ECU Strategic Research Institutes and Centres Procedures

**Guidelines to be used in conjunction with the Conducting Research with Integrity Policy**

**Guideline Owner: Deputy Vice-Chancellor (Research)**

**Keywords:**

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## DEFINITIONS

The [University Glossary](http://policysearch.ecu.edu.au/PolicySearch/Record?q=PolType%3A%22Glossary%22&sortBy=recNumber) applies to these Procedures. In addition, the following definitions apply:

| Name | Description |
| --- | --- |
| Director | The person occupying the role responsible for the management and operation of an ECU Strategic Research Institute or Centre appointed in accordance with these Procedures. |
| ECR | An Early Career Researcher, being an ECU academic staff member who is undertaking research, normally within five years of completing their doctoral qualification (relative to opportunity). |
| ECU Strategic Research Centre | A group of researchers of sufficient scale centred around a cohesive research topic of strategic significance to the University. The Centre produces above world-standard research with strong national and/or international academic recognition in its field. |
| ECU Strategic Research Institute | A group of researchers of sufficient scale centred around a cohesive research topic of strategic significance to the university. The Institute produces well above world-standard research and is a national and/or international academic leader in its field. |
| External Research Advisory Committee | A governance body of an ECU Strategic Research Institute or Centre that provides advice to the Director and Leadership Team on strategic matters relating to the entity. |
| HDR | Higher Degree by Research candidate. |
| Lead School | The School named as the Lead School at the point of establishment of an ECU Strategic Research Institute or Centre. |
| Leadership Team | Employed staff of the University who contribute to research leadership within the ECU Strategic Research Institute or Centre. The Leadership Team supports the Director with the strategic, operational and financial management of the ECU Strategic Research Institute or Centre. |
| Member | A Member of the ECU Strategic Research Institute or Centre, as in accordance with these Procedures. |
| MCR | A Mid-Career Researcher, being an ECU academic staff member who is undertaking research, normally five to ten years from completing their doctoral qualification (relative to opportunity). |
| Procedures | The ECU Strategic Research Institutes and Centres Procedures. |
| Research | The creation of new knowledge and/or the use of existing knowledge in a new and creative way to generate new concepts, methodologies, inventions and understandings. This could include synthesis, collation, evaluation and analysis of previous research to the extent that it is new and creative and/or that it informs policy and professional practice. |
| Steering Management Committee | A governance body of an ECU Strategic Research Institute or Centre that provides advice to the Director on the operational direction of the ECU Strategic Research Institute or Centre. |
| SRF | The Strategic Research Fund of the University which supports research in line with the University’s Strategic Plan and is overseen by the Deputy Vice-Chancellor (Research). |

## INTENT

These Procedures are intended to outline the principles, characteristics, governance, establishment and disestablishment of ECU Strategic Research Institutes and Centres.

## ORGANISATIONAL SCOPE

## These Procedures apply to all ECU Strategic Research Institutes and Centres established under the Conducting Research with Integrity Policy. They do not apply to School-based Research Centres or research groups.

## PROCEDURES

* 1. **Objectives of the Scheme**

The ECU Strategic Research Institutes and Centres Scheme aims to support and grow clusters of research excellence at ECU in areas of strategic significance to the University. Through establishment and support of high-performing research entities, the Scheme aims to:

* Enhance ECU’s research reputation.
* Grow ECU’s research focus through building scale in certain research areas.
* Enhance ECU’s research excellence and research culture, including through strong mentorship and supervision of EMCRs and HDR candidates.
* Increase ECU’s engagement with research end-users and increase research income.
  1. **Characteristics of ECU Strategic Research Institutes and Centres**

ECU Strategic Research Institutes and Centres must support and be consistent with the University’s Strategic Plan and Strategic Research Plan.

ECU Strategic Research Institutes and Centres are expected to enhance the research excellence, research culture, HDR training, research engagement and impact, research income, and research reputation of ECU.

