U N I V E R S I T Y   O F   Y O R K
Senate
UNIVERSITY RESEARCH COMMITTEE

Guidance for Departments on Research Entities

1. The University has a range of Research Centres, Units and Groups (referred to collectively as Research Entities) that support research. To manage these entities, there is now an approved list which University Research Committee reviews on an annual basis. In addition, those Entities carrying greater risk or opportunities are subject to more central oversight and are listed on the central web pages.

2. Whilst staff may be aligned with an Entity, the primary alignment of staff is with an Academic Department. This will be reflected in central systems (it is recognised that some Departments have set up Departmental sub-units to which staff may be aligned, provided they are wholly within the Department)

3. There are 10 different types of Research Entity which are recognised and against which all current research Entities have been mapped. The process for changing the designation of a current Entity, proposing a new Entity or disbanding an existing Entity is given below.

4. How an Entity is managed and how it will be promoted is dependent on the classification type, and different governance and communication models have been agreed. Whilst there may be approved variations, the standard governance and communications models for the different types are:-

Type	Descriptor	Governance			Communication		
		1	2	3	1	2	3
1	Single dept - small	✓			✓		
2	Single dept - medium	✓				✓	
3	Interdisciplinary - small	✓			✓		
4	Interdisciplinary - medium		✓			✓	
5	Interdisciplinary - large			✓			✓
6	External partnership - small	✓			✓		
7	External partnership - medium		✓			✓	
8	External partnership - large			✓			✓
9	Platform - larger interdepartmental			✓			✓
10	Platform - strategic facility		✓			✓	

5. The requirements of the different models are described in the tables below:-

Governance

	Model 1	*Model 2*	*Model 3*
Management	Overseen by Department, normally with an academic/research lead	• Departmental Research Committee (s) • May (but not required) to have in place an advisory board or Memorandum of Understanding with the external partner. • A Director will be appointed, on a fixed-term appointment (typically four years, renewable for a maximum of a further four years)	• Steering Group Set, chaired by the Dean or Associate Dean with membership generally including relevant HoDs, a Planning Officer, an Accountant and a representative from the Research/ Business Development team. • External partnerships will normally have a Memorandum of Understanding in place with the external partner and that partner may be represented in the governance structure • A Director will be appointed, on a fixed-term appointment (typically four years, renewable for a maximum of a further four years)
Finances	Wholly within the department. For cross departmental centres, a lead Department must be agreed and finances managed according to the standard arrangements for collaborative grants	The Faculty Support Group may agree to the setting up of a separate cost centre for the entity. Financial procedures follow those of the parent/lead department with normal procedures split across contributing departments as for collaborative grants.	Financial procedures will need to be in place to manage risk and concurrently ensure potential for investment and growth and this will be agreed as part of the approval process.
Approved by	Departmental Management Team. University Research Committee to approve the transition from governance models 2 or 3.	University Research Committee to approve the establishment or transition from governance models 1 or 3.	University Research Committee and Planning Committee to approve the establishment or transition from governance models 1 or 2. The Centre will normally have a formal research strategy in place to underpin initial approval and subsequent reviews.
Review	Department must review and confirm annually, via the Annual Departmental Research Reviews, that the entity is still active.	The relevant Associate Deans for Research will review the entity via a short annual report from the respective Chair(s) of DRC through ADRR	University Research Committee (and UTC for combined teaching and research centres) will undertake a review, normally on a 4-year rolling programme. In addition, the Steering Group is required to provide a short, annual report to URC on activities.

Communication

	Model 1	Model 2	Model 3
Webpages	On Departmental Web pages, no central listing	Listed on institution web pages	Listed on institution web pages
Named Lead	Lead academic is not required to be named	Director will be named on website, together with any other key contacts	Director will be named on website, together with any other key contacts
Nomenclature	New Entities may use descriptor of Group, Network, Cluster, and Laboratory. Centre may be appropriate in a small number of cases	New Entities may use the descriptor of Centre, but Group, Network, Cluster and Laboratory may also be appropriate	New Entities may use the descriptor of Institute (or School for combined teaching and research entities)
Name Approval	By Department	Centre name, including requests for alternative nomenclature, to be part of approval process	Centre name, including requests for alternative nomenclature, to be part of approval process

Process for approval or reclassification of an Entity

Entities that fall under Governance Model 1 will be approved by the Department. Once approved, the relevant Associate Dean must be informed to ensure that it is added to the list of Entities.

New Entities that fall under Governance Model 2 and 3 will require approval by University Research Committee. Approval will be given using the proposed form in Appendix One. Departments should discuss the proposal with the Associate Dean in the first instance, who can advise on the type of entity that might be appropriate. Entities falling under Governance Model 3 will also require Planning Committee approval following URC approval.

Existing Entities that fall under Governance Model 2 and 3 and wish to request change to their classification type will require approval by University Research Committee, which can also be done by using the form. University Research Committee may also review the classification, following the submission of the annual report or, for Governance Model 3, as a result of a periodic review.