



**Research Units  
(Structure, Governance & Review)**

**RU-01**

Final Version 1.0 19 June 2020

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Next review: 2 years

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Version History	Reason for change
1.1 April 2021	Updates to reference UN SDG and GLLEP priorities in research unit formation
1.2 September 2022	Clarification of approval processes

## 1. PURPOSE

To outline the structure, governance and oversight of University of Lincoln Research Institutes, Centres, Groups and Networks.

## 2. BACKGROUND

2.1. Following consultation across the University as part of a review of research units in January 2020 the following policy has been developed to formalise the structure of research units in order to provide research units with clear definitions and expectations. In particular, it allows research Centres to become clearer foci of research activity and research culture for the University.

2.2. The University's strategic plan identifies several key themes for structuring research. One of these is to develop focal areas of research strength, at various scales, and the various types of research unit are designed to address this. We also have a commitment to meaningful research, to alignment with societal needs, and to "local to global" research that addresses globally-significant research problems with local and regional significance. These strategic drivers underlie the emphasis on challenge-based interdisciplinary research, and alignment with University themes, SDGs and local industrial strategy priorities. However, our strategy also emphasises the importance of academic freedom in research, serendipitous and individual research, all of which may all be pursued by researchers within or outside research units. We also recognise the value of fundamental disciplinary research that is not aligned with specific societal challenges. These are complementary approaches to research and the emphasis here should not be regarded as exclusionary.

2.3. The University of Lincoln formally recognises four types of research unit:

- Research Groups and Networks (RGN) (section 3)
- Research Centre(s) (RC) (section 4)
- Research Institute(s) (RI) (section 5)

2.4. All research units are expected to identify performance indicators and will be reviewed based on these, as outlined in section 7.

2.5. RGN and RC are defined by providing greater benefits to the University and society than individuals could achieve on their own.

2.6. RIs are strategically driven and reflect important research areas for the University, aligned with societal challenges.

2.7. All research units must be clearly associated to the [University research themes](#) which provide a framework to promote and guide our research activity along strategic lines:

- Groups and Networks should reference at least **one** University Research Theme in their aims and website.
- RC(s) and RI(s) should reference at least **two** University Research Themes in their aims and website.

2.8. Membership of research units is not mandatory for academic members of staff but is encouraged.

2.9. Research units may include both TR and TSPP members. The interactions between staff on different roles brings a number of benefits to research, including staff development, knowledge exchange, advancing impact activities and engagement with local and national stakeholders, and building links between teaching and research.

2.10. Academic members of staff may be members of more than one research unit.

2.11. Research units may have Associate Members who are not members of staff at the University but take part in the research unit's research activities. Associate members must sign up to the University's expectations for associate members.

### 2.12. Abbreviations

CDoR	College Director of Research
CRC	College Research Committee
CDM	Communications, Development and Marketing

DVC	Deputy Vice Chancellor (role)
HoS	Head of School/Department
IRP	Individual Research Plan
ISPP	Individual Scholarship and Professional Practice Plan
PDRA	Post-doctoral research assistant
PVC	Pro-Vice Chancellor (College)
RC	Research Centre
REC	<a href="#">University Research and Enterprise Committee</a>
RG	Research Group(s)
RN	Research Network(s)
RGN	Research Groups and Networks
RI	Research Institute
SDR	School Director of Research
TR	Teaching and Research role profile
TSPP	Teaching, Scholarship and Professional Practice role profile

### 3. CROSS REFERENCES

Research Unit Application Form pro-forma

Research Unit Competitor Analysis pro-forma

Research Unit Review pro-forma

Research Centre / Institute - Operations (Management Structure & Terms of Reference) (RC/I Ops)

## 4. RESEARCH GROUPS AND NETWORKS (RGN)

### 4.1. Definition

Research Groups provide a focus for a collection of academics working on a particular research topic or theme. They are a disciplinary home for academics that recognise, support and develop areas of research excellence in an emerging or established area of expertise for Lincoln.

Research Networks are expected to be a looser collection of academics typically based in a number of Schools and with a wider (cross-College) membership.

### 4.2. Key features

RGN are characterised by their supportive nature and play a role in the development of their members. RGN should easily enable inter-school membership.

