

Policy on Establishment of Research institutes, Research Centers, Research Focus Areas and Research Chairs

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I. Preamble

2.1. Vision for Excellence

DUT envisions Research Focus Areas, Research Centers, and Research Institutes that stand as beacons of academic excellence and research distinction, harmoniously aligned with DUT strategic vision's aspiration for a university that exemplifies academic prowess and research eminence.

2.2. Commitment to University Strategic Plan Objectives

Our establishment of these research entities is rooted in our firm commitment to address the strategic objectives outlined in University Strategic Plan. These objectives encompass sustainability, community development, innovation, and the generation of knowledge that addresses pressing global and local challenges. At DUT, research entities will serve as vehicles for translating these objectives into tangible actions and transformative outcomes.

2.3. Interdisciplinary Synergy

DUT recognizes that University Strategic Plan calls for holistic solutions to multifaceted issues. At DUT, Research Focus Areas, Research Centers, and Research Institutes shall foster a culture of interdisciplinary and transdisciplinary collaboration, uniting researchers from diverse fields to pool their expertise in pursuit of innovative solutions that align with strategic plan's cross-cutting themes.

2.4. Global Impact

In consonance with strategic plan's global outlook, our research entities shall actively seek international collaborations and partnerships, thereby amplifying the global impact of our research and contributing to the internationalization goals articulated in the strategic plan.

2.5. Engagement and Responsibility

DUT acknowledges its role as a responsible university. Research entities shall prioritize engagement, listening to the voices of our local communities, and co-creating solutions that address their needs. This commitment to community development mirrors the engagement objectives at the heart of University Strategic Plan.

2.6. Ethical and Sustainable Research

The policy emphasizes the utmost importance of conducting research that adheres to the highest ethical standards and promotes sustainability, in harmony with strategic plan's principles of responsible research and environmental stewardship.

2.7. Knowledge Dissemination and Impact Assessment

DUT remains resolute in its commitment to the dissemination of knowledge and the assessment of our research entities' societal, economic, and environmental impact. This aligns with Strategic Plan 's goal of knowledge dissemination and impact assessment.

2.8. Regular Monitoring and Resource Mobilization

The policy underscores the necessity of continuous monitoring, evaluation, and resource mobilization, in line with Strategic Plan 's emphasis on adaptive management and strategic resource allocation.

2. Purpose of the Policy

- 3.1 The purpose of this policy is to provide a comprehensive framework for the establishment, operation, and governance of Research Focus Areas, Research Centers, and Research Institutes within the Durban University of Technology (DUT).
- 3.2 This policy seeks to align the establishment and operation of research entities with the strategic goals and priorities outlined in strategic plan, thereby advancing DUT's commitment to excellence, sustainability, engagement, and global impact.
- 3.3 Offer directives for establishing, fostering growth, and ensuring effective governance of research institutes, research centers, and research focus areas.
- 3.4 The policy aims to promote and facilitate a culture of research excellence at DUT. Research Focus Areas, Research Centers, and Research Institutes are envisioned as hubs for cutting-edge research, innovation, and scholarship.
- 3.5 To address complex challenges and opportunities, this policy encourages interdisciplinary and transdisciplinary collaboration within and among research entities. It seeks to create an environment where researchers from diverse fields can synergize their expertise to generate holistic solutions.
- 3.6 The policy is designed to support the Strategic Plan objectives, which include but are not limited to sustainability, social impact, innovation, and the generation of knowledge that addresses societal needs. Research entities will play a pivotal role in translating these objectives into concrete actions.
- 3.7 In line with Strategic Plan 's global outlook, the policy promotes global engagement and collaboration. Research entities are encouraged to seek international partnerships to enhance the global impact of their research and contribute to DUT's internationalization goals.
- 3.8 This policy underscores the importance of engagement, emphasizing that research entities should actively involve local communities and stakeholders in research projects. It promotes responsible research that addresses community needs and supports community development.
- 3.9 It places a strong emphasis on conducting research that adheres to the highest ethical standards and promotes sustainability, reflecting Strategic Plan 's principles of responsible research and environmental stewardship.
- 3.10 The policy highlights the importance of knowledge dissemination and impact assessment, in alignment with Strategic Plan 's goal of knowledge dissemination and measurement of research impact.
- 3.11 It establishes mechanisms for the continuous monitoring and evaluation of research entities' performance. Additionally, the policy encourages resource mobilization to ensure the sustainable operation and growth of these entities.
- 3.12 The policy outlines governance structures and accountability mechanisms for research entities, ensuring transparent and effective management.
- 3.13 It ensures that research activities conducted within the research entities comply with relevant laws, regulations, and institutional policies.
- 3.14 Flexibility and Adaptability: The policy allows for flexibility and adaptability to accommodate evolving research priorities, changing societal needs, and emerging opportunities while remaining aligned with DUT's strategic vision.

