THE UNIVERSITY OF
WAIKATO
Te Whare Wānanga o Waikato

(A) Principles

1. Formal research platforms are integral to the University of Waikato's *Vision* and commitment to being a world class research-led University.

2. The University of Waikato supports the establishment and operation of a range of research platforms. These include:
   2.1 Service-Based Units, typically focused on a laboratory or facility, or specific expertise and/or methodologies, providing specialist services to other parts of the University, and to outside organisations;
   2.2 Research Centres, which bring together a range of research expertise, often (but not necessarily) from different disciplines, and which over time undertake a programme or programmes of research through a series of interrelated projects;
   2.3 Research Institutes, which follow a similar definition to Centres, but which tend to have a more permanent and on-going presence, will normally span a range of disciplines, and which will be characterised by involving at least some dedicated staff;
   2.4 Research Groups or Laboratories, Research Networks, and Research Units are informal research platforms typically operating at departmental or university levels. Their formation when appropriate is encouraged and supported but they are not the concern of these guidelines.

3. The guidelines and processes set out in this document apply to new and existing Service-Based Units.

4. These are guidelines, and are not intended to be overly prescriptive, but rather to support the establishment of appropriate research platforms to promote, support, and provide a suitable profile for activity within the University.

(B) Guidelines and Processes

1. **Definition of Service-Based Units**
   1.1 Service-Based Units are normally established and focused on specific technical staff expertise, or on a particular facility (e.g. a laboratory), or on unique equipment.
   1.2 A Service-Based Unit operates within a faculty and may be located within a single department, or across several departments (in which case there will be a designated host department) or it may be hosted at the faculty level.
   1.3 Service-Based Units will typically operate by charging for services provided, and their budgets may include a portion of staff salaries covered by such income.

2. **Establishment of Service-Based Units**
   2.1 The following application and approval process is normally required for the establishment of a Service-Based Unit;
   - Step 1: The Unit advocate(s) notifies the relevant chairperson(s) of department, associate dean research (or equivalent) and dean (or equivalent) that they intend to develop a proposal for the establishment of a Service-Based Unit;
   - Step 2: In preparing the proposal (see 2.2) the Unit advocates should consult with relevant internal and external stakeholders, e.g. end-users, collaborators, the Research Office;
   - Step 3: The proposal is submitted for consideration to the chairperson(s) of the department(s) within or across which the Unit will operate. Once support has been obtained, the proposal is submitted to the dean;
   - Step 4: The dean seeks the advice of the faculty board on the establishment of the Unit;
   - Step 5: The dean considers the proposal and the recommendations of the chairperson(s) of department(s) and the faculty board, and approves or declines the establishment of the Unit, and its proposed budget model and *modus operandi*;
   - Step 6: Approved proposals are submitted by the dean to the Research Office and the Research Committee for information;
   - Step 7: The establishment of the Unit is communicated internally by the faculty. Service-Based Units, and their staff, are listed in the University Calendar.
   2.2 Proposals should contain the following information, where relevant:
   - i. Name of the proposed Service-Based Unit;
   - ii. Faculty within which the Unit will be located;
   - iii. Department(s) the Unit will operate within and the name(s) of the relevant chairperson(s);
   - iv. Host department or faculty;
   - v. Name of the proposed Service-Based Unit leader or manager, if available;
   - vi. Justification, and business and budget model for the unit;
   - vii. Facilities (including space), staffing, operation and publication plans;
   - viii. Agreed arrangements for cost and revenue sharing between departments (if relevant).

3. **Administration of Service-Based Units**
   3.1 The administration of a Unit must comply with the relevant University policies relating to Intellectual Property, External Contracts and Staff Conduct, and the *Handbook on Research and Outside Professional Activities*.
   3.2 A Unit will promote its activities through the relevant faculty/department web sites and printed material. All promotional material must be approved by the University's Communications and External Relations Division and must display the University's official logo.

4. **Reporting for Service-Based Units**
   4.1 The overall performance of a Unit will normally be monitored by the chairperson of the host department on behalf of the dean.
   4.2 A Unit must submit an annual report to the chairperson of the host department and to the dean of the faculty within which it is located. A copy of the report should be sent to the Research Committee for information.
   4.3 The annual report should give an overview of the Unit's activities and achievements for the year, including conference involvement, publications, collaborations, international visitors, grants, contracts, and postgraduate student activity.

5. **Review of Service-Based Units**
   5.1 Deans are required to review their Service-Based Units regularly to assess whether they should continue in their current form, be refocused, or be discontinued, and report to the Research Committee every three years.
   5.2 The reviews of Service-Based Units will include assessment of the following performance criteria:
   i. income generation and self-sufficiency;
   ii. level of staff development;
   iii. effective knowledge transfer to end-users;
   iv. significance of support for other research groups and activities across the University and beyond;
   v. on-going research activities in terms of support for high-quality publication, peer esteem and IP as relevant;
   vi. continuous flow of research postgraduate students (and research degree completion) as relevant.

Approved by Academic Board: 29 May 2012