RGN will have a clear set of aims and should reference at least one *University Research Theme*.

RGN are encouraged to have stated alignments to at least one *UN Sustainable Development Goal*.

RGN are encouraged to have stated alignments to aspects of [local industrial strategy](#).

RGN are expected to undertake most of the following activities:

- Recognise, support and develop areas of research excellence.
- Hold active research discussion meetings, which *may* include seminars.
- Encourage collaborative research.
- Strengthen bids for external research funding and demonstrate a proven and on-going record of successful bidding.
- Support the implementation of research delivery as set out by the Strategic Plan and in line with University research ambitions.
- Support emerging and individual researchers, as well as research students.
- Provide a coherent picture of research excellence to the wider external research community.
- Present a well-structured and up-to-date website to showcase the Group's work see 8.4.
- Cultivate and encourage research-based engagement, impact and knowledge exchange activities.
- Actively strengthen the University's community of research postgraduate students.
- Work to strengthen the links between research and teaching activities.

### 4.3. Management

RGN will:

- Have one or two identifiable research group leads.
- Be managed entirely by the School in which they are primarily based.
- Should be considered independent of School teaching grouping(s).

### 4.4. Membership

RGN membership will often be from a single school, but RG are encouraged to be more interdisciplinary and to draw membership from multiple schools, while RN will have members from at least two Colleges.

RGN members will:

- Be committed to collaborative working.
- Take an active interest in other members work.
- Support and incorporate postgraduate and postdoctoral researchers into the unit.

### 4.5. Administrative Support

RGN will not have defined administrative support, support may be provided on an **ad hoc** basis by the host school.

## 4.6. Finance

### Financial Plan

RGN are not expected to have a formal financial plan.

### Funding

- There is no core university funding for RGN
- Any funding arrangements will be at the discretion of the Head of School

### Financial Governance

Financial governance and oversight will be managed at School level.

## 5. RESEARCH CENTRES (RC)

### 5.1. Definition

RCs are a mechanism for encouraging world-leading research, developing strong bids for major research grants, developing independent research careers, and translating our expertise to engage and collaborate with stakeholders.

RCs play an important role in developing national and international research reputation in key areas. They are almost exclusively interdisciplinary in nature, undertaking research that is internationally excellent in terms of originality, significance and rigour, and that has (and can evidence) considerable impact.

Individual RCs will naturally have different characters. The guidelines below provide a framework of general principles for the operation of a RC.

### 5.2. Key features

RCs have a Director, who acts as champion and/or leader, and is a member of academic staff with an internationally leading research track record in the domain of the Research Centre. The Director is appointed by the PVC of the governing College on a three-year renewable basis, at initial approval and successful reapproval.

RCs are strong groups of researchers who are most often affiliated with different Schools but are united by common research interests. RC status recognises a critical mass of established excellence in an area of research, and a roadmap for sustaining that excellence for the longer term.

RCs should adopt a strategy for their development and management, which recognises their distinction from a Research Group. A RC should clearly articulate a set of research themes or agendas. A RC should support activity which might not occur, or would be harder to carry out, if the RC did not exist.

Each RC is required to have a statement of the key research questions it anticipates its members will address over the next 3-to-5 years, and the RC's strategy to enhance and develop projects to address these questions.

A RC's vision should include how it contributes to the research environment of the University and how it communicates its activity among members and to external audiences.

RC aims should reference at least two *University research themes*.

RCs should also clearly reference at least two aspects of [local industrial strategy](#) and a number of [UN Sustainable Development Goals \(SDG\)](#) which are linked to the [University research themes](#). RCs are expected to have a strong emphasis on interdisciplinarity and to undertake most of the following activities:

- Develop and maintain an area of outstanding research excellence with an internationally recognised reputation.
- Secure external research funding and demonstrate a proven and on-going record of successful bidding.
- Promote and facilitate collaborative and interdisciplinary research.
- Cultivate and encourage research impact and research-based knowledge exchange activities.
- Form beneficial partnerships with prestigious external (including international) organisations.
- Convene workshops and seminars.
- Generate research outcomes over and above that which individual members might generate in isolation.
- Support the implementation of research delivery as set out by the Strategic Plan and in line with University research ambitions.
- Support the development of emerging and individual researchers.
- Present a well-structured and up-to-date website to showcase the RCs work see 7.4.

