









## CENTRES PROCEDURE:

### Establishment, Management and Review of Centres and Institutes

<b>Policy Hierarchy Link</b>	This procedure details actions pursuant to the authority listed in the Register of Delegations: Establish and disestablish a University Centre or Institute (Section 7.3.2)		
<b>Responsible Officer</b>	Vice-President and Deputy Vice-Chancellor (Research) & Vice-President and Deputy Vice-Chancellor (Academic)		
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<b>Superseded Documents</b>	<i>Centres Procedure: Establishment, Management and Review of Centres</i> , version 2.0 approved 21 May 2012		
<b>File Number</b>	2010/02665		
<b>Associated Documents</b>	<p>1:  <a href="#">Template for the Establishment of UNSW Internal Centres</a></p> <p>2a:  <a href="#">Template for Financial Reporting of UNSW Centres: Centre Establishment format</a></p> <p>2b:  <a href="#">Template for Financial Reporting of UNSW Centres: Annual Report format</a></p> <p>2c:  <a href="#">Template for Financial Reporting of UNSW Centres: Steering Committee format</a></p> <p>3:  <a href="#">Template for the Review of UNSW Centres</a></p> <p>4:  <a href="#">Template for Confidentiality Agreement for External Steering Committee, Advisory Committee and Review Panel Members</a></p> <p>5:  <a href="#">Template Checklist for Closure of a UNSW Internal Centre</a></p> <p>6:  <a href="#">Template for Centre Business Plan</a></p> <p>7:  <a href="#">Template for the Establishment of UNSW External Centres</a></p> <p>Intellectual Property Policy Paid Outside Work by Academic Staff Research Code of Conduct UNSW Delegations of Authority Conflict of Interest Policy Insider Trading Policy Website Branding Guideline Website Policy Higher Degree Research Supervision Policy Register of Delegations</p>		
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## 1. Purpose and Scope

This procedure covers the principles and processes for the establishment, management, review and closure of all Centres and Institutes involving UNSW, except where they are administrative units of UNSW, e.g., Learning Centre, Mark Wainwright Analytical Centre.

## 2. Definitions

The term "Centre", when used generically in this procedure refers to the following categories of Centres and Institutes:

### *Internal Centres & Institutes:*

- UNSW Research Centres
- UNSW Program Centres
- UNSW Community Centres
- UNSW Industry Centres
- UNSW Research Institutes

### *External Centres & Institutes:*

- Commonwealth/State Funded Centres
- Other Centres and Institutes involving external parties

With the exception of a small number of administrative units that historically carry the name "Centre", the terms "Centre" and "Institute" may only be applied to Internal and External units that have been established under, and comply with, the UNSW Centres Procedure in force at the time of establishment.

The Vice-President and Deputy Vice-Chancellor (Research) has responsibility for the establishment and closure of Internal UNSW Research Centres, Industry Centres and Research

Institutes and External Centres and Institutes whose primary functions are the conduct of research and/or industry engagement. The Vice-President and Deputy Vice-Chancellor (Academic) has responsibility for the establishment and closure of Internal UNSW Community and Program Centres and External Centres and Institutes whose primary functions are community engagement and/or education. Unless otherwise stated, Vice-President and Deputy Vice-Chancellor refers to the relevant Vice-President and Deputy Vice-Chancellor Where a Vice-President and Deputy Vice-Chancellor is described as performing a specific role in this Procedure, that Vice-President and Deputy Vice-Chancellor, subject to any limitation of delegation in the register of Delegations, may authorise a Pro-Vice-Chancellor to carry out this function on his or her behalf.