3. Types of Research Institutes/Centres

- 4.1 The University operates two types of Centers/Institutes:
 - 4.1.1 University-based: These fall under the jurisdiction of the Executive overseeing Research, Innovation, and Engagement.
 - 4.1.2 Faculty-based: These are overseen by the respective Executive Dean of the relevant faculty.
 - 4.1.3 As the research focus and activities may evolve, involving more or fewer faculties/departments than initially established, it might be beneficial to convert a Faculty-based Center/Institute into a University-based one, or vice versa.

- 4.1.4 In such cases, the Executive responsible for Research, Innovation, and Engagement, may propose this transition to the Executive Management Committee.

4. Nature of research institutes, research centers, research focus areas and research chairs

5.1 Research Institutes

- 5.1.1 Research institutes at DUT are specialized entities dedicated to in-depth research and innovation in specific fields or interdisciplinary and transdisciplinary areas. They serve as hubs of excellence within the institution.
- 5.1.2 Research institutes may be physically located within one of the university's faculties and must operate within the faculty and directly reporting to the Executive Dean, depending on their strategic focus and research needs, except for strategic research institutes, centers and RFAs.
- 5.1.3 Research institutes are established as distinct entities within DUT, each with its own leadership, research agenda, and strategic objectives.
- 5.1.4 Research institutes engage in both basic and applied research, addressing complex challenges and generating innovative solutions.
- 5.1.5 Conduct research within the university's state-of-the-art laboratories, facilities, and research centers. Additionally, collaborations with external partners, including industry and government, enable fieldwork and access to specialized research sites.
- 5.1.6 In alignment with strategic goals, research institutes may be established outside of specific faculties to encourage interdisciplinary and transdisciplinary collaboration and address cross-cutting research themes. These institutes enhance DUT's research capacity and its ability to address complex societal issues.
- 5.1.7 Academic staff employed by Departments and Faculties have the opportunity to become members of Institutes and Centers. However, their employment status, including matters such as compensation, task assignments, and performance evaluations, remains under the jurisdiction of their respective Department or Faculty.

5.2 Research Centers

- 5.2.1 Research centers are specialized units focused on specific research themes, often within a particular academic discipline or field.
- 5.2.2 Research centers are to be associated with specific faculties or academic departments, allowing them to closely align with academic expertise and resources.
- 5.2.3 They are integral parts of DUT, contributing to research, knowledge dissemination, and engagement.
- 5.2.4 Research centers conduct research projects, studies, and experiments, often in collaboration with faculty members, students, and external partners.
- 5.2.5 Research activities take place within the university's laboratories, libraries, and specialized facilities. They may also engage in research activities at off-campus sites or through collaborative partnerships.
- 5.2.6 While research centers may focus primarily on their specialized areas, they often foster interdisciplinary collaboration to address multifaceted challenges and opportunities.
- 5.2.7 In alignment with strategic goals, research centers, research chairs and RFAs may be established outside of specific faculties to encourage interdisciplinary and transdisciplinary collaboration and address cross-cutting research themes.

5.3 Research Focus Areas

- 5.3.1 Research focus areas are thematic domains within DUT that concentrate on specific research topics, often spanning multiple faculties and disciplines.