- Strengthen the University's community of postgraduate research students.

In addition, RCs are highly likely to:

- Undertake public engagement activities.
- Organise and run conferences and symposia.
- Sponsor and organise lectures, conferences and colloquia.

### 5.3. Management

A RC has a Director whose research leadership extends beyond their own research, supporting the development of projects, including - and especially - projects in which they themselves may not be personally involved.

A RC's Director is supported by a Management Board. This group encompasses representation from the supporting Schools and is responsible for periodically reviewing activities and strategy. The Management Board will have clearly defined Terms of Reference using Research Centre / Institute - Operations (Management Structure & Terms of Reference) (RC/I Ops).

The RC may also have an External Advisory Board, chaired by the RC Director, with members drawn from the RC and from external stakeholders and/or other advisors. External Advisory Board members should be influential research or stakeholder organisation leaders who bring expertise and understanding of the external environment to complement the activities of the RC and serve voluntarily.

RCs are to be hosted at College level, to encourage the focus on interdisciplinary research.

RC Directors will report to the PVC of the College in which the RC is based, but will retain line management from their home School outside their role as RC Director.

RC Directors are expected to be research leaders, capable of:

- Maintaining the confidence and cooperation of RC members.
- Developing the wider RC aims, in addition to their own research focus.
- Fostering a supportive and collaborative research environment for all members, including early career researchers.

RC Directors are responsible for:

- Managing any RC budget and administrative matters for the RC.
- Ensuring that the RC's research themes or agendas are implemented in a three-year plan, aligned with the University's Strategic Plan.
- Encouraging and supporting the development of applications for external research funding.
- Working in collaboration with the RC's governance committee where relevant.

### 5.4. Membership

RCs are interdisciplinary and membership must always be from more than one School, preferably from more than one College. In exceptional instances, a case may be made for a specialist Disciplinary RC, purely at the discretion of the DVC Research and Innovation.

Members will:

- Be committed to collaborative working.
- Take an active interest in other members work.
- Support and incorporate postgraduate and postdoctoral researchers into the RC.
- Have signed up to a clearly articulated strategy and aims.

### 5.5. Support

- May have a recognised space, equipment and facilities.
- Are expected to have a significant contribution from the relevant Schools, typically in-kind support, including the potential provision of infrastructure.

- May have limited administrative support from the College or relevant Schools.
- There will be nominal work loading for the RC Director (0.05 to 0.1 FTE) for research leadership, to promote the RC's research across the University, and to academic and non-academic audiences outside the University. This should be a School or College contribution.

## 5.6. Finance

### Financial Plan

- A RC must have a financial plan with clear targets for external income generation.
- RCs with sufficient external income may support core staff, including limited administrative support, and may maintain flexible locally managed funds for research development, including travel and/or invited speaker funds.
- There is no core university funding available for University RCs.

### Financial Governance

The RC, with reporting to the management board and to the College Research Committee (CRC) on an annual basis, will manage financial governance and oversight. A copy of the report should also be provided to University Research and Enterprise Committee as part of the CRC reports.



## 6. RESEARCH INSTITUTES

### 6.1. Definition

In addition to the definition of RCs, RIs are groupings of academics undertaking research that is widely recognised as world leading in an established area of expertise. Institutes are focussed around strategically important areas for the University and, address significant international societal challenges and problems and redefine the parameters of one or more disciplines. RIs in particular address research challenges from our locale that have global significance.

Institutes are distinguished from RCs primarily through their significance to University Strategy and through the external funding they attract. They are expected to maintain a portfolio of significant grants over a sustained period with external collaborators to build new partnerships and/or grow existing ones.

RIs will be defined as a 'school' in accordance with University College structures.

RIs are able to hire and support staff, will have a recognised space, equipment and facilities, and **may** offer taught courses.