ECU Strategic Research **Institutes** demonstrate the following characteristics:

* A cohesive and critical mass of productive researchers with an appropriate weighting of research-active senior academics, EMCRs and HDR candidates (recommended minimum Membership of 10 research-active academics).
* A well-defined research program that centres around a coherent research topic.
* A world-class research program that is well above world-standard, as evidenced by well above world average citation performance and/or other measures of research excellence.
* Engagement in significant national and international academic collaborations, with recognition as a national and/or international leader in the research area of the Institute.
* Engagement with industry, government, and/or other non-academic research end-users to collaborate on research and drive impact from the Institute’s research.
* Generation of research income at a multiplier of the university investment in the Institute, of at least a 4:1 return on the SRF investment.
* Delivery of high-quality research training for HDR candidates.
* Provision of mentorship and career development opportunities for HDRs, ECRs, and MCRs.
* An appropriate and robust governance structure, including an External Research Advisory Board and a Steering Management Committee.
* Strong leadership through the Director and Leadership Team.

ECU Strategic Research **Centres** demonstrate the following characteristics:

* A cohesive and critical mass of productive researchers with an appropriate weighting of research-active senior academics. EMCRs and HDR candidates (recommended minimum Membership of 5 research-active academics).
* A well-defined research program that centres around a coherent research topic.
* An excellent research program that is above world-standard, as evidenced by above world average citation performance and/or other measures of research excellence.
* Engagement in significant national and/or international academic collaborations, with strong national and/or international recognition for the research of the Centre.
* Engagement with industry, government, and/or other non-academic research end-users to collaborate on research and drive impact from the Centre’s research.
* Generation of research income at a multiplier of the university investment in the Centre, of at least a 4:1 return on the SRF investment.
* Delivery of high-quality research training for HDR candidates.
* Provision of mentorship and career development opportunities for HDRs, ECRs and MCRs.
* An appropriate and robust governance structure, including an External Research Advisory Committee and a Steering Management Committee.
* Strong leadership through the Director and Leadership Team.
  1. **Establishment or Renewal**

Following the initial establishment of ECU Strategic Research Institutes and Centres in 2020 (commencing operations in 2021), future rounds for applications to establish an ECU Strategic Research Institute or Centre will be made at the discretion of the Deputy Vice-Chancellor (Research).

All applicants seeking to establish or renew an ECU Strategic Research Institute or Centre must meet, or demonstrate capacity to meet, all the characteristics of an ECU Strategic Research Institute or Centre as laid out in these Procedures and put forward an application subject to the process outlined by the Office of the Deputy Vice-Chancellor (Research).

All applications must be endorsed by the Executive Dean and the Associate Dean (Research) of the Lead School and other Schools that are involved in the application through proposed Membership in the Institute or Centre.

Applications are to be assessed by a panel consisting of internal and external panellists as selected by the Deputy Vice-Chancellor (Research). The Deputy Vice-Chancellor (Research) is to be the Chair for the selection panel.

Applications will be assessed by the panel against the following criteria:

* Clear research program of strategic significance and value to ECU (25%)
* Existing strong research quality and capacity to continue to produce above world-standard research (25%)
* Demonstrated ability and capacity to sustainably generate external research income at a rate of 4:1 return on SRF investment (25%)
* Effective and sustainable leadership and governance structures, with strong plans for growth (25%)

Any Conflicts of Interest arising during the application process must be formally stated in accordance with the University’s Conflict of Interest Policy. Any member of the selection panel with a substantial conflict of interest relating to a given application shall abstain from all assessment and ranking discussions and decisions in relation to that application.

Applications may be deemed unsuccessful at any time throughout the application process and progressing to a further stage does not guarantee formal establishment as an ECU Strategic Research Institute or Centre. The University reserves the right not to approve any applications.

Recommended applicants from the selection panel are to be endorsed by the Vice-Chancellor. As per the Conducting Research with Integrity Policy, the Vice-Chancellor has final delegation on the establishment and disestablishment of an ECU Strategic Research Institute or Centre.

ECU Strategic Research Institutes and Centres will be implemented as approved by the Deputy Vice-Chancellor (Research). Any significant changes to the research remit or strategy as approved at the initial establishment or renewal of an ECU Strategic Research Institute or Centre must be approved by the Deputy Vice-Chancellor (Research).