- 5.3.2 Research focus areas are institution-wide and may operate across faculties and departments, emphasizing the importance of interdisciplinary research.
- 5.3.3 They are integral components of DUT's research ecosystem, contributing to a diverse and dynamic research landscape.
- 5.3.4 Research focus areas drive research activities, projects, and collaborations related to their designated themes. They may coordinate research efforts across multiple faculties.
- 5.3.5 These areas leverage resources and facilities available across the university, encouraging cross-faculty collaboration and access to specialized equipment.
- 5.3.6 Some research focus areas may be established outside of specific faculties to address strategic focus areas, encouraging interdisciplinary research and innovation. They play a critical role in advancing DUT's strategic goals.

5.4 Research Chairs

- 5.4.1 Research Chairs are held by distinguished scholars or researchers who demonstrate exceptional expertise and leadership in their respective fields. They play a crucial role in shaping the research agenda of the institute or center.
- 5.4.2 Research Chairs are to engage in high-quality, impactful research activities that advance knowledge and contribute to the broader goals and objectives of the institute or center.
- 5.4.3 Research Chairs collaborate with other researchers, both within the institute or center and externally, to foster interdisciplinary collaboration and enhance the research ecosystem.
- 5.4.4 Research Chairs are involved in mentoring junior researchers, postdoctoral fellows, and graduate students, providing guidance and support to nurture the next generation of researchers.
- 5.4.5 Research Chairs are involved in knowledge translation activities, such as disseminating research findings to policymakers, industry stakeholders, and the public, to maximize the impact of their research.
- 5.4.6 Research activities are aligned with the strategic priorities and focus areas identified by the institute or center, ensuring that their work contributes to advancing the overall mission and goals.
- 5.4.7 The major role of the Research Chairs is to secure external funding and resources to support their research activities and the broader initiatives of the institute or center.

5. Definitions

- 6.1 **Research Institute:** A research institute is a specialized and often interdisciplinary organization or unit within a university or research-focused institution that is dedicated to conducting advanced research, typically in a specific field or thematic area. Research institutes are known for their in-depth exploration of complex research questions, their capacity to secure external funding, and their ability to foster collaborations with experts in various domains. They often have a broader and long-term research agenda and may engage in a wide range of research activities, including basic and applied research, policy analysis, and knowledge dissemination.
- 6.2 **Research Center:** A research center is a unit or organization within an academic institution or research-focused entity that concentrates on conducting research, often within a specific field, discipline, or thematic area. Research centers are typically more focused than research institutes and may be organized around a particular academic department or faculty. They can vary in size and scope, but their primary purpose is to promote research excellence, facilitate collaboration among researchers, and address specific research goals. Research centers may engage in a mix of research, scholarly activities, and community outreach.
- 6.3 **Research Focus Area:** A research focus area is a narrower thematic or subject-specific domain within an academic institution or research organization. It represents a concentrated area of research interest and

expertise within a broader discipline or field. Research focus areas are designed to promote in-depth exploration and innovation in a specific research topic or subfield. They may be less formalized than research centers or institutes and often serve as a platform for faculty members, researchers, and students with shared research interests to collaborate and advance their research agendas.

- 6.4 Research Chairs:** A research chair is a prestigious academic position held by an eminent scholar or researcher, typically funded by government entities, research councils, industry partners, or philanthropic organizations. Research chairs are established to advance knowledge and address critical societal challenges aligned with national priorities. Research chairs are tasked with leading cutting-edge research programs, mentoring emerging researchers, and fostering collaboration both locally and internationally. Through their research activities, they aim to generate impactful outcomes that contribute to the local and global development agenda, promote innovation, and address pressing societal needs, thereby playing a pivotal role in advancing local's research landscape and socio-economic progress.

