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Title: Governance and Management of Designated University Research Institutes
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1. Purpose

This policy sets out the requirements for the management and governance of designated University of Galway Research Institutes. It sets out the relationship between Institutes and Colleges; the role and reporting relationship of Research Institute Directors; and the principles, responsibilities and requirements of Research Institute membership.

2. Description

Designated Research Institutes are characterised by significant interdisciplinary (generally cross-College) and high-quality research activity, including extensive collaboration nationally and internationally.

Research Institutes are a key feature of the university's research and innovation landscape. They:

- Reflect the university's priority thematic research areas and promote and market the major institutional research activities in a clear and consistent manner, as part of a coherent and clear brand identity;
- Enable/facilitate research on a larger scale than can be achieved by individual researchers and/or smaller units, through clustering of cognate research activities into Centres or Clusters to encourage collaborative team-based activities;
- Provide the required technical and administrative facilities and supports to its members to enable their research; and
- Allow the university to respond to key developments in national and international research and funding.

3. Scope

This policy shall apply to existing designated University Research Institutes and new Institutes that receive formal approval through the appropriate process.

This document is focused on research undertaken by Principal Investigators within Research Institutes. Research activities not supported by Research Institutes (e.g. undertaken within Schools and Disciplines) are also important and valuable to the reputation of the university and should also be adequately supported and enabled.

4. Relationships with Colleges & Schools

Each Research Institute shall have a primary affiliation to a College. In most instances this is informed by the thematic focus of its research activity and the academic affiliation of the majority of its members.

These affiliations are established for existing Institutes. However, for future Research Institutes – where there is no clear majority alignment/affiliation - the College of affiliation shall be proposed and agreed during the approval/establishment process.

Academic staff members of Research Institutes are affiliated to Colleges and Schools. This dual affiliation is mutually beneficial and Deans, Heads of School, Institute Directors and Institute University Board should seek to support/facilitate these relationships.

The governance and management structure of Research Institutes must complement College/School line management relationships.

The Vice-President for Research chairs the Institute University Board (see Section 5.3). The Dean of the College of primary affiliation and other associated Deans are members of the Board.

5. Management & Governance

Each Institute has a formally appointed Institute Director, an Executive Management Team (EMT), an Institute University Board and an External Advisory Panel (EAP). Collectively, these groups shall take responsibilities for the operations, management, oversight and governance of the Institute, as summarized in Appendix 1 and set out below.

5.1 ***Institute Director***

Each designated Research Institute must be headed by a Director; a member of academic staff with a distinguished track record of research in a discipline of relevance to the Institute and demonstrated leadership ability. The Director is expected to actively undertake/direct research and to generate research funding for this purpose.

The Director, working with the EMT and the Institute University Board, is responsible for academic and research leadership and management of the Institute and leads the ongoing development and implementation of the Institute's Strategy and Operational Plans.

In most instances, the Director is appointed internally¹. The University may, however, in some instances, wish to invite external applications for consideration. In such instances, budget considerations should be agreed/approved in advance.

Appointment of Directors of Research Institutes will be for a period of four years, renewable for one further period of four years.

Institute Directors will report directly to the Institute University Board via a dual **reporting relationship**:

- Directors shall report to the VP Research (Chair of the Institute University Board) in relation to the strategic direction and development of the Institute's research activity; compliance with University and national policies with respect to research and innovation; and responsibilities to external funding agencies.
- Directors shall report to the relevant Dean (i.e. Dean of the College of primary affiliation of the Institute) and associated Deans on matters relating to finance; resources and personnel;

¹ The current procedure for appointment of Research Institute Directors is set out in the [Role and Reporting Relationships of and Appointment Procedures for Directors of Research Institutes](#).

risk management and compliance; and shall work with the appropriate College(s) on strategic recruitment needs, workload models and educational programme matters.

Research Institute Directors will be a member of the Executive Committees of the College of primary affiliation of the Institute.