At establishment, the ECU Strategic Research Institute or Centre must create a finance project code through the Research Business Support team ([researchbusiness@ecu.edu.au](mailto:researchbusiness@ecu.edu.au)), allowing ongoing financial reporting to the Deputy Vice-Chancellor (Research).

The Office of the Deputy Vice-Chancellor (Research) will maintain the official register of approved ECU Strategic Research Institute or Centres.

* 1. **Funding**

ECU Strategic Research Institutes and Centres are funded by Schools and the SRF.

The ECU Strategic Research Institute and Centre Scheme supports existing high-achieving research groups at ECU to further grow in scale and performance. SRF funding is intended to supplement existing School funding for research, not to cover existing School research costs.

ECU Strategic Research Institutes and Centres are eligible to receive University SRF funding for the timeframe and at the amount approved by the Deputy Vice-Chancellor (Research). The amount of SRF funding that an ECU Strategic Research Institute or Centre receives will depend on its size, the budget required to reach its research objectives taking into consideration discipline specific needs, and anticipated return on SRF investment, subject to the financial status of the University.

Proposed budget items that SRF funding will support over the funding term must be approved by the Deputy Vice-Chancellor (Research) prior to the funding term. Proposed expenditure by Schools towards the ECU Strategic Research Institute or Centre must be approved by the Executive Dean. An initial budget will be prepared by the Director for approval by the Deputy Vice-Chancellor (Research) and the Executive Dean of the relevant Schools. Budgets must include the initial allocation of employed staff (academic and professional) to work within an ECU Strategic Research Institute or Centre.

SRF funding must be spent in accordance with the applicable Funding Guidelines and with a high degree of transparency and accountability to the Deputy Vice-Chancellor (Research). After this initial budget agreement, ongoing monitoring of the actual expenditure of the SRF funding is required. During monthly budget monitoring with School Finance, Directors and Finance must check that expenditure has occurred within the applicable Funding Guidelines. Alternate use of SRF funding for substantial items (over $20,000) not specified in the initial budget must receive prior approval (via email confirmation) from the Deputy Vice-Chancellor (Research).

Expenditure will be reported annually to the Office of the Deputy Vice-Chancellor (Research) through the annual reporting process. Directors are to report on their annual expenditure and its alignment with their approved budget and the funding guidelines. Items that are not aligned with the funding guidance should have appropriate rationale evidenced and approval from DVCR. Ultimately, it is the responsibility of the Director to ensure SRF funding has been appropriately expended.

Ongoing SRF funding, even within the agreed funding term, is subject to:

* Compliance with reporting and review criteria as set out in these Procedures.
* Institute or Centre performance.
* The availability of SRF funding.
* External policy drivers as considered relevant by the Deputy Vice-Chancellor (Research).

Additional SRF funding during the term of the ECU Strategic Research Institute or Centre will only be provided in exceptional circumstances, and at the discretion of the Deputy Vice-Chancellor (Research). Additional SRF funding will almost always only be allowed in instances where the financial return on SRF investment key performance indicator is met.

A major purpose of SRF funding is to enable groups to become financially sustainable through attracting and leveraging additional external research income. ECU Strategic Research Institutes and Centres are expected to be largely funded by external funding sources.

* 1. **Reporting and Key Performance Indicators**

Key performance indicators for ECU Strategic Research Institutes and Centres should be closely associated with demonstrating performance against the key characteristics of an ECU Strategic Research Institute or Centre. The key performance indicators for every ECU Strategic Research Institute and Centre that must be reported back to the Office of the Deputy Vice-Chancellor (Research) on an annual basis include:

* Research income including return on SRF investment.
* Research grants awarded and research grants applied.
* Scholarly Outputs produced by the Centre (including quantity and quality metrics).
* Number of HDR candidates, enrolments, and completions.

Key performance indicators must be measured using the data definitions and reporting parameters stipulated by the Office of the Deputy Vice-Chancellor (Research). Only outputs that have been produced by Members of the Institute or Centre, AND as part of the Institute or Centre’s research program may be counted as an output of the Institute or Centre.

