

Research Collectives Procedure

Section 1 - Purpose

(1) This Procedure outlines the processes for the selection, management and governance of research collectives at Macquarie University (the University) to ensure strategic and sustainable investment in and management of national and internal centres, institutes and initiatives.

Scope

(2) This Procedure applies to the following Active Research Collectives:

- a. International, National and State Research Centres and Networks;
- b. University Research Institutes;
- c. University Research Centres;
- d. Faculty Research Centres;
- e. Hybrid University or Faculty Centres; and
- f. University Research Initiatives.

(3) The Procedure does not apply to local networks, groups, teams and other collectives within departments or disciplines.

Section 2 - Policy

(4) Refer to the [Research Collectives Policy](#).

Section 3 - Procedures

(5) The number of research collectives (Collectives) supported by the University and the level of support and resourcing provided will be determined by the relevant Approval Delegate in consultation with the Responsible Officer, with consideration given to:

- a. available University or faculty resourcing;
- b. eligibility with consideration to the threshold of a Collective of that type;
- c. the strategic value of the Collective to the University/faculty; and
- d. compliance with internal funding rules, timeframes and deadlines.

(6) To avoid duplication of funding or support (including superseded research collectives):

- a. the Pro Vice-Chancellor, Research Performance and Development will maintain a Register of approved Collectives;
- b. selection panels will refer to the Register and will assess and evaluate potential duplication or overlap when considering funding applications for new Collectives and report their assessment and evaluation of real or

- potential duplication/overlap to the Approval Delegate as part of their decision making recommendations;
- c. potential duplication or overlap will be considered in light of the eligibility and selection criteria described in the application guidelines for each scheme, and may include the core research focus, intended aims, activity, outcomes and membership of the Collective; and
- d. single or core affiliation will be weighted more strongly than members with multiple centre memberships.

(7) Collectives will be hosted by faculties and will typically be virtual centres, although some may be co-located.

(8) Line management of Chief Investigators and/or Directors and or/members will typically remain through departments/schools although dedicated staff may be appointed to an externally funded Centre/Network.

(9) Heads of Departments/Deans of Schools will be aware of the involvement of their staff in Collectives and will fairly recognise involvement in Collectives within workload allocations.

(10) Approved Collective naming conventions and branding will be used exclusively by Collectives selected under these schemes. Naming and branding guidelines are provided in the relevant scheme or opportunity funding rules or funding agreement.

(11) Collectives that were established prior to the [Research Collectives Policy](#) and this Procedure and which have historical arrangements in conflict with the Policy and this Procedure, will be managed on a case-by-case basis by the Responsible Officer (in consultation with the Approval Delegate) for the remainder of the funding period.

Selection and Creation

(12) Collectives will be selected, created and recognised (including with appropriate naming and branding) under national or state, University, or faculty schemes according to the relevant scheme or outside of schemes where strategic and opportunistic value to the University has been identified.

(13) All prospective applications will be curated by the respective faculty and aligned with relevant University, Research and/or Faculty Strategic Plans.

(14) Externally funded Collectives typically are selected through processes and guidelines established by the relevant funding body. Internal processes for selecting and supporting proposals for Macquarie University leadership of or involvement in externally funded Collectives will be communicated and managed by the Deputy Vice-Chancellor (Research) portfolio in consultation with faculties.

(15) Internally funded Collectives will, in most cases, be selected through an open call for applications for specific scheme funding rounds, which are managed by the relevant Approval Delegate and Responsible Officer. From time to time, a Collective may be created outside of schemes and selected and managed by the relevant Approval Delegate and Responsible Officer.

(16) Selection of a University Research Institute will be overseen by the Vice-Chancellor on the recommendation of the Deputy Vice-Chancellor (Research).

(17) University Research Centres will be approved by the Vice-Chancellor on recommendation from the Deputy Vice-Chancellor (Research), with the relevant Executive Dean/s involvement as appropriate, and managed and supported by the Pro Vice-Chancellor, Research Performance and Development and Deputy Dean/s, Research and Innovation.