Directors may delegate certain duties to a senior administrator/manager and/or appoint an Associate Director(s). Such Associates shall be nominated by the Director/EMT and approved/appointed by the Institute University Board.

Further details on the roles, responsibilities and reporting relationship of Institute Directors is provided in Appendix 2.

5.2 *Executive Management Team (EMT)*

The EMT supports and assists the Institute Director in the operations of the Institute; the delivery of the research agenda; the setting and implementation of operational plans; and the long-term strategic direction of the Institute.

The EMT is chaired by the Institute Director and includes Associate Directors (where relevant) as well as representatives of PIs (e.g. Centre/Cluster Leaders), support staff and contract researchers – with a maximum of 13 members. Members shall be appointed for a period of four years, with the option of a second term. The Director, in agreement with the PI cohort, shall select the membership of the EMT, which shall be approved by the Institute University Board.

The EMT shall meet at least six times per annum.

Further details on EMT membership, roles and responsibility are set out in Appendix 3.

5.3 *Institute University Board*

The Institute University Board provides internal oversight and direction for the Research Institute and ensures coherence of the Institute with cognate Colleges and the University's strategic and operational plans. The Board shall encourage active engagement and participation of academic staff members in the Institute and facilitate the Institute to work with Schools to encourage the alignment of recruitment to the Institute's strategic priority research areas. The Board will advise upon financing, resourcing and staffing of the Institute to ensure that activities are adequately resourced and supported.

The Board is Chaired by the Vice President for Research and includes the Dean of the College of primary affiliation, other relevant Deans, Dean of Graduate Studies, the Institute Director, Associate Directors, Finance and HR Representatives and 1-2 members of the Institute (as agreed by the EMT) - with a maximum of 13 members.

Members shall be appointed for a period of four years, with the option of a second term.

The Board shall hold a minimum of two meetings per annum, which shall be organised/administered by the College/Institute.

The Board shall provide an annual briefing for the University President on the development and evolution of the Institute.

Further details on Board membership, roles and responsibility are set out in Appendix 4.

5.4 External Advisory Panel (EAP)

The External Advisory Panel has a non-executive role. The panel provides advice on the strategic direction and development of the Institute and, as appropriate, research and policy trends, partnerships and networking opportunities and benchmarking/review. It acts as a mechanism to review and guide the Institute's research strategy/programme, with the goal of achieving internationally recognised excellence.

The EAP comprises 4-5 nationally/internationally-respected experts in relevant fields – e.g. research, policy/public sector, industry, innovation. Membership shall be proposed by the Director and VP Research, approved by the Institute University Board and appointed by the President.

The EAP meets annually with the Institute Director, chair of the Institute University Board and the Dean of the College of primary affiliation. The Director may interact informally with members as required.

Further details on the EAP, including roles and responsibility, are set out in Appendix 5.

6. Membership

The principal benefits of Research Institute membership include:

- Scale of activity and reputation/profile in individual and collaborative research funding proposals
- Demonstrated alignment for individuals/clusters/centres to university strategic priority areas
- Access to dedicated research and office space, technical (including core) facilities, administrative and technical support staff, and mentoring and support.

Each Research Institutes shall have clearly documented membership criteria/guidelines/procedures, including mechanisms to review membership, agreed by the Director and the EMT and approved by the Institute University Board. In general, membership should be open to the following categories of staff:

- Academic Staff – whose research interests and outputs are aligned to that of the Institute
- Contract Researchers (Post-Docs and Research Fellows) - whose research interests and outputs are aligned to that of the Institute
- Administrative Support Staff
- Technical Support Staff.

Academic members of staff shall inform their School of their application for membership of a Research Institute. Research Institute membership should not disadvantage academic units and line management responsibility for faculty members will continue to reside with the Head of School to which the faculty member belongs. Schools should strive to ensure that faculty members are encouraged and enabled to engage in and grow the research activities supported by the Research Institute. In addition to the School line management requirement, Institute members report to the Institute Director specifically in relation to the management and progress of research projects and programmes within the Institute, as well as post-graduate supervision within the Institute, and, as relevant, the management and operation of smaller affiliated research units (clusters, centres, etc.).