## **2.1 Internal UNSW Centres and Institutes**

Internal UNSW Centres and Institutes typically share the following properties:

- Established and operated within a single Faculty, known as the Presiding Faculty.
- The participation of more than one School and/or Faculty
- An interdisciplinary/multidisciplinary focus with significant collaboration at the national and international level
- A range of research, teaching and/or community service activities that cannot be accommodated within the usual School/Faculty structure
- Alignment with the strategic goals and priorities of UNSW
- Alignment with the areas of research strength or emerging research strength of UNSW
- Sole governance by UNSW
- Activities commensurate with a significant critical mass, that is appropriate for the research discipline, in order to deliver the research outcomes
- An income stream from one or more sources which may include competitive, philanthropic, industry and international sources;
- Infrastructure support from the Schools and Faculties involved, including space, equipment and facilities
- A department ID (cost centre) and set of accounts separate from that of any School or other unit.

### **2.1.1 UNSW Research Centres**

Research Centres have, as their principal mission, to undertake research in an established or emerging area of research strength. They may also play a role in teaching and community activities.

### **2.1.2 UNSW Program Centres**

Program Centres undertake interdisciplinary teaching and/or other educational activities which involve significant cooperation across School and/or Faculty boundaries. There may also be a significant research and/or community service component.

### **2.1.3 UNSW Community Centres**

Community Centres undertake outreach and community engagement of UNSW in areas aligned with the strategic priorities of UNSW. There may also be a significant research and/or teaching component.

### **2.1.4 UNSW Industry Centres**

Industry Centres facilitate collaborative research engagement of UNSW with private sector organizations. Industry Centres generally require cash contributions by industry, comprising at least 30% of the Centre's annual operating budget (i.e. excluding project funding). Industry representatives may contribute to the Centre in an advisory capacity.

### **2.1.5 UNSW Research Institutes**

UNSW Research Institutes are umbrella organisations encompassing a number of Centres, or else may be major joint ventures involving UNSW Schools, Centres and Faculties. UNSW Research Institutes represent significant organisational grouping and longer-term, multidisciplinary research activity focused across several Schools/Faculties. They will ordinarily have significant linkages with industry, government and other external research organizations.

## **2.2 External Centres and Institutes**

External Centres are those which involve a number of organisations which, together with UNSW, have agreed to form a Centre in order to pursue a joint mission. Such organisations typically include other Universities, Research Organisations (for example CSIRO, ANSTO) and industry, government and institutional partners.

Section 7 describes procedures specific to External Centres.

### **2.2.1 Centres funded by well-established Commonwealth or State Government schemes**

These External Centres include ARC Centres of Excellence, ARC Industrial Transformation Research Hubs and Training Centres, ARC Special Research Initiatives, NHMRC Centres of Research Excellence and Cooperative Research Centres.

### **2.2.2 Centres established on the basis of specific, targeted initiatives by the Commonwealth or State Governments**

These External Centres include some National and Joint Research Centres, and some Affiliated and Community Centres.

### **2.2.3 Non-Government funded Centres established without a competitive bidding or tendering process**

These External Centres are generally funded from industry, philanthropic, and/or international sources.

## **3. Establishment of Internal UNSW Centres**

The University establishes Centres and Institutes to achieve research, teaching and community service outcomes that, by virtue of their multidisciplinary and interdisciplinary nature, complement and exceed what can be achieved by individual Schools and Faculties. The key criterion for the establishment and on-going operation of a Centre or Institute is that it add value to UNSW beyond that which would accrue from the normal conduct of its members' duties within a School, or in the case of a cross-Faculty Centre, within a single Faculty.

The Vice-President and Deputy Vice-Chancellor (Research) has responsibility for the establishment and closure (see section 6) of:

- UNSW Research Centres;
- UNSW Industry Centres;
- UNSW Research Institutes;
- Commonwealth/State Funded Centres whose primary activity is research; and
- Other Centres and Institutes whose primary activity is research, and involving external parties.

The Vice-President and Deputy Vice-Chancellor (Academic) has responsibility for the establishment and closure (see section 6) of:

- UNSW Program Centres;
- UNSW Community Centres; and

- External Centres whose primary activities are educational and/or community-based. The process to establish an Internal Research Centre or Industry Centre or Research Institute is provided at Appendix A, and the process to establish an Internal Program Centre or Community Centre is provided at Appendix B.