Institutes and Centres may have additional Key Performance Indicators that relate directly to their individual aims and objectives, to be decided by the Leadership Team.

Key performance indicators are to be used by the Institute or Centre to monitor performance of the entity over time, and to guide decisions around their activities. They must be reported regularly as a standing item to the Steering Management Committee, and reported annually to the Office of the Deputy Vice-Chancellor (Research) through the Annual Report.

**Research Income reporting:**

Return on investment is calculated by total research income divided by the total SRF investment provided through the ECUSRIC Scheme. This does not include other SRF support that may be provided to a Centre or Institute or its members such as Category 1 top-ups or HDR scholarships. Research income here is defined as per the Department of Education’s Higher Education Research Data Collection (HERDC) specifications.

Only research projects that are brought in by ECU Strategic Research Institute or Centre Members and are directly related to the research program of the Institute/Centre may be counted as research income for the relevant Institute or Centre. The Deputy Vice-Chancellor (Research) has final delegation over what research projects are and are not eligible to be counted as research income for an Institute or Centre. ECU Finance is responsible for collation of research income information on behalf of Institutes and Centres and the Office of the Deputy Vice-Chancellor (Research).

Research income should only be attributable to one ECU Strategic Research Institute or Centre, however if income can be attributed to one or more Institutes or Centres, apportionment towards respective Institutes/Centres should be decided between the Finance manager and the Chief Investigators, with final approval at the discretion of the Deputy Vice-Chancellor (Research).

**Reporting expectations:**

ECU Strategic Research Institutes and Centres are required to comply with the reporting requirements as follows:

* Report to the Lead School’s Research and Research Training Committee. School Research and Research Training Committee meetings are to include a standing item on their agenda for Directors to provide an update on Institute and Centre activities. Steering Management Committee minutes are to be provided to the School RRTC on a quarterly basis.
* Report performance against key performance indicators to the Steering Management Committee as a standing agenda item.
* Annual report to the Office of the Deputy Vice-Chancellor (Research) that includes the below information and must be approved by the ADR and Executive Dean prior to submission to the Office of the Deputy Vice-Chancellor (Research) to ensure appropriateness of data included and information reported.
* Annual financial expenditure, as part of annual reporting.
* Any other additional reporting or information requests as required by the Deputy Vice-Chancellor (Research).

Annual reports should cover the research activities and operations of the Institute or Centre during the previous calendar year. They must contain the following information:

* List of members and other staff associated with the Institute or Centre.
* Key performance indicators at the end of the previous calendar year, compared with previous years where the data is available.
* Financial statements covering:
  + Funding expended, including a description of how the expended funding aligned with the approved initial budget and Funding Guidelines.
  + Funding received, including research income and grants awarded.
* Notable research projects, research achievements and awards.
* Demonstration of how the activities of the Institute or Centre link to ECU’s Research Plan.
* Governance activities, including the number of Steering Management Committee and External Research Advisory Committee meetings held per year, membership, and attendance.

Annual reports must receive formal sign off from the Executive Dean and Associate Dean (Research). Executive Deans and Associated Deans (Research) are to review the appropriateness of the provided data and information, checking that the data meets the reporting parameters. The Office of the Deputy Vice-Chancellor (Research) is to provide formal comment on the provided Annual reports to the Director.

An annual progress report on ECU Strategic Research Institutes and Centres will be provided to the Research and Higher Degrees Committee from the Office of the Deputy Vice-Chancellor (Research). The aim of this it to inform the Committee, at a high level, the progress and performance of the Scheme.

* 1. **Governance, roles, and responsibilities**

ECU Strategic Research Institutes and Centres shall operate in a manner that adheres to the University’s existing policies and procedures.

ECU Strategic Research Institutes and Centres must have robust governance structures. The potential for ECU Strategic Research Institutes and Centres to have diverse governance structures that vary from what is outlined in these procedures is recognised and subject to Deputy Vice-Chancellor (Research) approval.