In general, members shall:

- Have a track record in a research area associated with or relevant to the Institute's strategic research thematic areas
- Commit to contribute positively to the development and implementation of the Institute's research strategy and objectives
- Agree to abide by the responsibilities associated with Institute membership.

Staff may be a member of more than one Research Institute but must have a clearly stated primary affiliation to a single Institute – i.e. they may be an **Associate** member of additional Institute(s).

Academic staff who are members of a Research Institute are required to affiliate their research grants to the Research Institute, so that the research activity can be supported by the Research Institute as part of its overall portfolio of grants. Staff may in some instances affiliate different grants to different Institutes, depending on the nature of the grant.

Institutes may also allow Associate and Affiliate membership, the criteria for which should be outlined in the membership guidelines/procedures.

The general principles, benefits and responsibilities of Research Institute membership are set out in Appendix 6.

7. Affiliation of Research Centres

The approval/establishment of Research Centres is currently devolved to Colleges.

University Research Centres will normally be affiliated to Research Institutes. Applications for Research Centre affiliation to an Institute shall be considered by the EMT and Institute University Board. All members of the Research Centre shall become members of the Institute – and are subject to the principles and obligations set out in Appendix 6.

Research Centres that are not affiliated to Research Institutes are not subject to this policy.

8. Resource Allocation

Responsibility for the allocation of resources (space, financial and human) lies principally within Colleges and will be considered by the Institute University Board.

Where an Institute resides wholly within a single College, resource allocation is the responsibility of the Dean.

Where Institutes involve members across more than one College, the responsibility for resource allocation lies with the Dean of the College of primary affiliation in partnership with the other relevant Deans and the VP Research within the Institute University Board.

9. Strategic and Operation Plans

Strategic Plans

Research Institutes shall have a 5-year Strategic Plan. The plan should align with the University's Strategic Plan, any university-level research and innovation strategies and the strategic plan(s) of the relevant College(s). The Institute Director and EMT will develop the plan, with input from the College

Dean(s), EAP and the Institute University Board. The plan shall be approved by the Institute University Board.

Operational Plans

Research Institutes shall develop annual Operational Plans, with appropriate actions, targets and metrics; aimed at delivering the Strategic Plan. Such plans shall be developed and agreed by the EMT and reported to the Institute University Board.

10. Reporting

The Research Institute Director/EMT shall provide an annual report to the VP Research and the Institute University Board. Such reports shall also be provided to the EAP ahead of annual meetings and, via VP Research, to the University Research Committee.

11. Branding

University of Galway's Research Institutes reflect the university's priority thematic research areas. They should promote and market the major institutional research activities in a clear and consistent manner, as part of a coherent and clear brand identity within overall university branding.

Research Institutes must develop, in collaboration with the university's Marketing and Communications Office, clear branding strategies that are consistent with the overall branding of the university.

12. Policy Responsibilities

Name	Responsibility
VP Research	Policy Owner Policy Implementation Chair of Institute University Board Attend EAP meetings
College Dean(s)	Member of Institute University Board Ensure appropriate resource allocation Represent the Institute at UMT Attend EAP meetings
Institute Director	As per Appendix 2
Executive Management Team	As per Appendix 3
Institute University Board	As per Appendix 4
External Advisory Panel	As per Appendix 5
Institute Members	As per Appendix 6

**Appendix 1. Research Institute Governance and Management Responsibilities -
OVERVIEW**

	Director	EMT	University Institute Board	EAP
Governance	✓	✓	✓	
Strategic Direction	✓	✓	✓	✓
Annual Operational Plans	✓	✓	✓	
Resourcing – Human and Financial	✓	✓	✓	
Reporting	✓	✓		
Communication/Marketing/Promotion	✓	✓		
Education and Public Engagement	✓	✓		

Appendix 2. Research Institute Directors – Roles, Responsibilities and Reporting

Each designated Research Institute must be headed by a Director; a member of academic staff with a distinguished track record of research in a discipline of relevance to the Institute and demonstrated leadership ability. The Director is expected to actively undertake/direct research and to generate research funding for this purpose.