6. Scope

- 7.1 The policy defines and clarifies the purpose and objectives of research institutes, research centers, and research focus areas within the context of DUT.
- 7.2 It outlines the processes and criteria for identifying, proposing, and selecting research institutes, research centers, and research focus areas.
- 7.3 The policy addresses the allocation of resources, including funding, personnel, infrastructure, and administrative support, to support these research entities.
- 7.4 It establishes governance structures, roles, and responsibilities for the leadership and management of research institutes, research centers, and research focus areas.
- 7.5 The policy emphasizes the alignment of these research entities with DUT's strategic goals.
- 7.6 It encourages the development and oversight of research activities, projects, and collaborations within these entities.
- 7.7 The policy defines the mechanisms for monitoring, assessment, and performance evaluation of research institutes, research centers, and research focus areas.
- 7.8 It promotes effective communication strategies to enhance the visibility and impact of these research entities, both within and outside the institution.
- 7.9 The policy emphasizes compliance with ethical guidelines, research ethics regulations, and legal requirements in research activities.
- 7.10 It addresses the sustainability of research entities and their capacity to adapt to evolving research trends, societal needs, and institutional priorities.
- 7.11 The policy outlines the decision-making process for the establishment, assessment, and potential discontinuation of research institutes, research centers, and research focus areas.
- 7.12 It encourages engagement with internal and external stakeholders, fostering collaborations, partnerships, and knowledge exchange.
- 7.13 The policy establishes criteria and indicators for assessing the quality and impact of research activities within these entities.
- 7.14 It promotes transparency and accountability in research management by requiring reporting, documentation, and adherence to policies and procedures.
- 7.15 The policy encourages a culture of continuous improvement within research entities, promoting research excellence and relevance.
- 7.16 It underscores the importance of effective communication strategies to raise the visibility of research entities and their contributions.
- 7.17 The policy outlines the conditions and processes for discontinuing research institutes, research centers, and research focus areas if necessary.

7. Policy applicability

- 8.1 The policy helps in defining the strategic direction of research activities at DUT by guiding the establishment of research entities aligned with the institution's goals
- 8.2 It provides a framework for allocating resources, such as funding, personnel, and infrastructure, to support research institutes, centers, and focus areas.
- 8.3 The policy outlines governance structures and responsibilities, ensuring that research entities operate within the established institutional framework and adhere to ethical and governance standards.
- 8.4 The policy sets criteria for assessing the quality and impact of research activities, fostering a culture of research excellence within the institution.
- 8.5 It allows for the adaptation of research entities to emerging research trends and changing societal needs, promoting agility and relevance.
- 8.6 The policy encourages engagement with internal and external stakeholders, facilitating collaborations with industry, government, and the community.
- 8.7 By establishing clear processes for evaluation, monitoring, and reporting, the policy promotes transparency and accountability in research management.
- 8.8 It addresses the sustainability of research entities by requiring sustainability plans and periodic assessments to ensure efficient resource utilization.
- 8.9 The policy encourages a culture of continuous improvement, ensuring that research institutes, centers, and focus areas strive for excellence and adapt to evolving research landscapes.
- 8.10 The policy defines the decision-making process for the establishment, assessment, and potential discontinuation of research entities, providing clarity and consistency.
- 8.11 It ensures that research institutes, centers, and focus areas contribute directly to DUT's institutional objectives, thereby enhancing the institution's overall impact.
- 8.12 The policy encourages effective communication strategies to raise the visibility of research entities and their contributions, both within and outside the institution.
- 8.13 It emphasizes adherence to ethical guidelines, research ethics regulations, and legal compliance in research activities.

8. Framework for the establishment of the Research centers

- 9.1 Needs Assessment and Proposal Development
 - 9.1.1 Determine the specific research area or theme for the proposed research center. This should align with DUT's strategic priorities and research strengths, including strategic objectives.
 - 9.1.2 Consult with relevant stakeholders, including faculty, researchers, administrators, and external partners, to gather input and build support for the research center.
 - 9.1.3 Create a comprehensive proposal that outlines the center's objectives, expected outcomes, scope, funding requirements, and potential sources of funding. Ensure alignment with University strategic plan.
- 9.2 Institutional Approval
 - 9.2.1 Present the proposal to the appropriate university institutional committee responsible for , Research and Innovation for review and approval by senate.
 - 9.2.2 Seek formal authorization to establish the research center. Ensure that the center's goals align with DUT's strategic vision.
- 9.3 Resource Allocation
 - 9.3.1 Create a detailed budget that outlines the financial resources required for the research center's establishment and initial operations.

