

## RELATED PROCEDURES FOR THE RESEARCH AND SPECIALIST CENTRES POLICY

<b>Section</b>	Research
<b>Contact</b>	Office of Provost
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### Procedures:

#### 1. Establishment of Centres

##### 1.1 Application and approval process for establishment of College Research and Specialist Centres

A proposal to establish a new College Centre can be submitted for consideration at any time to the Pro Vice- Chancellor of the relevant College. The proposal must be made on the template Proposal to Establish a College Research/Specialist Centre available on the Research Operations website, and should contain the following information:

- (a) proposed name of the College Centre
- (b) brief purpose statement
- (c) statement of strategic value of the proposed Centre, including alignment with the University's *Strategy*, *Research Strategy* and other strategic goals of the College and the University (including commitments to role-modelling excellent practice as a Tiriti o Waitangi-led institution)
- (d) sufficient information to show that the proposed Centre meets the principles for establishing and operating Centres as set out in the Research and Specialist Centres Policy, in particular: evidence that creation of the Centre is likely to promote academic endeavors and opportunities at a level over and above what could be achieved if the staff involved operated individually or in small groups within existing Academic Units
- (e) description of planned activities, with a focus on whole-of-centre projects/programmes and/or equipment that depend for their success on the combined contributions of the experts involved
- (f) key performance indicators for the initial three years of operation
- (g) indicative timeline of key activities, milestones and expected outputs for initial three years of operation
- (h) indicative annual budget for the initial three years of operation, showing likely revenue and costs
- (i) host Academic Unit(s), and a list of all Academic Units the Centre will work with and across
- (j) name and position of the academic staff member or members who will lead the Centre, and name and position of line manager(s) of the leader(s)
- (k) where appropriate, staffing plan including total number of core staff, identified staff members (where known), and plans for the support and development of emerging researchers/academic staff and postgraduate students
- (l) evidence that establishment of the Centre is supported by the relevant head(s) of Academic Unit(s)

- (m) where relevant, proposed physical location of the Centre and plans for access to any key facilities (for example, laboratories, equipment)
- (n) where relevant, an initial plan for the 'virtual' or online presence of the Centre including website location, and
- (o) where appropriate, evidence of consultation with relevant internal or external stakeholders.

The Pro Vice-Chancellor will consider the proposal to establish a Centre against the following criteria:

- (a) the strategic purpose and principles for establishing and operating Centres as set out in the Research and Specialist Centres Policy
- (b) the objectives and characteristics of College Centres as set out in the Research and Specialist Centres Policy, namely: lifting the profile of a disciplinary or multi-disciplinary area of strategic relevance to the teaching and/or research strategies of the University, with a view to enhancing reputation, post graduate research degree student success, and collaboration
- (c) the strategic value of the proposed Centre, including alignment with the University's *Strategy* and *Research Strategy* and other strategic goals of the College and the University
- (d) the extent to which the proposed Centre name reflects the strategic purpose and scope of the Centre, and
- (e) the extent to which the proposal presents a robust case for the establishment and sustainable operation of a Centre.

The Pro Vice-Chancellor may:

- (a) recommend to the Provost that the proposal be accepted and that the Centre be established
- (b) request additional information or that the applicant(s) make amendments before resubmitting the proposal for reconsideration, or
- (c) decline the proposal.

The Pro Vice-Chancellor's decision (accompanied by any comments or feedback) will be notified in writing to the applicant(s).

In the event that the Pro Vice-Chancellor recommends that a new Centre be established, this recommendation must be notified in writing to the Provost, accompanied by a signed, supporting statement and a copy of the proposal. The recommendation must confirm that all costs associated with the proposed Centre will be a cost to the host Academic Unit(s). The Provost will consider the recommendation against the criteria above, and will:

- (a) confirm the recommendation of the Pro Vice-Chancellor
- (b) request additional information or amendments to the proposal and its further consideration, or
- (c) decline the proposal.

Any decision will be made after full consideration of the advice of, and in close consultation with, the Pro Vice-Chancellor. The Provost's decision (accompanied by any comments or feedback) will be notified in writing to the Pro Vice-Chancellor.

