

SFI Research Centres Governance Report Template

December 2015

The purpose of the Research Centre Governance report is to capture the vision, strategy, plans, activities, achievements and progress towards the Centre's overall goals in all aspects of the Centre's operations during the previous six months. The Governance report will be prepared by the Centre Executive Committee on a six-monthly basis for approval (and possibly amendment) by the Governance Committee at its half-yearly meetings. Following approval, the Governance report will be submitted to SFI, along with the minutes of the Governance Committee meeting and the cover letter from the President/Provost of the host institute.

The Governance report will contain material of an operational, management and governance nature, not typically presented in an annual report. The Governance report will be used by SFI for programme assessment and information/data gathering. The Governance report will be made available to the SFI Executive and SFI Board following submission, and may be made available to other Government stakeholders, as appropriate. While the Governance report will not be made publicly available, SFI reserves the right to provide the reports to external reviewers during programme or Centre-level programmatic evaluations.

The deadlines for submission of the Governance reports are May 30th and Nov 30th. The May 30th governance report should reflect activity in H2 2015 while the Nov 30th report should reflect activity in H1 2016. The reason that there is about 5 months of time lag between the end of the relevant reporting period and the report submission is the delay required in submission and validation of the RC financial reports. The financial reports are vital for the reporting of the cost share KPIs, namely Cash in Bank, % Industry cost Share (total) and % Industry cost Share (cash).

It is expected that a Research Centre's Governance Committee will meet at least twice per year – typically in March/April and Sept/Oct of each year.

Arising from these meetings, the Governance Committee will prepare a number of documents:

- Minutes of the meetings of the Governance Committee, Scientific Advisory Board and Industry Advisory Board
- A Governance Report which includes copy of the full list of KPIs and their performance against targets
- A supporting letter from the relevant host Research Body President

The KPI table is presented below. There are 15 KPIs against which the Research Centres will be asked to set annual targets. Twelve of the KPI results can be captured directly from SESAME at any time. The three finance related KPIs (marked in Red) are captured from the detailed financial reports which are submitted to the SFI finance director in March and Sept of each year. Once the financial data is analysed and validated, SFI scientific staff will email the Research Centre directors with a table

containing the 15 KPI results against target. Cumulative results are also circulated. This KPI table should be discussed at the governance committee meetings.

	2015 KPI Target	2015 KPI Result
Journal Publications		
Conference Publications		
# MSc/MEng Graduates		
# PhD Graduates		
% Trainee departures with industry as first destination		
# participations in major EU initiatives		
# coordinations in major EU initiatives		
# ERC awards granted		
Funding from non-exchequer, non-commercial sources		
Cash Received (in Bank)		
% Industry Cost Share (cash)		
% Industry Cost Share (total)		
# spin out companies formed		
# EI commercialisation awards		
# licence agreements		

It is therefore important the SESAME Researcher profiles are kept up to date, in particular at the following times:

Feb 5th 2016 for the Annual “Research Output” return

Early April 2016 for validation of H2 2015 data

Early October for validation of H1 2016 data

The Governance report is structured as a series of narrative sections and according to the headings given below. Additional relevant information may also be provided.

The total length of the report must not exceed 12 pages.

1. Operational Management and Governance

- Summarise the long-term strategic goals of the Research Centre. For each goal describe the activities relevant to its achievement (e.g. management meetings, advisory board meetings, management training, team meetings), most significant or relevant outputs to date (note that the full list of outputs will be drawn from SESAME as a separate submission) and self-assessment on performance and issues.
- Describe the implementation of the Centre's strategy and comment on progress compared with the vision of the centre and goal to be internationally competitive.
- Describe any changes to corporate governance (for example, changes in any team members on any of committees) and the impacts of such changes (if any).
- Describe the short-term objectives for the previous six months. For each objective describe activities relevant to its achievement (e.g. management meetings, advisory board meetings, management training, team meetings), most significant or relevant outputs (note that the full list of outputs will be drawn from SESAME as a separate submission) and self-assessment on performance and issues.
- Describe the short-term objectives for the next six months. For each objective, describe activities relevant to its achievement, and comment on expected performance and issues.
- Describe noteworthy decisions made in the last six months, reasons for making these decisions, the outcomes and issues.
- Describe key recommendations from the Governance Committee, Industry Advisory Committee and Scientific Advisory Committee, any actions taken to implement those recommendations, any outcome of the recommendations and self-assess the Centre's performance and issues.
- Describe any additional support provided by the host Research Body, benefits and reasons for the support, outcomes and issues arising.
- Describe any operational and management issues experienced during the previous 6 months, how these issues were responded to, outcomes of the response and self-assessment of the response and outcomes.
- Describe any instances of conflict of interest management, the nature of the conflict, parties involved, activities to manage the conflict, type of action/oversight implemented, outcome and performance of the response.
- Describe any issues of research integrity that have arisen and the steps being taken to address these issues.