- 9.3.2 Identify and secure necessary infrastructure, laboratory spaces, office facilities, and equipment for the center's research activities.
- 9.4 Leadership and Governance
 - 9.4.1 Appoint or select a director or leader for the research center. This individual should have expertise in the center's research focus and be capable of providing effective leadership.
 - 9.4.2 Establish an advisory board composed of respected faculty members, administrators, and external experts to provide guidance and oversight for the center's activities.
- 9.5 Research Focus and Objectives
 - 9.5.1 Clearly define the research objectives, goals, and expected outcomes of the research center. Ensure alignment with DUT's strategic priorities.
 - 9.5.2 Determine the scope of research to be conducted and establish a research agenda that outlines specific projects and initiatives.
- 9.6 Membership and Research Teams
 - 9.6.1 Define the criteria for membership and participation in the research center, including eligibility, roles, and responsibilities.
 - 9.6.2 Recruit researchers, faculty members, and students who have expertise and interest in the center's research focus.
- 9.7 Funding and Sustainability
 - 9.7.1 Explore and pursue funding opportunities from internal and external sources, including government grants, industry partnerships, philanthropic organizations, and research grants.
 - 9.7.2 Develop a sustainability plan that outlines how the center will secure ongoing funding and resources to support its research activities in the long term.
- 9.8 Collaborations and Partnerships
 - 9.8.1 Seek collaborations and partnerships with other academic institutions, government agencies, industry partners, and research organizations to enhance the center's research capabilities and impact.
- 9.9 Research Ethics and Compliance
 - 9.9.1 Ethical Guidelines: Develop and implement ethical guidelines and compliance protocols to ensure that all research conducted within the center adheres to the highest ethical standards.
- 9.10 Reporting and Evaluation
 - 9.10.1 Establish a system for regular reporting on the center's activities, achievements, and impact. Share these reports with university stakeholders.
 - 9.10.2 Conduct periodic evaluations to assess the center's progress toward its objectives and its contribution to DUT's strategic goals.

- 9.11 Engagement and Promotion
 - 9.11.1 Develop a strategy for promoting the center's research, including participation in conferences, publication of research findings, and engagement with the broader community.
 - 9.11.2 Engage with local communities and stakeholders to ensure that the center's research addresses relevant societal needs and challenges.
- 9.12 Review and Renewal:
 - 9.12.1 Conduct periodic reviews to assess the center's relevance and effectiveness. Make necessary adjustments to align with evolving research priorities and university goals.

9. Establishing research focus areas and appointment of Research Chairs

10.1 Definition of Research Focus Areas

- 10.1.1 Research focus areas are specialized thematic domains within the university that concentrate on specific research topics or areas of expertise.
- 10.1.2 Research focus areas may encompass various disciplines, including natural sciences, social sciences, engineering, humanities, applied research etc.

10.2 Identification of Research Focus Areas

- 10.2.1 Periodically conduct a needs assessment to identify emerging research trends, societal challenges, and areas where DUT can make a significant impact.
- 10.2.2 Involve faculty members, researchers, students, and external stakeholders in the identification of potential research focus areas.

10.3 Selection Criteria for Research Focus Areas

- 10.3.1 Research focus areas should align with DUT's mission, strategic priorities, and initiatives such as strategic plan.
- 10.3.2 Evaluate the potential for research excellence and innovation within the identified areas.
- 10.3.3 Consider the relevance of the research focus areas to local, national, and global societal needs and challenges.
- 10.3.4 Encourage interdisciplinary research that crosses traditional disciplinary boundaries.
- 10.3.5 Assess the existing research capacity and expertise within the university in each proposed focus area.

10.4 Proposal and Approval Process

- 10.4.1 Faculty members or research groups interested in establishing a research focus area should submit a proposal to the Research and Innovation Office.
- 10.4.2 A committee comprising representatives from the Research and Innovation Office, faculty, and external experts will review and evaluate proposals based on the selection criteria.
- 10.4.3 Proposals meeting the criteria will be presented to the appropriate ad-hoc committee for approval by the Executive Responsible for Research Innovation and Engagement

10.5 Resource Allocation

- 10.5.1 Allocate resources, including research grants, equipment, and administrative support, to support the establishment and growth of approved research focus areas.
- 10.5.2 Appoint faculty members, researchers, and staff to lead and contribute to the research focus areas.

10.6 Leadership and Coordination

- 10.6.1 Designate academic leaders or coordinators for each research focus area to oversee research activities, collaborations, and strategic planning.
- 10.6.2 Research focus area leaders should regularly report on progress, achievements, and resource utilization.