The approved proposal template provides the basis for the College Centre Agreement, the template for which can be found on the Research Operations website. It must be signed by the leader(s) of the Centre, the Pro Vice-Chancellor and the Provost.

## 1.2 Application and approval process for establishment of University Research and Specialist Centres

The establishment of a University Centre is as significant as the establishment of a new Academic Unit,

and therefore requires a rigorous process for approval. University Centres are subject to all Commercial Activities Group requirements and must also identify and assess risk in accordance with the Risk Management Policy and report risk via the Performance and Risk Report for their host Academic Unit(s).

The application and approval process for University Centres is set out here.

A preliminary proposal to establish a new University Centre can be submitted at any time to the Provost for consideration by the University Research Committee at the next ordinary meeting. The preliminary proposal should include:

- (a) proposed name of the University Centre
- (b) brief purpose statement
- (c) brief statement of strategic value of the proposed Centre, including alignment with the University's *Strategy*, *Research Strategy* and other strategic goals of the University (including our commitment to role-modelling excellent practice as a Tiriti o Waitangi-led institution)
- (d) name and position of the academic staff member or members who will lead (or co-lead) the Centre, and name and position of line manager(s) of the leader(s)
- (e) a list of proposed staff who will be involved and their relevant expertise and level of international recognition
- (f) an indication of likely external partners
- (g) indicative budget model, staffing levels and reporting lines (including an indication of staff salaries, equipment, student EFTS apportionment, overheads and operating costs)
- (h) evidence that establishment of the Centre is supported by the relevant heads of Academic Units and Pro Vice-Chancellor(s)
- (i) existing or planned funding sources
- (j) existing or planned stakeholder or end-user involvement, and
- (k) statement on how the proposed Centre meets the principles for establishing and operating Centres as set out in the Research and Specialist Centres Policy, and in particular, evidence that creation of the Centre is likely to promote academic endeavors and opportunities at a level over and above what could be achieved if the staff involved operated individually or in small groups within existing Academic Units.

The University Research Committee will consider the preliminary proposal to establish a Centre against the following criteria:

- (a) the strategic purpose of Centres as set out in the Research and Specialist Centres Policy
- (b) the principles for establishing and operating Centres, and the requirements for University Centres, as set out in the Research and Specialist Centres Policy
- (c) the strategic value of the proposed Centre, including alignment with the University's *Strategy* and *Research Strategy* and other strategic goals of the University
- (d) a preliminary assessment of potential risks and risk management strategies, and
- (e) the extent to which the preliminary proposal indicates the potential to establish and operate a sustainable Centre.

The University Research Committee may invite the applicant(s) to submit a full proposal for consideration or decline the preliminary proposal. The decision of the Committee (accompanied by any comments or feedback) will be notified in writing to the applicant(s) and relevant Pro Vice-Chancellor(s).

The full proposal to establish a new University Centre is submitted to the Provost for consideration by the University Research Committee at its next ordinary meeting. The proposal will be developed in consultation with internal and external stakeholders (including where appropriate end-users, collaborators, and partner organizations). The Research Operations office will provide advice and assistance with the development of the proposal as required.

The full proposal must be submitted within three months of the date of the approval of the preliminary

proposal. It must be made on the template Proposal to Establish a University Research/Specialist Centre available on the Research Operations website, and must contain the following information:

- (a) copy of the preliminary proposal
- (b) proposed research or specialist objectives and outcomes for a three to five-year period
- (c) description of planned activities, with a focus on whole-of-centre projects/programmes and/or equipment that depend for their success on the combined contributions of the experts involved
- (d) key performance indicators for the initial three years of the Centre
- (e) timeline for milestones for the initial three years of the Centre
- (f) clear evidence of engagement with external stakeholders (for example, government, industry, iwi/Māori or community)
- (g) details of international collaborations
- (h) details of governance and management structure including the name and position of Centre director(s) (if known) and the name and position of the line manager of the director(s), and, where relevant, proposed terms of reference and membership of the Governance Board or equivalent
- (i) details of an initial marketing plan and/or approach to increasing the reputation and impact of the Centre
- (j) where relevant, details of proposed or existing Memoranda of Understanding with partner organisations
- (k) annual budget for the initial three years of operation, showing all revenue and costs
- (l) external funding plan for a three to five-year period, and statement of expected return on investment
- (m) host College, and a list of all Academic Units and Colleges the Centre will work with and across
- (n) signed agreements with the Pro Vice-Chancellor of the host College and, as relevant, with the Pro Vice-Chancellors of other participating Colleges, setting out the budget and operating models (including arrangements for cost and revenue sharing)
- (o) staffing plan including total number of core staff, identified staff members (where known), and plans for the support and development of emerging researchers/academic staff and postgraduate students
- (p) proposed physical location of the Centre and plans for access to any key facilities (for example, laboratories, equipment), and
- (q) publication, IP management (including Indigenous Data Sovereignty), knowledge transfer and commercialization plans (where relevant).

The University Research Committee will consider the full proposal to establish a Centre against the following criteria:

- (a) the strategic purpose of Centres as set out in the Research and Specialist Centres Policy
- (b) the principles for establishing and operating Centres, and the requirements for University Centres, as set out in the Research and Specialist Centres Policy
- (c) the strategic value of the proposed Centre, including alignment with the University's *Strategy* and *Research Strategy* and other strategic goals of the University,
- (d) a full assessment of potential risks and risk management strategies
- (e) the extent to which the proposed Centre name reflects the strategic purpose and scope of the Centre, and
- (f) the extent to which the proposal presents a robust case for the establishment and sustainable operation of a Centre.

The University Research Committee may:

- (a) accept the proposal and confirm the establishment of the Centre
- (b) request additional information or that the applicant(s) make amendments before

- (c) resubmitting the proposal for reconsideration, or  
decline the proposal.

The decision of the University Research Committee (accompanied by any comments or feedback) will be notified in writing to the applicant(s) and relevant Pro Vice-Chancellor(s).

The approved proposal template provides the basis for the University Centre Agreement, the template for which can be found on the Research Operations website. It must be signed by the leader(s) of the Centre, the Pro Vice-Chancellor of the host College and the Provost.

### **1.3 Application and approval process for establishment of National Research and Specialist Centres**

The establishment of a National Centre is normally initiated through a successful funding application by the University to host such a Centre. Massey University participation in a National Centre requires careful evaluation of the associated benefits and risks. The term 'participation' comprises instances where Massey University is considering being part of a consortium bidding for such a Centre, whether as the lead or as a collaborating organisation, or is invited to join an existing Centre.

The decision to participate in a National Centre will be made by the Vice-Chancellor or nominee. When partner organisations are involved in the proposal to establish a National Centre it must be supported by the University Vice-Chancellor and submitted to the University Council for approval. When seeking support for participation in a National Centre, the Massey University proposer must:

- (a) obtain in-principle support in writing from the relevant Head(s) of Academic Unit(s) and Pro Vice-Chancellor who will provide oversight of the Centre that Massey University's participation in the proposed Centre will be of strategic value to the University, and
- (b) provide the Vice-Chancellor or nominee with sufficient information to evaluate the risks and benefits of participation, including:
  - (i) the magnitude and type of funding expected
  - (ii) the likely number of research students involved
  - (iii) the scale of the research and/or other programmes or activities envisaged
  - (iv) a list of potential benefits, costs, and risks to Massey University of participation in the National Centre, and
  - (v) the extent to which the purpose, role and composition of the Governance Board or equivalent is likely to ensure good governance and the operation of the Centre in a business-like manner.

Successful applications for National Centres do not require a formal application and approval process for establishment as set out in these procedures. Sign-off by the Vice-Chancellor or nominee on the funding application and the subsequent contract is sufficient. All National Centres must have an approved Centre Agreement. All reasonable steps must be taken to ensure that the application and any post award negotiation and subsequent contract are as consistent as possible with Massey University policy, especially in respect to costing and cost recovery.

## **2. Annual reporting**

- 2.1 Each College and University Centre will submit an annual report to the Pro Vice-Chancellor of the host College by 31 March each year. A copy of the annual report will also be provided to Director Research Operations for referral to the Provost. In addition, a Research Centre will provide a copy of its annual report to the relevant College Research Director/Deputy Pro Vice-Chancellor (Research). The Provost will provide an annual report on Centres to the University Research Committee.