(18) University Research Centres will be selected through an open call according to the MQRC Funding Rules and Application Process, or where a strategic and opportunistic value is identified by the Deputy Vice-Chancellor (Research) and/or the relevant Executive Dean and the Deputy Deans, Research and Innovation in consultation with representatives from the Pro Vice-Chancellors (Research), Executive Director (Research) or Deputy Deans, Research and Innovation. A maximum number of University Research Centres will be allocated to each round.

(19) Faculty Research Centres will be approved by the Vice-Chancellor in consultation with the Deputy Vice-Chancellor (Research) and on the recommendation of the relevant Executive Dean following an open call according to the Faculty Research Centres Scheme Application Guidelines for each funding round or where a strategic and opportunistic value is identified by the Executive Dean or Deputy Dean, Research and Innovation. A maximum number of Faculty Research Centres will be allocated to each round.

(20) Hybrid University or Faculty Centres are selected, funded, overseen and managed according to terms of management and reporting developed specifically for each Hybrid University or Faculty Centre by the Deputy Vice-Chancellor (Research) and the Deputy Vice-Chancellor (Academic), with Executive Dean involvement as appropriate.

(21) University Research Initiatives are selected, funded, overseen and managed according to terms of management and reporting developed specifically for each University Initiative by the Deputy Vice-Chancellor (Research) with Executive Dean involvement as appropriate.

Funding

(22) Funding and in-kind support arrangements will be described in the relevant scheme funding guidelines, or on the basis of an agreed model for collectives that fall outside of formal schemes.

(23) Additional funding and in-kind contributions and/or support may be offered at the discretion of the Deputy Vice-Chancellor (Research) and the respective faculty/ies.

(24) In addition to funding available through a National and State Research Centres/Networks grant, many applications require funding and in-kind contributions from the host institution to be considered.

(25) Subject to the type of external scheme and availability of University funding and in-kind contributions, researchers may request project support funds, funding for research associates, scholarships, major equipment, salary supplementation (or other types of contributions) from the Deputy Vice-Chancellor (Research) via the DVCR Co-Funding Scheme. To be eligible to request this DVCR Co-Funding, grant applications must be submitted internally, via the Pure system, by the relevant Macquarie University submission dates.

Management and Reporting

(26) Refer to the [Research Collectives Policy](#) for officers responsible for overseeing the management and support of Research Collectives.

(27) Each Collective will participate in informal and formal review throughout the funding lifecycle in accordance with the relevant funding agreement. Continued funding and support for the life of the funding agreement is contingent on satisfactory progress against key performance indicators (KPIs), effective leadership, ongoing strategic value, appropriate governance, and responsible budget management.

(28) Members of Collectives will adhere to the [Research Authorship Policy](#) and [Macquarie University Research By-Line Guidance Note](#).

(29) University Research Institutes are advised by a board which is chaired by the relevant Faculty Executive Dean and are managed as the equivalent of a Department/School by the relevant Executive Dean.

(30) University Research Centres are advised by an Advisory Board consisting of external members, including a member of the University alumni, internal members, and one member from either the Pro Vice-Chancellors (Research), Executive Director (Research) or Deputy Deans, Research and Innovation, which should meet at least once each year.

(31) Each Collective will be led by a Director/s (or equivalent) and an Executive team who will provide leadership in

managing the Collective appropriate to its nature and focus.

Review, Extension or Disestablishment

(32) Disestablishment and wind up of National and State Research Centres/Networks is undertaken per external body guidelines.

(33) Termination of funding and status of internal Collectives may occur at any period in the funding period for the following reasons:

- a. unsatisfactory progress made toward key performance indicators (KPIs);
- b. insufficient or ineffective leadership (i.e. significant leadership 'gap' due to departures of key personnel etc);
- c. the focus and goals of the Collective no longer represent strategic value;
- d. absence of appropriate governance mechanisms and structures;
- e. unsatisfactory/irresponsible management of Collective budget and other funding;
- f. a decision made by the Collective or by the relevant management authority, in consultation with the Collective and Executive Dean (or delegate), to wind up the Collective during or at the end of the funding term; or
- g. other reasons determined by the relevant management authority, in consultation with Collective and Executive Dean (or delegate).