Appointment of Directors

In most instances, the Director is appointed internally. The university may, however, in some instances, wish to invite external applications for consideration. In such instances, budget considerations should be agreed/approved in advance.

The current procedure for appointment of Research Institute Directors is set out in the Policy *Role and Reporting Relationships of, and Appointment Procedures for, Directors of Research Institutes* (Ref APR12/A2/3f/6).

Appointment of Directors of Research Institutes will be for a period of four years, renewable for one further period of four years.

Reporting Relationship

Institute Directors will report directly to the Institute University Board via a dual **reporting relationship**:

- Directors shall report to the VP Research (Chair of the Institute University Board) in relation to the strategic direction and development of the Institute's research activity; compliance with university and national policies with respect to research and innovation; and responsibilities to external funding agencies.
- Directors shall report to the relevant Dean (i.e. Dean of the College of primary affiliation of the Institute) and associated Deans on matters relating to finance; resources and personnel; risk management and compliance; and shall work with the appropriate College(s) on strategic recruitment needs, workload models and educational programme matters.

Role

The Director, working with the EMT and the Institute University Board, is responsible for academic and research leadership and management of the Institute and leads the ongoing development and implementation of the Institute's Strategy and Operational Plans.

Responsibilities (include)

- Providing leadership in research within the Institute
- Ensuring the timely production and implementation of the Institute's Strategic Plan and Operational Plans
- Working with, supporting and facilitating Research Centre/Cluster leaders towards the development and realisation of the Institute's Research Strategy
- Implementing approved University and Institute policies – including financial, HR, risk
- Identification of research initiatives for the Institute, and managing institutional grants/awards, as appropriate
- Consideration of Institute resource requirements (financial, personnel, infrastructure and equipment) and submission of budget requests
- Management of resources allocated to the Institute, in accordance with approved University policies and procedures
- Promoting the research and other outputs of the Institute and its reputation and brand
- Promoting the quality of the experience of research students associated with the Institute
- Supervision of support staff assigned to the Institute

- Developing and agreeing (with EMT) a procedure and criteria for Institute membership
- Identifying members of the External Advisory Panel
- Convening EMT, EAP and, with the College, Institute University Board meetings
- Providing annual report for the Institute for submission to the VP Research, Institute University Board and EAP.
- Ensuring that appropriate management structures are in place for all research programmes within the Institute
- Implementing effective quality assurance procedures within the Institute
- Supporting facilities (including core facilities) affiliated to the Institute.
- In partnership with Colleges, develop PhD Graduate School Programmes aligned to the thematic research areas of the Institute.

Directors may delegate certain duties to a senior administrator/manager and/or appoint an Associate Director(s). Associate Directors shall be nominated by the Director/EMT and approved/appointed by the Institute University Board.

The Director shall be a member of the University Research Committee.

Appendix 3. Research Institute Executive Management Team

Membership

- Institute Director (Chair)
- Associate Directors (where relevant)
- Centre Directors and Theme/Cluster Leaders, taking account of the Colleges represented
- Academic Staff Representative(s)
- A Representative of Support Staff (Technical and/or Administrative)
- A Representative of Researchers

The EMT shall be comprised of a minimum of 40% women and 40% men and will consist of a maximum of 13 members.

Members shall be appointed for a period of four years, with the option of a second term. The Director, in agreement with the PI cohort, shall select the membership of the EMT, which shall be approved by the Institute University Board.

Meetings

The EMT meets at least six times per annum. Agendas and meeting minutes will be circulated to members in advance of meetings.

Responsibility

The EMT shall support and assist the Institute Director in the operations of the Institute; the delivery of the research agenda; the setting and implementation of operational plans; and the long-term strategic direction of the Institute, including development of strategic plans.