### 6.2. Key Features

In addition to key features of RCs, RIs must:

- Have a clearly articulated formal internal governance model, which includes:
  - An Oversight Board chaired by the DVC Research and Innovation, with members including PVCs and CDoRs of relevant Colleges, the Director, and nominated other members of the Institute. The Oversight Board will meet bi-annually, and receive updates on finance, risk, strategy and research development.
  - A Management Board chaired by the Director, with members drawn from the Institute and drawn from the constituent Schools and Colleges.
  - An External Advisory Board chaired by the Director, with members drawn from the Institute and from external stakeholders and/or other advisors. External Advisory Board members should be influential research or stakeholder organisation leaders who bring expertise and understanding of the external environment to complement the activities of the RI, and contribute on a voluntary basis.
- Be expected to be on a pathway to sustainability within three years of foundation and (self) sustainable within five years.

### 6.3. Management

A RI has a Director whose research leadership extends beyond their own research, supporting the development of projects, including - and especially - projects in which they themselves may not be personally involved.

RI Directors report to the PVC of the College in which the RC is based and are managed as a School.

RI Directors are expected to be research leaders, capable of:

- Maintaining the confidence and cooperation of Institute members.
- Developing the wider RC aims in addition to their own research focus.
- Fostering a supportive and collaborative research environment for all members, including early career researchers.

RI Directors are responsible for:

- Managing any Institute budget and administrative matters for the Institute
- Ensuring that the Institute's research themes or agendas are implemented in a three-year plan aligned with the University's Strategic Plan.
- Encouraging and supporting the development of applications for external research funding.
- Working in collaboration with the RIs' management board/executive.
- Recruitment and line management of RI staff.

## 6.4. Membership

RIs are interdisciplinary and membership outside of directly employed staff will often be from more than one College. Members can be on both TR and TSPP role profiles.

Members will:

- Be committed to collaborative working.
- Take an active interest in other members work.
- Have signed up to a clearly articulated strategy.

## 6.5. Administrative support

RIs should have defined administrative support arrangements. Each RI should have a designated administrator to support the activity of the RI and enable the Director to focus on their research leadership role.

## 6.6. Finance

### Financial Plan

In addition to the requirements of a RC, a RI must have a financial plan with agreed support from the University. Schools and Colleges may also agree to support a RI.

### Funding

- Will have sustainable and diverse income streams, with revenue that is substantial with respect to national norms for its thematic focus.
- Will have a recognised core of dedicated support staff.
- Will have a recognised space, equipment and facilities.
- Resourcing arrangements are likely to vary depending on the structure of the Institute and its external links.
- Core university funding is available for University RIs.
- RIs are expected to seek substantial external funding to support their activities.

### Financial Governance

Financial governance and oversight will be managed by the RI, reporting to the RI Board on a bi-annual basis.

## 6.7. Reporting

The Research Institute will provide an annual report to the CRC and the University Research [and Enterprise](#) Committee on the standard pro-forma.

## 7. APPLICATION FOR A RESEARCH UNIT

All applications for a research unit must include defined performance indicators and anticipated lifetimes.

Applications shall be handled in the following ways:

### Research Groups & Networks

Applicants who are thinking of applying to become a Research Group/Network are advised to contact their School/College Director of Research in the first instance.

A completed Research Group/Network Application form should be submitted to SDR to be passed to the relevant CDoR for discussion at the relevant CRC.

The application will be reviewed by a panel<sup>1</sup> consisting of:

- College Research Committee,
- HoS for host School.

If approved the decision [and paperwork will be communicated by the CRC](#) to the [University Research and Enterprise Committee](#).

### Research Centres

Applicants who are thinking of applying to become a RC are advised to contact their CDoR [and college PVC](#) in the first instance.

A formal competitor analyses would be beneficial in helping the review panel to understand the need for, and strengths of, any proposed RC.

A completed RC Application form should be submitted to DVC Research and Innovation.

The application and competitor analysis will be reviewed by a panel<sup>1</sup> consisting of:

- DVC Research and Innovation,
- PVC for College in which RC will be based,
- Director of Research for the host College,
- A College Director of Research outside host College,

If approved the decision will be reported to [Research and Enterprise Committee](#).

### Research Institutes

Consideration for formation of a RI is directed by the DVC (Research and Innovation) in the first instance.

If invited to apply, a formal competitor analyses is required to aid the review panel to understand the need for, and strengths of, any proposed Research Institute.

A completed RI Application form and competitor analysis should be submitted to DVC Research and Innovation.