National Centres will conform to the requirements of external funding agencies or organisations with respect to reporting. Such reports will be submitted to the Vice-Chancellor or nominee.

- 2.2 Annual reports must be completed using the annual reporting template available from the Research

Operations website, and must contain the following information for the relevant year:

- (a) name of the Centre
- (b) name of the Centre leader(s)
- (c) brief description of the general aims of the Centre
- (d) names and Academic Units of participating members
- (e) names of postgraduate students involved in the Centre and list of research degree completions
- (f) brief summary of the year in perspective (maximum 300 words)
- (g) a report against the key performance indicators
- (h) activities of international and national significance, including international visitors or collaborations, commercial activities, conference contributions, seminars, courses, or workshops
- (i) a report against the specific goals for the year
- (j) details of publications and other outputs
- (k) budget report, including external revenue generation where appropriate, and
- (l) an outline of plans for the next year, noting any resource implications.

### 3. Review of Centres

3.1 The University will carry out formal reviews of all College and University Centres on a three to five-year cycle. The purposes of a review are to assess:

- (a) the role of the Centre by reviewing its objectives, to ensure they are internally consistent, and that they are aligned with the strategic goals of the University and the host Academic Unit and/or College, and with the Strategic Purpose and Principles for Centres as outlined in the Research and Specialist Centres Policy
- (b) the Centre's level of activity to ensure that the Centre is appropriately categorized and named, and to ensure that Centres with low levels of activity are formally disestablished
- (c) the appropriateness of the Centre's governance and administrative processes (including succession planning) to ensure that such arrangements will serve the Centre adequately in the future
- (d) the Centre's adherence to reporting and accountability requirements, and
- (e) the level of support being provided to the Centre and the extent to which additional support may be required in the future.

In addition, a review will recommend improvements, re-categorization, re-naming or disestablishment of the Centre as appropriate.

A review of a College or University Centre may also be requested by the Centre leader(s) or by the Pro Vice-Chancellor of the host College, to the Provost.

National Centres will conform to the requirements of external funding agencies or organisations with respect to reviews. Any review requests, procedures and reports will be notified to the Vice-Chancellor or nominee.

3.2 The terms of reference for the review of College Centres will be established and maintained by the University Research Committee, with the approval of the relevant Pro Vice-Chancellor, and will be communicated not less than six months in advance of any review.

3.3 The terms of reference for the review of University Centres will be established and maintained by the University Research Committee and will be communicated not less than six months in advance of any review.

3.4 The Chair and members of the review panel for a College Centre will be appointed by the host Pro Vice-Chancellor, in consultation with the Provost and the College Research Director/Deputy Pro Vice-Chancellor (Research).

- 3.5 The Chair and members of the review panel for a University Centre will be appointed by the Provost, in consultation with the host Pro Vice-Chancellor, the College Research Director/Deputy Pro Vice-Chancellor (Research) and, as relevant, with the Pro Vice-Chancellors of other participating Colleges.
- 3.6 The composition of any review panel should reflect an understanding of the cultural context of the Centre. Where appropriate, a representative from a related external partner or stakeholder may be included on a review panel.
- 3.7 Centres will be invited to prepare a self-review report for consideration by the review panel.
- 3.8 Reviews will include an assessment of the extent to which the Centre meets the Strategic Purpose of Centres and the Principles for establishing and operating Centres, as outlined in the Research and Specialist Centres Policy. In addition, the review may include assessment of the following additional criteria, as appropriate:
- (a) delivery against the characteristics of the relevant category of Centre
  - (b) international and national levels of influence
  - (c) level of external funding and progress towards/maintenance of self-sufficiency
  - (d) level of staff development, including capacity building, mentoring and succession planning
  - (e) numbers of postgraduate students (and degree completions)
  - (f) appropriateness of Centre's objectives, goals, and future development plans
  - (g) extent to which the Centre has met its objectives
  - (h) achievement against the Centre's key performance indicators
  - (i) appropriate and effective levels of activity given the category of the Centre and the number of staff involved
  - (j) extent to which administrative and financial arrangements are well understood and functioning appropriately
  - (k) regularity and adequacy of annual reporting
  - (l) appropriateness of Centre name and branding
  - (m) comparative national and international standing and reputation of the Centre, and/or
  - (n) financial viability of the Centre.
- 3.9 The review panel must conduct the review in accordance with its terms of reference and the requirements of confidentiality. It may invite the director and/or other members of the Centre to meet with the panel. It must complete and submit a review report to the University Research Committee. A copy of the review report must be provided to the relevant Pro Vice-Chancellor(s). The report should include any examples of good or exemplary practices, and recommendations for improvement, re-categorization, re-naming and/or disestablishment of the Centre.
- 3.10 The University Research Committee will consider the recommendations of the review panel and, in consultation with the relevant Pro Vice-Chancellor(s), make a determination that the Centre should:
- (a) continue in its current form, or
  - (b) continue with changes (actions, support, milestones, key performance indicators and/or timeframes, and any necessary amendments to the Centre Agreement, to be specified), or
  - (c) be disestablished (reasons to be specified).

