and budget allocation to support the delivery of agreed objectives (for example, for Entities with an established track record of success seeking re-establishment under the new policy),

- Invitation to submit a full application (for example, for proposed new Entities), or
- Notification that the application has been unsuccessful.

Stage 2: Full Application to Establish a Research Entity

Full Applications will be in a format defined by the Deputy Vice Chancellor (Research) and will, in addition to content detailed in the EOI, provide:

- A strategic plan describing its proposed initiatives and activities, and outcomes.
- A collaborator/competitor and landscape analysis.
- A business plan including a budget showing estimated income and expenditure for the first term of the Research Entity.
- A 3-year research grant and external research funding submissions plan including major research initiatives.
- A business case outlining projected return on investment as appropriate given disciplinary norms and available external funding sources. Return on investment includes financial returns and should also include research quality or research impact outcomes.
- Relevant KPIs aligned to Griffith University ambitions.
- Performance criteria and proposed researcher/member development model for each membership category.
- An overview of how the Research Entity will be governed including leadership and membership.
- Professional staff support requirements, accommodation, infrastructure, and equipment arrangements.

The Full Application will require a statement of support and endorsement from the Group Pro Vice Chancellor/s. The Full Application will then be submitted via the Office for Research to the Establishment and Review Committee for consideration.

Following the review of the Full Application, and on the recommendation of the Establishment and Review Committee, the Deputy Vice Chancellor (Research) will authorise and communicate one of the following outcomes:

- Support to establish a Research Entity with a set of agreed objectives, and budget allocation to support the delivery of agreed objectives, or
- Notification that the application has been unsuccessful.

3.2 Membership

A Research Entity will have a Research Entity Director. Depending on the size of the Entity and the scope of its activities, the Research Entity Director may propose a Deputy Director.

It is the responsibility of the Research Entity Director to propose formal membership criteria, however there is an expectation that Research Entities will lead and actively support capability development of Mid-Career Researchers (MCRs), Early Career Researchers (ECRs), and Higher Degree by Research (HDR) candidate as part of their mandate.

A Research Entity may set the criteria for membership within the following categories:

Core members include Griffith University academic staff at any level. A core member may belong to more than one Research Entity but not more than two Entities (defined as Research Entities established under the *Research Entity Policy*).

HDR candidate members must be enrolled in a HDR program at Griffith University, have a member

of the Entity as their principal or associate supervisor, and be undertaking a research project aligned with the Entity's research objectives. Masters and Honours students should be encouraged to participate in activities of the Research Entity as appropriate.

Affiliate members for example adjunct appointments, industry partners, and other individuals.

3.3 Governance, Financial and Institutional Support

3.3.1 Governance and Management

The establishment criteria and performance measures for Research Entities will be approved by the Deputy Vice Chancellor (Research) and reviewed annually by the Establishment and Review Committee. While a Research Entity's strategy, leadership and membership may change over time, the establishment criteria and performance objectives should be met throughout the reporting and review processes.

The Research Entity Director is responsible for the research strategy, governance, financial management, and engagement that aligns with University, Group and School/Department plans, and is accountable for delivery of the agreed objectives of the Research Entity. The Research Entity Director will work with the host Group or School/Department in support of the overall objectives of the University including learning and teaching, and recruitment and development of academic staff. Directors may be supported by a Deputy Director to assist with the management of these responsibilities (via appropriate approvals and delegations).

3.3.2 Financial Support

There is an expectation that research undertaken through Research Entities will be primarily supported by external research funding spanning competitive, contract and philanthropic sources, in accordance with their strategic plan and agreed performance indicators benchmarked against disciplinary norms and available external funding sources.

Research Entities can apply for internal investment; however, there is no guaranteed level of support or University investment permanency. Under normal circumstances, Research Entities will have University investment certainty for three years, subject to meeting agreed establishment performance objectives within each annual reporting period. Should the Research Entity be renewed (see section 3.4.2 below) then approval may be sought for continuation of internal investment with that decision informed by performance and/or continued strategic need.