The application and competitor analysis will be reviewed by a panel<sup>1</sup> consisting of:

- Vice Chancellor
- DVC Research and Innovation,
- Director of Research and Enterprise,
- PVC for College in which RI will be based,
- Director of Research for the host College/School,
- Director of Research with no links to host College/School.

If approved the decision will be reported to [Research and Enterprise Committee](#).

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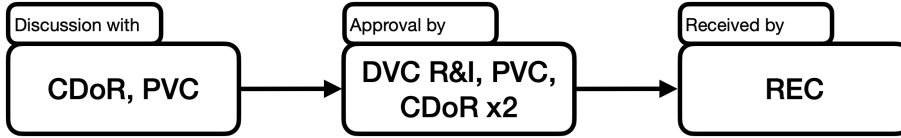
<sup>1</sup> Where there is a conflict of interest a deputy/alternative should be identified. Conflicts of interest should be noted by the review panel for transparency.

## 7.1. Approval processes

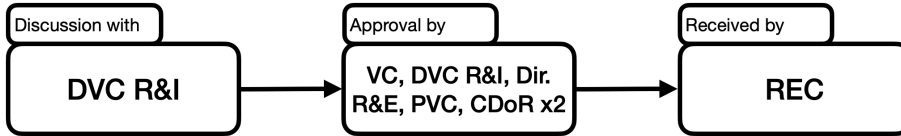
### Research Groups and Networks



### Research Centres

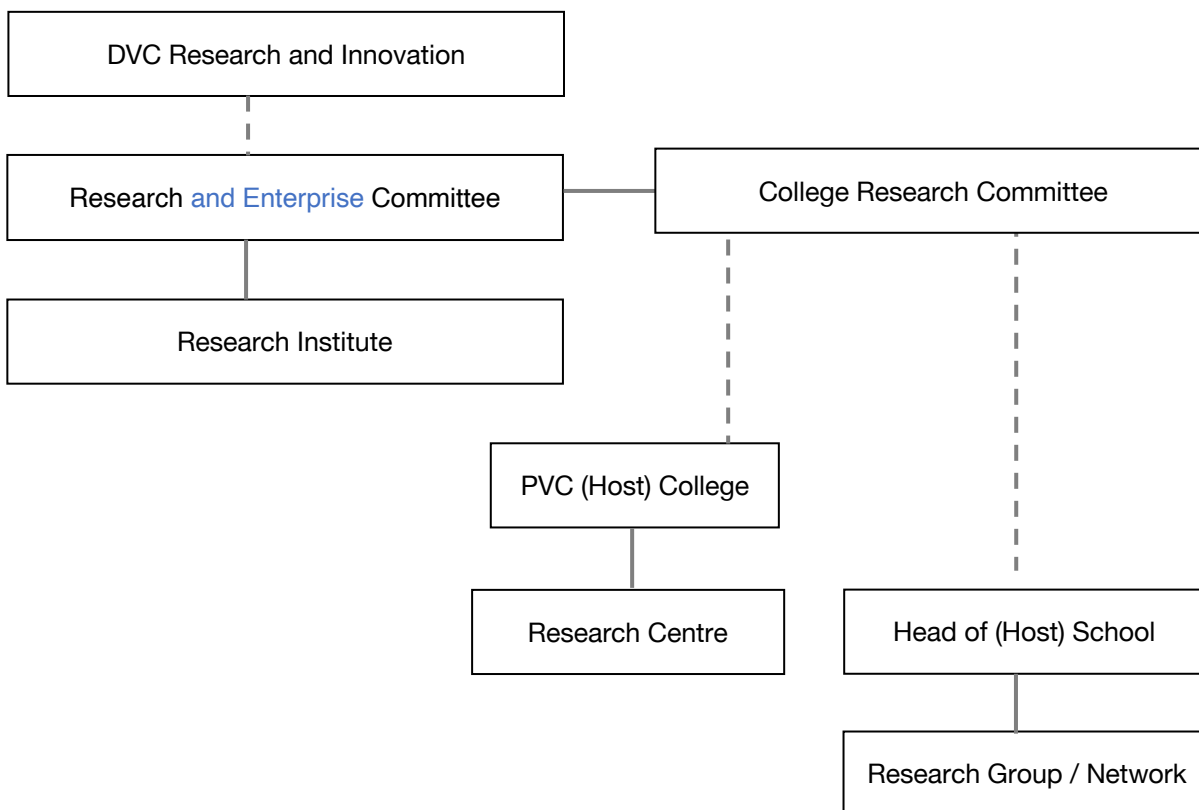


### Research Institutes



## 8. OVERSIGHT & GOVERNANCE

### 8.1. Oversight structure



### 8.2. Institutional Oversight

#### Research and Enterprise

A central list of approved research units and their leads shall be held by **Research and Enterprise** and shared with other Professional Services as required e.g.