The proposed governance structure of an ECU Strategic Research Institute or Centre must be approved by the Deputy Vice-Chancellor (Research) at the time of its establishment or renewal. Any significant changes to the governance structure of an ECU Strategic Research Institute or Centre must be approved by the Deputy Vice-Chancellor (Research).

**Director and Leadership Team**

An ECU Strategic Research Institute or Centre must be led by a Director, with evidence of deputising roles within the Leadership Team (Deputy Director or equivalent). ECU Strategic Research Institute and Centres must have clear succession plans.

The Director of an ECU Strategic Research **Institute** must meet the following criteria:

* Be a current substantive employee of ECU at the time of appointment.
* Be a Level E academic.
* Holds either an existing Teaching and Research or Research Focused Scholar appointment with a minimum research allocation of 50% at the time of appointment.
* Dedicate 1.0 FTE to the role.

The Director of an ECU Strategic Research **Centre** must meet the following criteria:

* Be a current substantive employee of ECU at the time of appointment.
* Be a Level E or Level D academic.
* Holds either an existing Teaching and Research or Research Focused Scholar appointment with a minimum research allocation of 50% at the time of appointment.
* Dedicate a minimum of 0.6FTE to the role (It is not expected that Director of an ECU Strategic Research Centre will need to devote 1.0 FTE to this role. All their research workload allocation should be dedicated to the Centre).

The role of the Director is to manage the entity to deliver on the objectives of the entity as agreed at establishment or renewal with the Deputy Vice-Chancellor (Research).

The Director is responsible for:

* The management and operations of the associated ECU Strategic Research Institute or Centre.
* Leadership of research activities and staff in the Institute or Centre. The Director may undertake line management responsibilities for staff employed directly to the Centre.
* Strategic planning and implementation of activities of the Institute or Centre, ensuring alignment between the Institute or Centre’s research plan and the University’s research plan (through collaboration with the ADR).
* Ensuring the operations of the Institute or Centre adhere to the specifications of these Procedures.

The Deputy Director holds these responsibilities in the absence of the Director.

The Director is accountable to:

* The Deputy Vice-Chancellor (Research)
* The Executive Dean of the Lead School
* Their line manager (in instances where this is not the Executive Dean of the Lead School).

**Steering Management Committee**

The Steering Management Committee provides advice to the Director and the Leadership Team on operational matters of the ECU Strategic Research Institute or Centre.

The Steering Management Committee is to:

* Meet at least quarterly but may be more frequent at the discretion of the Chair.
* Include a standing item on the monitoring of the entity’s key performance indicators.
* Provide reports or information to other governance bodies (Eg. External Research Advisory Committee), where requested.

It should be comprised of the following standing members and may have others at the discretion of the Chair. There should be at least one research active staff member from each participating School. ECU Strategic Research Institutes and Centres are particularly encouraged to seek membership from the professional service centres of the University:

* Chair (usually the Director)
* Leadership Team
* Associate Dean (Research) of the Lead School
* Early career researcher
* HDR candidate

**External Research Advisory Committee**

The External Research Advisory Committee shall provide advice to the Director and Leadership Team on matters relating to research conduct and strategic focus. This Committee should meet at least annually. In carrying out its functions, the External Research Advisory Committee may consult or seek information from the Steering Management Committee.

The External Research Advisory Committee shall be chaired by an independent, external to ECU Chair with relevant external expertise, and drawn from relevant academic, government or industry sectors.

**Minimum Governance Documentation**

At a minimum, each ECU Strategic Research Institute and Centre will have the following governance documents:

* External Research Advisory Committee Terms of Reference.
* Steering Management Committee Terms of Reference.
* List of Members, including both Core Members and Associate Members (this must be kept up to date and available to provide to the University upon request).
* Strategic Plan, Business Plan or similar document, that clearly links the operations of the entity to ECU’s Research Plan and outlines the planned activities of the Centre or Institute over the funding term.
* Key Performance Indicators for the entity over the funding term.