Roles

- Support the Director in the operations and management of the Institute, including efforts to ensure the adequate provision of resources (financial, human and physical) for the successful running of the Institute.
- Develop a strategic and financial plan and associated annual operational plans, including appropriate KPIs.
- Advance the profile of the Institute nationally and internationally and identify new collaborative opportunities.
- Provide regular reports to the VP Research, Institute University Board and College Dean, as required.
- Ensure adherence to relevant University of Galway policies and procedures and any relevant requirements as laid down by funding or regulatory bodies.
- Assess and control risks through the development of a risk register.
- Attract and host international conferences and workshops.
- Enhance information dissemination in both general public and research community, nationally and internationally.
- Oversight of facilities (including core facilities) within the Institute.

Appendix 4. Institute University Board

Membership

- VP Research (Chair)
- Dean of College of primary affiliation
- Other relevant College Deans
- Dean of Graduate Studies
- Institute Director
- Associate Directors (where relevant)
- Finance Representative
- HR Representative
- Representatives of Institute Members (1-2).

The EMT shall be comprised of a minimum of 40% women and 40% men and will consist of a maximum of 13 members.

Members shall be appointed for a period of four years, with the option of a second term. The EMT shall agree Institute representatives.

Meetings

The Board shall hold a minimum of two meetings per annum, which shall be organised/administered by the College/Institute. Agendas and meeting minutes will be circulated to members in advance of meetings.

Responsibility

The Institute University Board provides internal oversight and direction for the Research Institute and ensures coherence of the Institute with cognate Colleges and the university's strategic and operational plans. The Board shall encourage active engagement and participation of academic staff members in the Institute and work with Schools to encourage the alignment of recruitment to the Institute's strategic priority research areas. It will ensure that the Research Institute's activities are adequately resourced and supported.

Roles

- Support the Director and EMT in the management of the Institute, including efforts to ensure the adequate provision of resources (financial, human and physical) for the successful running of the Institute.
- Provide assistance and guidance to the Director and the EMT on financial and strategic matters.
- Contribute to the development of, and approve, Strategic and Operational Plans for the Institute.
- Monitor the delivery of Operational Plans and progress against Strategic Plan, including targets and KPIs, and review and revise Strategic Plan, as required.
- Consider the annual report provided by the Director/EMT.
- Approve the appointment of Associate Directors and membership of the EMT
- Advise on the implementation of recommendations from the External Advisory Panel
- Oversee compliance with university policies and procedures; including health & safety, financial, legal/IP, research integrity and other research related policies.
- Promote the Institute internally and externally.

Appendix 5. Research Institute External Advisory Panel (EAP)

Membership

The External Advisory Panel (EAP) comprises 4-5 nationally/internationally-respected experts in relevant fields – e.g. research, policy/public sector, industry, innovation. Specifically, the following expertise will be sought:

- Leading thinkers in their field and complementary fields to the area(s) of research focus
- Knowledge of national and international research landscape relevant to the focus of the Institute
- Industry and/or public sector representation, as appropriate
- Knowledge/experience in the management of a large, multi-disciplinary research institute.

The EMT shall be comprised of a minimum of 40% women and 40% men. Membership shall be proposed by the Director and VP Research and approved/appointed by the President.

Members shall be appointed for a period of four years, with the option of a second term.

Meetings

The EAP meets annually with the Institute Director, chair of the Institute University Board and the Dean of the College of primary affiliation. The Director may interact informally with members as required.

Responsibility

The EAP has a non-executive role. The panel provides advice on the strategic direction and development of the Institute and, as appropriate, research and policy trends, partnerships opportunities, current practices, networks, etc. It acts as a mechanism to review and guide the Institute's research strategy/programme with a view to achieving internationally recognised excellence.

Roles

- Advise the Director and University on the strategic direction of the Institute in the context of the changing national/international research and policy landscape
- Query/challenge the performance of the Institute in line with its strategic plan and associated KPIs
- Act as a “sounding board” for the Director
- Provide benchmarking advice
- Advance the profile of the Institute internationally
- Consider/review annual reports.