- Communications, Development and Marketing (CDM) and ICT to ensure internal structures and external facing media are harmonised.
- Human Resources (HR) for line management of research staff (e.g. PDRAs).
- Research and Enterprise for research support.

#### Research and Enterprise Committee

Research and Enterprise Committee shall receive application decisions, outcome of review, financial/governance reports, minutes of management board/executive / Steering Committee meetings and annual reports for RC and RI

### 8.3. Support Network

A support network for RC & RI directors will comprise of an online discussion forum to be supplemented with regular meetings to allow leads to interact and help develop a voice within the institution for our RCs.

### 8.4. Online presence

RCs and RIs must be visible on central university research web pages (with links to external pages as appropriate), differentiating based on their strategic priority and external recognition.

RGN should have an online presence on school web pages.

All web pages must follow university corporate branding guidelines and may be supported by CDM.

### 8.5. Research Unit Review

Research Unit Review will take place periodically every three years and is designed to explore the contribution to the University, identify strengths and weaknesses, and promote constructive change. An earlier review may be initiated by the DVC Research and Innovation.

For RGN, the review will evaluate the benefit to academics within the unit as well as to the host School(s).

For RC and RI, emphasis will be placed on providing evidence of impact for the University, membership or stakeholders that would not have happened without the research unit.

For RCs the financial plan and agreed support by Schools and College should be set for the next cycle as part of the review.

RIs will also be reviewed three years after their formation to assess their progress towards financial sustainability.

The review process presents an opportunity to reflect on the RI/RC activities over the previous three years and formulate a plan for the next three years. The spirit of the review will be formative and constructive.

Annual Reports. Annual reports should review on the activities against their stated research agenda and performance indicators and should evaluate whether a RC / RI is delivering its objectives.

### **Review Process**

Review of RGN:

The review is a one-stage process:

- Stage 1: A brief report to be completed using the Research Unit Review pro-forma to be reviewed by review panel.

Review Panel – RGN

- College Research Committee,
- HoS for host School.

Review of RC & RI:

The review is a two-stage process:

- Stage 1: A brief report to be completed using the Research Unit Review pro-forma.
- Stage 2: A 10 minute presentation from the RI/RC Director(s) on the vision for the Institute, followed by a discussion with the review panel.

Review Panel – RC and RI

- DVC Research and Innovation,
- Subset of senior members of Research and Enterprise Committee, as directed by the DVC Research and Innovation.

### **Review Outcome**

Unsatisfactory reviews may result in closure of the unit or a revision to their stated research agenda and/or performance indicators.

Outcomes of the review(s) will be reported to Research and Enterprise Committee and logged with Secretariat.

### Research Unit Application Pro-forma

Please tick as appropriate	Research Group/Network		Research Institute		Research Centre
Name of Research Unit					
Name of Director / Lead academic					
Host College					
Member / Associated College / Schools					

Membership provide details of any additional members (please add additional lines as required)		
Name	Job title (e.g. Professor XXX)	Affiliation (e.g. UoL / external organisation)

Please outline which [University Research Theme\(s\)](#) the research unit addresses and how (Research Groups & Networks should outline one, while Research Centres & Institutes should outline at least two)

Please outline the strategic objectives of the Research Centre / Institute (suggested 300 words) (in line with Research Units (RU-01) section 3.2 for Research Groups & Networks / 4.2 for Research Centres and 4.2 and 5.2 for Research Institutes )

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Please outline any sources of funding (internal / external)

Does the research unit require administrative support?	Yes		No	
(if yes, please provide details and how/if this will be funded)				

**Research Centre and Research Institute applications ONLY**

Please complete Research Unit - Competitor Analysis pro-forma and append to this application
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Please provide details of any space, equipment or facilities required

Please provide details of your financial plan with clear targets for external income generation

**Details of person completing form**

Name of person completing form	
Position	
Signature	
Date	



## Research Unit Annual Review Pro-forma

For *Periodic reviews* please incorporate material from previous annual reviews in the period to provide an overall report on progress and achievements.