**Relationship to Schools**

There must be a high degree of transparency between Schools and ECU Strategic Research Institutes and Centres, with School leadership well aware of the operations, activities, and expenditure of ECU Strategic Research Institutes and Centres.

One School must be nominated as the Lead School of an ECU Strategic Research Institute or Centre. For Institutes and Centre’s with cross-School Membership, the Lead School will normally be the School where the Director holds their substantive appointment.

Lead Schools will administer all funds received on behalf of the ECU Strategic Research Institute or Centre (this includes SRF, School based and external funds) and assist the Institute or Centre to comply with its reporting and review requirements.

HDR Members should be enrolled through the School of employment of their Principal Supervisor.

The **Associate Dean (Research)** holds an important oversight role and is responsible for:

* Ensuring alignment between the Institute or Centre’s strategic plan and the School/University’s Research Plan.
* Ensuring alignment between the Institute or Centre’s activities and the School’s processes for research.
* Ensuring appropriate reporting of the Institute or Centre’s activities and performance to the School and the University.

The Associate Dean (Research) of the Lead School shall:

* Review and endorse applications for establishment or renewal as ECU Strategic Research Institute or Centres.
* Review and provide input to the Institute or Centre’s strategic or business plans.
* Be a member of the Steering Management Committee, providing operational advice to the Institute or Centre’s Leadership Team.
* Review and sign off on the appropriateness of the information and data provided in the annual report.
* Review annual expenditure, ensuring appropriate use of the funding.
* Ensure that there is a standing item at the School Research and Research Training Committee for Directors to provide an update on Centre or Institute activities and that these updates are appropriately captured in the minutes.
* Ensure that Steering Management Committee minutes are reported to the School Research and Research Training Committee on a quarterly basis.
* Ensure that research outputs of the Institute or Centre are documented in School annual reports, newsletters, and other updates.

The Associate Dean (Research) and the Executive Dean of the Lead School hold responsibility for accountability of the Institutes and Centres within their school. They should not be members of the Centre or Institute, or on any Governance structures other than the role of the ADR on the Steering Management Committee. The Executive Dean, along with the Associate Dean (Research) must review and sign off on the appropriateness of the data and information included in Institute and Centre annual reports.

**Membership of ECU Strategic Research Institutes and Centres**

Members of ECU Strategic Research Institutes and Centres may be existing academic staff at ECU, staff who are employed and salaries funded through the ECU Strategic Research Institute or Centre (usually on a contract basis), or relevant HDR candidates.

Different levels of membership to accommodate different contributions of researchers to an Institute or Centre may be developed. Core Members are members who dedicate 100% of their research allocation to the research of the Institute or Centre, and meet the following requirements:

* Be conducting research of direct relevance to the research program of the entity.
* Be a research-focused or research-teaching scholar at any level.
* Have a demonstrated track record of producing above world-standard research or are on a clear trajectory towards this, relative to their career stage.

The percentage of a staff member’s research contribution to an ECU Strategic Research Institute or Centre shall be agreed by the staff’s line manager and the Associate Dean (Discipline).

For HDR candidates to be Members of an ECU Strategic Research Institute or Centre, they must meet the following criteria:

* Enrolled in a School at the University in a relevant Higher Degree by Research program.
* Can be at any stage of candidature but must be working on a project that is directly related to the ECU Strategic Research Institute’s or Centre’s research program.
* The HDR’s supervisory team shall be largely comprised of Members of the relevant ECU Strategic Research Institute or Centre, drawn from the School of enrolment.

All Members are expected to drive a culture of research excellence at the University and uphold the highest standards of research integrity.

It is expected that Membership of an ECU Strategic Research Institute or Centre will attract significant benefits to the Member.

Core Members of an ECU Strategic Research Institute or Centre, including the Director, and any part of the Leadership Team, are not able to be Core Members of other Institutes or Centres. It is permissible for staff to be Members of more than one ECU Strategic Research Institute or Centre provided their membership level of the second Institute or Centre is not higher than an Associate Member, and their overall percentage of research time allocated does not exceed that allowed under the staff member’s substantive appointment.