The University's financial and resource investment for the Research Entity will be informed by the agreed goals of the Entity, may be revised annually based on performance against key research indicators, as set by the Establishment and Review Committee, and will consider disciplinary norms. The model will be reviewed regularly by the Deputy Vice Chancellor (Research) in response to external policy drivers and subject to internal resource availability.

3.3.3 Institutional Support

The University will provide the Director with funding sufficient to support delivery of the agreed objectives. For example, to support the running of the Research Entity, leveraging of external funding opportunities and researcher capability development.

The University also provides in-kind support for Research Entities with, for example:

- The development of Major Research Initiatives.
- Research development, research grant, Consultancy and Commercial Research (CCR) submissions, contract administration.
- Research policy and procedures, research management systems and guidance on compliance, ethics and integrity.

- Entity performance reporting and secretariat support for annual and final year reviews, and support with research impact planning.
- Commercial partnerships, Intellectual Property (IP) commercialisation, enterprise establishment and innovation and entrepreneurship support.
- HDR admission, orientation, candidature management, scholarships, and thesis examination.
- Philanthropic and fundraising initiatives.
- Strategic marketing and communications direction, assisting Research Entities to develop, manage, implement, and optimise marketing and communications plans.
- Training and advice for eResearch systems and tools.
- Professional development, training, advocacy, and publication support.

Schools and Groups will provide University investment and in-kind support for Research Entities with, for example:

- Accommodation, facilities, and research infrastructure.
- Health and safety, and technical support.
- Relevant professional and administrative support.
- Co-investments toward Major Research Initiatives.

3.4 Reporting of Progress and Performance

3.4.1 Annual Progress Report

Research Entities will provide a brief Annual Progress Report to the Establishment and Review Committee via the relevant Head of School/Department, Dean Research and Group Pro Vice Chancellor. The report should be submitted on the reporting template provided by the Office for Research and by the requested timeline.

The Establishment and Review Committee will evaluate the Research Entity's progress and performance against the agreed objectives.

Based on this assessment, the Establishment and Review Committee will provide strategic advice to the Research Entity based on progress towards agreed performance objectives and make a recommendation to the Deputy Vice Chancellor (Research) on the continuity or adjusted level of internal investment into the Research Entity.

3.4.2 Final Year Review and Renewal

Research Entities must submit a detailed report six months prior to the end of its approved term using the provided template from the Office for Research. As part of the final year review process Research Entities may apply to extend for a further term.

The Establishment and Review Committee will evaluate performance by considering the Research Entity's initial strategic plan, its achievements during the review period, its contribution toward meeting Griffith University objectives, and continued strategic need.

Based on this assessment, the Establishment and Review Committee will recommend to the Deputy Vice Chancellor (Research) whether to extend a Research Entity for a further term with a set of agreed objectives, and budget allocation to support the delivery of agreed objectives. The Entity will be disestablished following its term if not recommended for extension, or if an extension is not sought as outlined above.

3.5 Disestablishment

The Deputy Vice Chancellor (Research), after consulting with the Establishment and Review Committee, may authorise the disestablishment of a Research Entity if it is deemed to no longer be an appropriate mechanism to support University strategic objectives or is failing to achieve its agreed objectives.

4.0 Definitions

Research Entity: A University Research Centre or Institute that has been established and maintained in accordance with the *Research Entity Policy and Procedure*.

5.0 Information

Title	Research Entity Procedure
Document number	2023/0000495
Purpose	This Procedure sets out the requirements and processes associated with the establishment, operation, monitoring of progress and performance, and disestablishment of Griffith University Research Entities that are within the scope of the Griffith University <i>Research Entity Policy</i> .
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Approving authority	Deputy Vice Chancellor (Research)

6.0 Related Policy Documents and Supporting Documents

Legislation	N/A
Policy	Research Entity Policy
Procedure	N/A
Local Protocol	N/A
Form	Expression of Interest form to Establish a Research Entity