10.7 Research Activities

- 10.7.1 Encourage the development of research projects, both basic and applied, within the research focus areas.
- 10.7.2 Foster collaborations with external partners, including industry, government agencies, and other academic institutions.

10.8 Monitoring and Evaluation

- 10.8.1 Establish key performance indicators (KPIs) to assess the impact, productivity, and growth of research focus areas.
- 10.8.2 Conduct periodic reviews of research focus areas to assess their continued alignment with institutional goals and effectiveness.

10.9 Communication and Visibility

- 10.9.1 Promote the research focus areas through public engagement, including seminars, workshops, and knowledge dissemination to the community.
- 10.9.2 Develop branding and communication strategies to raise the visibility of research focus areas within and outside the university.

10.10 Continual Adaptation

- 10.10.1 Research focus areas should be flexible and capable of adapting to evolving research trends and societal challenges.

10.11 Framework for the Appointment of Research Chairs

- 10.11.1 The institution will identify strategic research priorities aligned with national goals, sectoral needs, and emerging trends to guide the establishment of research chairs.
- 10.11.2 Clear and transparent criteria are developed to guide the appointment process, including qualifications, research excellence, leadership experience, and potential for impact. These criteria should be aligned with the objectives of the research chair and the strategic priorities of the institution or funding agency.
- 10.11.3 A transparent and competitive recruitment process is conducted to attract qualified candidates for the research chair position. This process may involve advertising the position nationally or internationally, forming selection committees as per DUT policies, and conducting rigorous evaluations of applicants' qualifications, research accomplishments, and leadership potential.
- 10.11.4 Applicants are evaluated based on the established criteria, with emphasis placed on research excellence, potential for impact, and alignment with the research chair's focus area. Shortlisted candidates may be invited for interviews, presentations, or other assessment activities to further assess their suitability for the position.
- 10.11.5 Upon completion of the evaluation process, the successful candidate is appointed to the research chair position. Terms of appointment, including duration, funding arrangements, and performance expectations, are communicated clearly to the appointee.
- 10.11.6 Adequate support and resources are provided to the research chair holder to enable them to carry out their research program effectively. This may include research funding, access to facilities and infrastructure, administrative support, and opportunities for professional development and networking.
- 10.11.7 Ongoing monitoring and evaluation mechanisms are put in place to assess the performance and impact of the research chair holder and their research program. Regular reviews may be conducted to ensure that the research chair remains aligned with institutional priorities and continues to meet established performance expectations.

- 10.11.8 All university funded research chairs are expected to apply and succeed with external research chairs within three years after receiving funding.
- 10.11.9 The performance review will be conducted annually and poor performance will lead to termination of the prestige appointment by the university.
- 10.11.10 At the end of the appointment period, the research chair holder's performance is reviewed to determine whether the appointment should be renewed, extended, or terminated. Renewal decisions may be based on factors such as research productivity, impact, leadership effectiveness, and alignment with strategic objectives.

10. Conditions and criteria for the establishment of a research institute (Faculty based)

- 11.1 The establishment of the research institute must demonstrably support and align with DUT's Research and Innovation Strategy and Blueprint. The institute's proposed focus area, objectives, and activities should directly contribute to the strategic goals outlined in the institution's research strategy.
- 11.2 The institute must have a well-defined sustainability plan developed and led by the hosting faculty. The sustainability plan should outline strategies for securing long-term funding, resources, and support, and it must demonstrate the faculty's commitment to sustaining the institute's operations beyond its initial establishment.
- 11.3 The institute must actively engage in the development and supervision of postgraduate students, including master's and doctoral candidates. The institute should have a clear plan for mentorship, research training, and support for postgraduate students, contributing to their academic and research growth.
- 11.4 The Institute may be involved in teaching undergraduate students
- 11.5 The research institute's objectives and activities must be an integral part of DUT's Research and Innovation Strategic Plan. The institute's strategic goals should align with and contribute directly to the broader objectives outlined in the institution's research and innovation strategy.
- 11.6 The institute must receive formal support and approval from the Faculty Board of the hosting faculty. The Faculty Board's endorsement should be documented and should reflect a clear understanding of the institute's goals, strategic alignment, and potential benefits to the faculty.
- 11.7 The institute may include a minimum of two or three academic staff members who hold National Research Foundation (NRF) ratings or equivalent. The inclusion of NRF-rated academic staff members demonstrates the institute's commitment to research excellence and its potential to attract external funding and recognition. This rule may be exempted for various reasons.
- 11.7 Usually, Institutes within the university are managed by Faculties, with a Director/ Head appointed to each Institute. These Directors report to the Executive Deans of their respective Faculties. It's common for a Faculty to have involvement in multiple Institutes, and conversely, an Institute may receive support from multiple Faculties. In cases where Institutes have significant cross-Faculty involvement, their line management may be under the purview of the Executive in charge of Research and Innovation rather than a specific Faculty's Executive Dean.