Name of Research Unit	
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Please provide details of how you have met your agreed research unit objectives/aims (please cross refer to your application/previous research unit review)

Please explain how your unit is currently supporting PGR students, Postdocs and ECR staff.

Please provide details of major academic achievements / outcomes arising from the Unit's activity this year

Please provide details of wider academic benefits (to the unit / host school, college or university)

Please provide details of any external income generated (please cross refer to your financial plan)

Please provide an overview of any <i>major</i> financial expenditure (please cross refer to your financial plan)

Please provide details of any revised aims / objectives

### Details of person completing form

Name of person completing form	
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Position	
Signature	
Date	

**Detail of person responsible for conducting the review**

Name of person completing review	
Position	
Signature	
Date	



<b>Research Centre / Institute</b>	
<b>Operations (Management Structure &amp; Terms of Reference)</b>	
Final Version 1.0 19 June 2020 Effective Date: [insert date of agreement] Next review: 2 Years	
Author:	Sam Lewis – Research Governance Manager  [Add name of Centre / Institute author]
Approved by: Signature: Date:	

<b>Version History</b>	<b>Reason for change</b>

## **Guidance**

This document provides a starting framework for oversight, structure and terms of reference for the management of a research centre/institute.

It is intended that this document should be modified based on the nuances of individual research centres / institutes.

Oversight and review must be in accordance with Research Units (Structure, Governance & Review) – RU-01

\* indicate delete/modify as appropriate

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### **1. PURPOSE**

To outline the management board / steering committee\* structure and Terms of Reference (ToR) for University Research Centre / Institute [insert name of research unit].

### **2. SCOPE**

This document is applicable to all members of the management board / steering committee\*

### **BACKGROUND**

The [insert name of research unit] reports to the College Research Committee / University Research Committee\* (RC).

### **3. CROSS REFERENCES**

3.1. Research Units (Structure, Governance and Review)

### **4. PROCEDURE**

4.1. The management board / steering committee\* shall provide independent governance of the [insert name of Research Centre / Institute]

4.2. The management board / steering committee\* shall have independence from political, institutional, profession-related or market influences and similarly demonstrate competence and efficiency in their work.

4.3. Membership of the management board shall be inclusive, recognising the diversity of the research community in terms of the gender, age, ethnicity and background of members.

### **MEMBERSHIP REQUIREMENTS**

4.4. An appointed member must be prepared to have published his/her full name, profession and affiliation. When making appointments, potential conflicts of interest should be declared. There should be transparency with regard to such interests, and they should be recorded and published with the above personal details. The Research Centre/Institute Director\* will make a decision as to whether a conflict of interest is relevant based on the matter at hand.

4.5. An appointed member is expected to maintain confidentiality regarding the research centre/institute, meeting deliberations, financial status, and related matters.

4.6. For University staff, the time required for undertaking such service and the necessary training must be protected. This is part of professional activity, and it must be recognised as a fundamentally important activity on behalf of the University.

- 4.7. A management board / steering committee\* member is normally required to attend in full at least two-thirds of all scheduled Committee meetings in each academic year. Attendance at scheduled meetings should be of sufficient frequency to ensure a member's effective contribution to the work of the management board\*.
- 4.8. The Chair of the management board / steering committee\* will be formally appointed by [insert who will appoint]. The Chair will be a senior member of academic staff.
- 4.9. The Chair is expected to serve for three years. The Chair may serve successive terms of office with the approval of the [insert who will appoint].
- 4.10. Management board / steering committee\* members shall be drawn from within the University who have the required expertise and knowledge research area.
- 4.11. A management board member is expected to serve for three years. Members may serve successive terms of office with the approval of the University Research Committee (as required).

## **MANAGEMENT STRUCTURE**

Insert hierarchy here

## **TERMS OF REFERENCE**

- 4.12. To establish, review, and revise activity and strategy relating to the research unit [insert name].
- 4.13. To monitor activity of the research unit.
- 4.14. To report formally to the University Research Committee any serious concerns which the management board\* has been unable to resolve.