N.B. Each Institute will provide more detailed/specific Terms of Reference for its External Advisory Panel.

Appendix 6. Research Institute Membership

Principles

Membership of Research Institutes is open to all academic members of staff, who should be encouraged to become members where their research interests and outputs are aligned to that of the Institute, so that Institutes can achieve critical mass and faculty members may avail of supports available within the Institute structure. In addition contract research staff and administrative and technical support staff may be members.

Academic members of staff shall inform their School of their application for membership of a Research Institute. Research Institute membership should not disadvantage academic units and line management responsibility for faculty members will continue to reside with the Head of School to which the faculty member belongs. Schools should strive to ensure that faculty members are encouraged and enabled to engage in and grow the research activities supported by the Research Institute. In addition to the School line management requirement, Institute members report to the Institute Director specifically in relation to the management and progress of research projects and programmes within the Institute, as well as post-graduate supervision within the Institute, and, as relevant, the management and operation of smaller affiliated research units (clusters, centres, etc.).

Membership

Research Institutes shall have clearly documented membership criteria/guidelines/procedures, including mechanisms to review membership, agreed by the Director and the EMT and approved by the Institute University Board. In general, membership should be open to the following categories of staff:

- Academic Staff – whose research interests and outputs are aligned to that of the Institute
- Contract Researchers (Post-Docs and Research Fellows) - whose research interests and outputs are aligned to that of the Institute
- Administrative Support Staff
- Technical Support Staff.

Members shall:

- Have a track record in a research area associated with or relevant to the Institute's strategic research thematic areas
- Commit to contribute positively to the development and implementation of the Institute's research strategy and objectives
- Agree to abide by the responsibilities associated with Institute membership.

Academic staff may be a member of more than one Research Institute but must have a clearly stated primary affiliation to a single Institute – i.e. they may be an **Associate** member of additional Institute(s).

In the case of existing Institutes, applications for Research Institute membership, in accordance with the agreed procedures, shall be considered by the EMT.

For new Research Institutes, an initial set of members should be proposed as part of the process of defining and seeking approval for the establishment of the Institute.

Institutes may also allow **Associate** and **Affiliate** membership, the criteria for which should be agreed and clearly outlined in the membership guidelines/procedures. For example:

Institutes may allow **Associate** members, as follows:

Academic/Research staff who have a primary affiliation to another Institute

Academic/Research staff who may wish to associate for a specific project
PhD Students

Institutes may allow **Affiliate** members, as follows:

Adjunct and Honorary Academics
Visiting researchers

Benefits

The principal benefits of Research Institute membership include:

- Scale of activity and reputation/profile in individual and collaborative research funding proposals
- Demonstrated alignment for individuals/clusters/centres to university strategic priority areas
- Greater opportunities for inter-disciplinary collaborations with fellow members
- Access to dedicated research and office space, technical (including core) facilities, administrative and technical support staff, and mentoring and support
- Access to mentoring and support
- Support for large-scale institutional proposals to funding agencies - e.g. SFI Centres, PRTLI (or equivalent).

Responsibilities

The principal responsibilities of Research Institute membership include:

- Promoting Institute activities, including use of Research Institute name, logo and other branding for all Research activities and outputs
- Acknowledging Research Institute name as part of mailing address, in all funding applications, publications, conference presentations, and other external activities
- Actively participating in and contributing to the management and operation of the Institute and associated research programmes
- Reporting on research activities and association with Institute in IRIS and to external bodies
- Engaging with the Institute as early as possible before submitting a research proposal to a funding agency – particularly where access to facilities/resources are required.

Academic staff who are members of a Research Institute are required to affiliate their research grants to the Research Institute, so that the research activity can be supported by the Research Institute as part of its overall portfolio of grants. Staff may in some instances affiliate different grants to different Institutes, depending on the nature of the grant.