11. Establishment of a new research institute for strategic purposes (University based)

- 12.1 A research institute may be established for strategic reasons to address specific DUT objectives and societal needs by concentrating expertise and resources in a focused area of research.
- 12.2 Such institutes can serve as catalysts for innovation, interdisciplinary and transdisciplinary collaboration, and impactful research outcomes, aligning closely with university strategic plan and contributing to its long-term vision.
- 12.2 Additionally, institutes often facilitate partnerships with external stakeholders, including industry and government, and can play a pivotal role in addressing complex challenges, advancing research excellence, and enhancing the DUT's reputation and impact, ultimately positioning the institution as a leader in its chosen strategic focus area.
- 12.3 A detailed research institute constitution must be developed. The constitution should outline the institute's mission, objectives, governance structure, leadership roles, decision-making processes, and ethical guidelines. It should also specify how the institute will align with the institution's strategic plan.
- 12.4 Develop a comprehensive resource allocation plan for the institute, including funding sources, staffing, and physical infrastructure. Additionally, create a sustainability plan outlining how the institute will secure funding and resources for its long-term operation beyond the initial establishment phase.
- 12.5 Establish mechanisms for engaging with external stakeholders, including industry, government, and community organizations. Foster collaboration with other research entities within and outside the institution.
- 12.6 The research institutes established under this section will have their line management under the purview of the Executive in charge of Research and Innovation rather than a specific Faculty's Executive Dean.

12. Framework for the establishment of the research institute and center governing board

- 13.1 Establishing a governing board for a research institute is a crucial step in ensuring effective governance, leadership, and oversight.
- 13.2 Define the Purpose and Roles of the Governing Board
 - 13.2.1 To provide strategic direction, oversight, and governance to the research institute.
- 13.1.2 Define roles and responsibilities, such as setting the institute's strategic agenda, ensuring financial stewardship, and monitoring research progress.
- 13.3 Determine the Size of the Governing Board (9-15 membership)
 - 13.3.1 Selection and Appointment Process
 - 13.3.1.1 Internal representatives nominated by the institute's leadership or elected by faculty and researchers.
 - 13.3.1.2 External representatives invited based on expertise and recommendations.
 - 13.3.1.3 Establish clear criteria for selection, including qualifications and commitment to the institute's mission.
- 13.4 The board should be sufficiently diversified in terms of expertise and diversity.
- 13.5 The term may be limited to 5 years with mid-term performance review.
- 13.6 Appoint a Chairperson to lead board meetings and serve as a liaison to institute leadership.
- 13.7 Ensure sufficient committees and responsibilities.
- 13.8 Regularly schedule board meetings (quarterly or semi-annually) and an annual retreat for strategic planning.
- 13.9 Implement a clear conflict of interest policy to ensure transparency and ethical conduct.
- 13.10 Conduct periodic assessments of the board's effectiveness, including individual member
- 13.11 Ensure compliance with applicable laws, regulations, and institutional policies.

- 13.12 Ensure that board composition aligns with the institute's strategic goals, mission, and strategic objectives.
- 13.13 Promote diversity and inclusivity in board composition to reflect a variety of perspectives and backgrounds.