* 1. **Review**

ECU Strategic Research Institutes and Centres will typically be established for a period of three to five years, at the discretion of the Deputy Vice-Chancellor (Research). Prior to the end of the funding term, the Institute or Centre will be reviewed to determine continued funding. The University is not obliged to renew any ECU Strategic Research Institute or Centre for further periods.

The formal review process may be undertaken as part of an application process, or as a separate review process. The formal review will include a robust assessment of performance against key performance indicators, the entities activities over the funding period, and how the entity performs against the key characteristics of an ECU Strategic Research Institute and/or Centre. The formal review will be assessed by the Deputy Vice-Chancellor (Research) and/or other relevant individuals as determined by the Deputy Vice-Chancellor (Research).

**Disestablishment**

At any time during the term of an ECU Strategic Research Institute or Centre, the Deputy Vice-Chancellor (Research) may recommend to the Vice-Chancellor that an Institute or Centre be disestablished. Circumstances where this recommendation may be made include, but are not limited to, the following:

* Reporting and review processes indicate that the ECU Strategic Research Institute or Centre performance is unsatisfactory or consistently falls short of key performance indicators.
* The ECU Strategic Research Institute or Centre no longer complies with or meets the strategic objectives of the University.
* Significant research integrity breaches occur within the ECU Strategic Research Institute or Centre.
* Membership of the ECU Strategic Research Institute or Centre falls below the levels prescribed or there has been a loss of key members.
* The ECU Strategic Research Institute or Centre is not recommended for reestablishment following review.

In instances where an ECU Strategic Research Institute or Centre is disestablished, there may be opportunity for the group to transition into a School-based Research Centre or research group, to occur at the discretion of the Executive Dean.

Where disestablishment is deemed necessary, there will be a transition period set by the Deputy Vice-Chancellor (Research) of normally six to twelve months to disestablish the ECU Strategic Research Institute or Centre that also complies with any requirements of the applicable industrial instrument. During this transition period, the Director and Leadership Team must ensure that:

* All Members are properly informed and the rationale behind the decision for the disestablishment is widely communicated.
* Final finance statements are prepared for all funds, including the closure of cost centres as appropriate.
* Plans for the ongoing management of uncompleted HDR programs are prepared and agreed.
* Data management plans are in place for all research data generated by Members of the ECU Strategic Research Institute or Centre.
* All assets and equipment are properly accounted for in the Assets Register and returned/transferred to the relevant School or areas.
* Completion of all relevant documents for all projects and/or agreements that are necessary or needed to ensure closure.
* All obligations under the original proposal to establish the ECU Strategic Research Institute or Centre have been met and executed as far as possible under the circumstances.
* There is an agreement between the relevant Schools for the transfer of any residual costs.
* There is compliance with any request from the University for the return of any misspent, unexpended or uncommitted funds in accordance with the agreement in the initial proposal establishing the ECU Strategic Research Institute or Centre.

**3.5 Naming Conventions**

The ECU Strategic Research Institute or Centre will be formally named at the time of endorsement by the Vice-Chancellor. Modifying the name of an ECU Strategic Research Institute or Centre requires the approval of the Deputy Vice-Chancellor (Research).

The terms ‘ECU Strategic Research Institute’ and ‘ECU Strategic Research Centre’ are reserved for use by ECU Strategic Research Institutes and Centres that have been established in accordance with these Procedures for the duration of their funding terms.

School-based Research Centres are not permitted to be called an ‘ECU Strategic Research Institute’, or ‘ECU Strategic Research Centre’ or to include either ‘ECU’ or ‘Strategic’ in their name. The Deputy Vice-Chancellor (Research) reserves the right to override this clause in instances where it could adversely impact ECU’s external reputation, or significant funding from the external body requires such naming.

## ACCOUNTABILITIES AND RESPONSIBILITIES

## RELATED DOCUMENTS:

## CONTACT INFORMATION

For queries relating to this document please contact:

|  |  |
| --- | --- |
| Guidelines Owner | Deputy Vice-Chancellor (Research) |
|  |  |
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1. **APPROVAL HISTORY**

|  |  |
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