## **MEMBERSHIP**

- 4.15. Membership to consist of the following:
  - Research Centre/Institute Director
  - Chair
  - [add further membership as required]

## **QUORUM**

- 4.16. One-third of the members eligible to attend to constitute a valid meeting

## **FREQUENCY OF MEETINGS**

- 4.17. Meetings to be held quarterly – meeting dates [to be added]
- 4.18. Meetings will be minuted and actions will be noted and followed up.
- 4.19. Confirmed minutes will be made available to the College Research Committee / University Research Committee.



<p><b>Research Centre / Institute</b></p> <p><b>Operations (External Advisory Board Terms of Reference)</b></p> <p>Final Version 1.0 19 June 2020</p> <p>Effective Date: [insert date of agreement]</p> <p>Next review: 2 Years</p>	
Author:	XXX
Approved by: Signature: Date:	

Version History	Reason for change

## **Guidance**

*This document provides a starting framework for oversight, structure and terms of reference for the external advisory boards to a University of Lincoln research centre/institute.*

*It is intended that this document should be modified based on the nuances of external advisory boards to research centres / institutes.*

*Oversight and review must be in accordance with Research Units (Structure, Governance & Review) – RU-01*

*\* indicate delete/modify as appropriate*

*This text should be removed*

### **1. PURPOSE**

To outline the external advisory board (EAB) structure and Terms of Reference (ToR) which provide external advice to [insert name of research unit].

### **2. SCOPE**

This document is applicable to all members of the EAB

### **BACKGROUND**

The EAB provides external advice, support and guidance to [insert name of research unit].

### **3. CROSS REFERENCES**

3.1. Research Units (Structure, Governance and Review)

### **4. PROCEDURE**

4.1. The EAB shall provide external advice, support and guidance to [insert name of research unit].

4.2. The EAB shall have independence from political, institutional, profession-related or market influences and similarly demonstrate competence and efficiency in their work.

4.3. Membership of the management board shall be inclusive, recognising the diversity of the external research community in terms of the gender, age, ethnicity and background of members.

### **MEMBERSHIP REQUIREMENTS**

4.4. An appointed member must be prepared to have published his/her full name, profession and affiliation. When making appointments, potential conflicts of interest should be declared. There should be transparency with regard to such interests, and they should be recorded and published with the above personal details. The Research Centre/Institute Director\* will make a decision as to whether a conflict of interest is relevant based on the matter at hand.

4.5. An appointed member is expected to maintain confidentiality regarding the research centre/institute, meeting deliberations, financial status, and related matters.

4.6. An EAB member is normally required to attend in full at least two-thirds of all scheduled Committee meetings in each academic year. Attendance at scheduled meetings should be of sufficient frequency to ensure a member's effective contribution to the work of the management board\*.

- 4.7. The Chair of the EAB will be the Director of [insert name of research unit]. The Chair will be a senior member of University of Lincoln academic staff.
- 4.8. The Chair is expected to serve for three years. The Chair may serve successive terms of office with the approval of the [insert who will appoint].
- 4.9. EAB members shall be drawn from external stakeholders who have the required expertise and knowledge research area.
- 4.10. An EAB member is expected to serve for three years. Members may serve successive terms of office with the approval of the Director of [insert name of research unit] (as required).

## **MANAGEMENT STRUCTURE**

Insert hierarchy here

## **TERMS OF REFERENCE**

- 4.11. To provide advice, support and guidance to [insert name of research unit] in relation to the unit's research activity and strategy.
- 4.12. To monitor activity of the research unit.
- 4.13. To promote and support the external stakeholder relationships of the research unit.

## **MEMBERSHIP**

- 4.14. Membership to consist of the following:
  - Research Centre/Institute Director
  - [add further membership as required]

## **QUORUM**

- 4.15. One-third of the members eligible to attend to constitute a valid meeting

## **FREQUENCY OF MEETINGS**

- 4.16. Meetings to be held quarterly – meeting dates [to be added]
- 4.17. Meetings will be minuted and actions will be noted and followed up.
- 4.18. Confirmed minutes will be made available to the [insert name of research unit] management board\* and to University Research Committee.