13. Performance assessment of the research institutes and centers

- 14.1 The assessment of research centers and institutes will occur twice in 5 year term unless if granted by the Executive responsible for Research and Innovation.
- 14.2 The responsibility for initiating the assessment lies with the Director/ Head of the respective research center or institute.
- 14.3 The head shall initiate the assessment process in a timely manner, ensuring adherence to the five-year assessment schedule.
- 14.4 The Executive responsible for Research, Innovation, and Engagement will appoint the Assessment Team responsible for conducting the assessment after submission by the head of the institute or center.
- 14.5 Research productivity over sustained period should be commissioned.
- 14.6 The Assess the quantity and quality of research outputs as per the agreed standard.
- 14.7 Measure the extent of collaborative research projects, both internal and external, and their impact on the institute's research capacity.
- 14.8 Evaluate the institute's engagement with the local and global community, including other measures.
- 14.9 Review the institute's financial statements, budgets, and revenue sources to assess its financial stability and sustainability.
- 14.10 Evaluate the diversity of funding sources, including government grants, philanthropy, industry partnerships, and endowments including grant success
- 14.11 Assess the effectiveness of the institute's leadership, including the director or head, in guiding research activities and strategic direction.
- 14.12 Evaluate the governance structure, decision-making processes, and adherence to institutional policies including Ethical Compliance: Transparency and Accountability, Strategic Planning.
- 14.13 Evaluate the extent to which the institute's mission aligns with the overall mission of the institution and its strategic goals, including Adaptation to Trends, Relevance to Institutional Strategy).
- 14.14 Assess the institute's role in providing educational opportunities, mentorship, and research training to students, postdocs, and early-career researchers including Student and Researcher Engagement, Career Outcomes
- 14.15 Assess the institute's efforts in disseminating research findings through publications, conferences, and public engagement including Public Relations, Community Feedback.
- 14.16 Review the institute's sustainability plan, including strategies for securing ongoing funding and resources including Future Planning.
- 14.17 Assess and review the transformation contribution of the institute or center

14. Conditions for Disestablishment of a Research Center or Institute

- 15.1 The research center or institute is consistently unable to secure adequate funding and resources to sustain its operations and meet its financial obligations.
- 15.2 The research center or institute consistently fails to adhere to ethical guidelines and regulations, resulting in ethical violations that undermine the integrity of its research activities.
- 15.3 The research center or institute deviates significantly from the institutional mission, goals, and strategic priorities, including strategic objectives or other relevant strategic plans.

- 15.4 The research center or institute demonstrates a consistent lack of effectiveness in its research activities, fails to make a meaningful impact in its field, or experiences a decline in research productivity and impact over an extended period.
- 15.5 Persistent governance and management issues, such as a lack of transparency, conflicts of interest, or ineffective leadership, jeopardize the center's or institute's functioning and credibility.
- 15.6 The research center or institute does not have a viable sustainability plan and shows no concrete efforts to secure future funding or resources for its continued operation.
- 15.7 The research center or institute does not address and contribute the transformational agenda.

15. Consultation Process for Disestablishment

- 16.1 The Executive for Research, Innovation, and Engagement shall initiate the consultation process if any of the above conditions or a combination thereof persistently affects the research center or institute's functioning and alignment with the institution's goals.
- 16.2 The Executive for Research, Innovation, and Engagement will formally notify the leadership of the affected research center or institute of the intention to consider discontinuation, providing specific reasons and concerns.
- 16.3 The Executive for Research, Innovation, and Engagement will consult with the Senate, presenting a detailed report on the research center or institute's performance and the reasons for considering disestablishment.
- 16.4 The Senate will review the provided information and may seek additional input from relevant stakeholders, including faculty, researchers, and the leadership of the research center or institute.
- 16.5 Based on the consultation with the Senate and considering all available information, the Executive for Research, Innovation, and Engagement will make a recommendation to the Executive Management Committee (EMC) regarding the disestablishment of the research center or institute.
- 16.6 The final decision to discontinue the research center or institute rests with the Executive Management Committee (EMC). If the decision is made to disestablish, a plan for an orderly closure and the redistribution of resources may be developed.
- 16.7 All stakeholders, including faculty, researchers, students, and relevant external partners, will be informed of the decision to discontinue the research center or institute and the rationale behind it.

16. References

- 17.1 Western Sydney University RESEARCH INSTITUTE POLICY
- 17.2 James Cook University Research Centres & Institutes Policy
- 17.3 University of Regina Policy - Research Institutes and Centres
- 17.4 Unisa Research Institute Policy