Each proposal to establish a Centre must:

- Articulate the additional value and benefits of the Centre by including strategic and business plans that align with Faculty and UNSW priorities;
- Take into account the administrative, financial and compliance burden that may be associated with the proposed Centre;
- Assess and take adequate steps to mitigate legal, financial, reputational, OHS and other risks associated with the Centre's establishment and continuing operation; and
- Provide a clear justification for the Centre as the most appropriate and efficient means to deliver the additional value to UNSW.
- Include a statement regarding the consultation with relevant researchers that has occurred in development of the proposal; this is particularly important for interdisciplinary Centres that span research interests in multiple Faculties.

The Centres Secretariat will:

- Seek input from UNSW legal counsel at the Legal Office (Research), Finance, Risk Management, Facilities Management and other parties as required to ensure that relevant factors have been duly considered;
- Provide advice on whether there are significant OHS, financial, legal or ethical risks associated with the proposed Centre, and hence whether a detailed risk audit, which will be reviewed by the UNSW Risk Management Office, is required;
- Update Faculty Deans and Associate Deans (Research) regarding pending proposals, to ensure that all relevant parties in the University are aware of the proposed Centre;
- Coordinate the sign-off and approval for establishment of the Centre with the office of the Vice-President and Deputy Vice-Chancellor;
- Advise the proposer and Faculty when the establishment of the Centre has been approved, and the date on which the formal name of "Centre" or "Institute" can be used; and
- Add the Centre to the UNSW Centres Registry and the Centres Secretariat website.

## 4. Management and Governance of Internal UNSW Centres

Centres must ensure that they are managed and governed in a manner that ensures that the high reputation of UNSW is maintained, and must not engage in activities which could bring UNSW into disrepute or in any way conflict with the mission of UNSW.

### 4.1 Centre Director

Each Centre must have a Director, who will normally be appointed by the Vice-President and Deputy Vice-Chancellor on the recommendation of the Presiding Dean. The Vice-President and Deputy Vice-Chancellor may, on the recommendation of the Presiding Dean, permit the Directorship of a Centre to be shared between two Co-Directors.

The Director:

- Is responsible for the appropriate management of the Centre in accordance with the Centre's objectives and the University's policies and procedures including the provision of regular and accurate financial reports in the format provided by the Template in Attachment 2c;
- Must hold a current, salaried employment contract with UNSW that covers at least their initial term;
- Will devote at least 0.5 FTE of his/her time to the Directorship role and Centre activities;

- May be eligible for reappointment subject to consideration of relevant factors including their performance as Director and that of the Centre;
- Should appoint a Deputy Director, whose principal task is to serve as Acting Director in the absence of the Director.

Presiding Deans and Heads of Schools:

- May approve appointment of two Co-Directors; the roles and responsibilities of each Co-Director need to be clearly articulated and the total time commitment of the Co-Directors must not be less than 0.5 FTE. One Co-Director may, at the discretion of the Vice-President and Deputy Vice-Chancellor, hold a non-salaried Conjoint or Adjunct academic position; and
- Must take action to ensure that the time that the Director devotes to the Centre is not detrimental to the Schools and/or Faculty.

## 4.2 Governance and Centre Steering Committees

The Presiding Dean has responsibility for the governance and operational and financial oversight of Internal UNSW Centres.

A Centre Steering Committee will be established for each Internal Centre by the Vice-President and Deputy Vice-Chancellor, on the recommendation of the Presiding Dean. In appointing Steering Committee members, the Vice-President and Deputy Vice-Chancellor will consider whether real or perceived conflicts of interest exist. Membership will typically be comprised of UNSW staff including:

- The Presiding Dean or nominee, who will normally act as Chair;
- The Centre Director;
- Up to three other members from Faculties/Schools associated with the Centre who are not members of the Centre, including, for example, the Faculty Associate Dean (Research) and/or the Faculty Finance/General Manager; and
- Other UNSW staff members, including conjoint/adjunct appointments to UNSW, co-opted as required from time to time to provide further specific advice on strategy, risk, finances and policy; external members, who bring specific expertise and experience to the Centre, may also be appointed, subject to members signing a confidentiality agreement provided in Attachment 4, and taking into account any potential conflict of interest.