#### **4.0 Risk management**

##### **4.1 College Centres**

No specific measures required.

##### **4.2 University Centres**

University Centres are subject to all Commercial Activities Group requirements and must also identify and assess risk in accordance with the Risk Management Policy and report risk via the Performance and Risk Report for their host Academic Unit.

#### **4.3 National Centres**

National Centres for the purposes of the Commercial Activities Group are deemed to be high risk and are subject to all Commercial Activities Group reporting requirements associated with this risk level. These Centres must also identify and assess risk in accordance with the Risk Management Policy and report risk via the Performance and Risk Report.

### **5.0 Change of status of a Centre**

#### **5.1 College and University Centres**

A Centre's status may be changed following formal review (as outlined in these Procedures), or directly by the Provost in the event of serious or repeated breaches of University policy.

The decision to change the status of a College or University Centre will require a clear plan, including disestablishment timetable, communication with Centre staff and students, funding agencies and University and external stakeholders where relevant. This plan will be developed in consultation between the Provost and the host Pro Vice-Chancellor, Centre Leader(s), relevant Heads of Academic Units, College Research Directors/Deputy Pro Vice-Chancellors (Research), and Pro Vice-Chancellors of other participating Colleges.

#### **5.2 National Centres**

Any change of status for a National Centre would normally involve agreement of both the Host and the funder and would normally be triggered by a change in funding status. As with the process for disestablishment, it is expected that the Director of the Centre will establish whether continued funding for the Centre is available at least 18 months prior to the termination of the contract for which full funding is provided. If funding is to be withdrawn, the Director must negotiate a formal exit plan with the funder and the Provost or nominee at least a year in advance of the end of the contract for which full funding is provided.

### **6.0 Disestablishment of Centres**

#### **6.1 College and University Centres**

A Centre may be disestablished following formal review (as outlined in these Procedures), or directly by the Provost in the event of serious or repeated breaches of University policy.

The decision to disestablish a College or University Centre will require a clear plan for the orderly winding down of the Centre operations, including: disestablishment timetable, communication with Centre staff and students, funding agencies and University and external stakeholders where relevant; provisions for adequate storage and treatment of data or equipment, and removal of the Centre website. This plan will be developed in consultation between the Provost and the host Pro Vice-Chancellor, Centre Leader(s), relevant Heads of Academic Units, College Research Directors/Deputy Pro Vice-Chancellors (Research), and Pro Vice-Chancellors of other participating Colleges.

Where a Centre has been disestablished, it may continue to be named as a Massey University Research Centre for a period of not more than two years from the date of decision.

#### **6.2 National Centres**

Wind down of National Centres will normally occur at the discretion of the funder. However, it is expected that the Director of the Centre will establish whether continued funding for the Centre is available at least 18 months prior to the termination of the contract for which full funding is provided. If funding is to be withdrawn, the Director must negotiate a formal exit plan with the funder and the Provost or nominee at least a year in advance of the end of the contract for which full funding is provided.

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