(34) Termination of funding, support and status will result in cessation of funding, or provision of wind-up funding for a specified period, and removal of access to in-kind support. At the agreed date of termination, the Collective may no longer use the name specific to that type of Collective or associated collateral and branding, including web sites.

(35) If, at the end of the initial funding period, an internal Collective and the University agree to the continuation of the Collective, they will enter into a new funding agreement for a specified period.

Section 4 - Guidelines

(36) Nil.

Section 5 - Definitions

(37) The following definitions apply for the purpose of this Procedure:

- a. Active Research Collective is one that has received support (cash or in-kind) for the Collective (as opposed to for individuals within the Collective) in the past 2 years and meets the following conditions:
 - i. active governance;
 - ii. active membership at all levels (i.e. not just the leadership);
 - iii. active engagement with community (inside or outside the University);
 - iv. generating research activities, outputs, outcomes and impacts;
 - v. active reporting; and
 - vi. has the approval of the relevant authority.
- b. Faculty Research Centres are within discipline or interdisciplinary, range in scale, and are focused in areas of faculty strengths. Faculty Research Centres are hosted by faculties and may be virtual or co-located Centres, where line management of personnel is as is departments. Faculty Research Centres are characterised by a distinctive vision and strategic value; a strong team at scale; a clear and ambitious plan for success; and an attractive and nurturing environment for excellent research students and early career researchers.

- c. Hybrid University or Faculty Centres are University or Faculty level Collectives with a combined focus of research, education, health and/or community engagement in areas of University strategic priorities and strengths. Hybrid University or Faculty Centres are created, funded and/or managed outside the remit of the schemes that name and fund University and Faculty Research Centres.
- d. International, National and State Research Centres and Networks are characterised as extremely large-scale national or state- based enterprises where funding is typically fixed term and provided via significant external funding with University co-funding according to the formula approved by the Deputy Vice-Chancellor (Research). National and State Research Centres/Networks may include:
 - i. Cooperative Research Centres (CRC);
 - ii. [Australian Research Council \(ARC\)](#) Centres of Excellence (CoE);
 - iii. ARC Industrial Transformation Training Centres (ITTC);
 - iv. ARC Industrial Transformation Research Hubs (ITRH);
 - v. NHMRC Centres of Research Excellence (CRE); and
 - vi. others as appropriate.
- e. University Research Centres are large-scale, interdisciplinary, and problem-focused research collectives in area/s of Macquarie University strengths. University Research Centres are funded by Deputy Vice-Chancellor (Research) funding and in-kind contributions, Faculty funding and in-kind contributions where available, and external contributions where available. University Research Centres are hosted by faculties and are typically virtual Centres (some co-location may be possible) where line management of personnel is as is within Departments.
 - i. University Research Centres (Strength at Scale) are characterised by research excellence at scale within disciplines or across disciplines in area/s of competitive advantage. These Centres represent significant external opportunities and promote the University's strengths.
 - ii. University Research Centres (Consilience) are characterised by the above and, in addition, are problem focused and externally oriented (especially to non-Category 1 space) and bring multiple Collectives together with aspiration for consilience.
- f. University Research Initiatives are time-limited project or outcome focused collectives. University Research Initiatives range in scale, have agile strengths and can be intradisciplinary or interdisciplinary. They are created, funded and/or managed outside the remit of the schemes that name and fund University and Faculty Research Centres to generate distinctive pan-University research programs that are internationally recognised and enhance the University's reputation and renown.
- g. University Research Institutes: Where, on rare occasions, University Research Institutes are established, these are typically physically co-located, represent extremely large-scale collectives in areas of major University strengths and have significant brand value.

Status and Details

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