2. Financial Management

- Describe noteworthy issues/events resulting from financial monitoring of the centre. Describe the nature of the issue, response applied, outcome of the response and self-assessment on performance.
- Assess the current achievement of industry cost-share and describe remedial steps being undertaken in the event of an anticipated short-fall.
- Provide a brief analysis of current spend versus budget.

3. Research Programme

- Provide highlights of the research carried out in the previous six months, and the resulting noteworthy outputs.
- Summarise interactions between PIs, activities leading to those interactions, related outcomes, issues and performance.
- Summarise interactions between research strands/platforms/spokes, activities leading to those interactions, related outcomes, issues and performance.
- Summarise academic collaborations, activities resulting from these collaborations, related outcomes, issues and performance.

4. Industry Partner Engagement

- Outline the Centre's strategy for engaging new industry partners, industry-related activities in the previous six months (e.g. company site visits, meetings), outcomes of the activities, performance and issues.
- Summarise interactions with current industry partners, relevant activities, outcomes, performance and issues.
- Outline the strategy for growth of industry-academia secondments and staff exchanges, current activities to-date, planned activities, outcomes, related performance and issues.
- Outline the strategy for growth of industry cost share, relevant activities, outcomes of activities, related performance and issues.
- Summarise any relevant or important industry feedback and outline actions taken to implement this feedback.

5. Non-Exchequer Funding

- Summarise achievements in securing non-Exchequer funding (e.g. through Horizon 2020, Wellcome Trust and other similar bodies).
- Outline the Centre's strategy for developing further non-Exchequer funding over the coming period and comment on any recent changes to that strategy.
- Comment on the achievements versus targets set for the period and describe any actions being taken to address a short-fall in targets (if any).

6. Technology Transfer Activities

- Summarise the strategy to identify and capture IP, report relevant initiatives (e.g. IP identification and assessment exercises, interactions with TTOs, invention disclosures), outcomes and outputs (e.g. patents filed/granted, IDFs), related performance and issues.
- Highlight any difficulties identified in technology transfer and the steps being taken to address these difficulties.
- Summarise the most significant technology transfer activities or achievements over the previous six months arising from the Centre's activities (e.g. licences, spin-outs, commercialisation awards, private investments).

7. Risk Management

- Describe any risks (whether research, academic or commercial) identified and summarise actions being taken to address these risks.
- Describe on any risk management actions previously undertaken and comment on the success or otherwise that these actions have had.

8. Education and Public Engagement (EPE)

- Please provide a summary of key achievements within the education and public engagement programme of the Centre since the last reporting period.
- Please highlight any challenges encountered, the causes and how they were overcome

9. Communications

Please provide an overview of key national and international communications/marketing actions undertaken by the Centre since the last reporting period, including the following:

- Provide a brief outline your centres communications objectives for the period and how they were achieved/not achieved
- Provide an overview of engagement with key stakeholders (media, industry, government, etc.) to promote the work of the research centre
- Provide an overview of media coverage (international and national) obtained during the period
- Provide details of marketing/branding/advertising materials produced to promote the centre
- Provide an overview of the online promotion of your centre online including social media platforms
- Provide details of your most successful communications actions
- Please provide an outline/overview of key plans for next year

10. KPI Results

Please provide a narrative on how the Research Centre is performing against its KPI targets. Please address any issues which may prevent the Centre meeting their future targets.