The Steering Committee will act in guiding the Centre through:

- Setting and reviewing the strategic direction and objectives of the Centre;
- Evaluating the performance of the Centre against its objectives;
- Ensuring the Centre is compliant with UNSW Policies and Procedures;
- Regularly assessing the financial performance of the Centre;
- Evaluating risks and developing strategies to minimise them;
- Determining financial and other delegations of the Director; and
- Determining the composition of the Advisory Committee(s) and the timing of their meetings, and provide minutes of each meeting to the Centres Secretariat.

The Vice-President and Deputy Vice-Chancellor may also be a member of the Centre Steering Committee and/or may attend meetings.

The Centre Steering Committee will meet at least three times per year. A quorum will be 51% of members including the Chair. As the Presiding Dean has responsibility for the governance of the Centre, decisions are expected to be made by consensus or, in the case of dissent, by the Presiding Dean.

In the case of UNSW Centres in which several Faculties are officially involved, the Centre Steering Committee must refer decisions regarding proposed changes to the financial, infrastructure and staff commitment to the Centre by other Faculties to the corresponding Deans and the Vice-President and Deputy Vice-Chancellor as required.

It is expected that the size and composition of the Steering Committee, and the frequency of their meetings should be appropriate to the size, complexity and range of activities of the Centre.

#### **4.3 Advisory Committee(s)**

Establishment of one or more Centre Advisory Committee is at the discretion of the Presiding Dean. The formation of an Advisory Committee is highly recommended when there is active participation of, or engagement with, significant external professional, user or community organisations. The role of the Advisory Committee is to assist and guide the Director and the Centre Steering Committee on matters of research, strategy, teaching, community engagement and policy.

Advisory Committees are expected to meet at least annually (in person, or by teleconference) but the timing and the composition of the Committee may be modified from time to time by the Centre Steering Committee or Presiding Dean to reflect the needs of the Director and Centre Steering Committee.

An Advisory Committee would normally consist of the Director, one other member of the Centre Steering Committee and external members with distinguished reputations and/or wide experience relevant to the research area, teaching and community engagement, policies, programs and end-user implications of the Centre. External members of an Advisory Committee may be required to sign a Confidentiality Agreement, provided in Attachment 4.

#### **4.4 Funding and Financial Reporting**

Centres need to generate sufficient funding from sources including research grants, commercial activities and donations to enable them to cover all expected costs. Funds provided by a UNSW Faculty or a School should be negotiated on a stable arrangement with the relevant Dean and/or Head of School and recognise that competitive grant schemes usually do not cover the operational expenses of Centres.

All Centre finances, including research grants, must be run through the Centre's own Department ID (cost centre) established within the UNSW finance system, once the Centre has been formally established.

The Presiding Faculty has responsibility for the operations of the Centre, including its financial management. It is therefore recommended that the Centre's Department ID be established under the Presiding Faculty rather than under a single School. Any budget deficit is the responsibility of the Faculty of the Presiding Dean.

#### **4.5 Annual Report**

By 1 June each year, each Centre must forward an annual report, containing the information specified in Appendix C, to the Centres Secretariat in an electronic format (with the option of also providing a paper copy). The annual report must be approved by the Centre Steering Committee and must include a certification by the Presiding Faculty's Finance Manager that the financial position of the Centre as at the end of the previous calendar year is correctly represented in the annual report.

Centres are encouraged to publish their annual reports, after removal of any confidential information, on their website.

#### **4.6 Teaching and Training Activities within Centres**

Centres, with the exception of UNSW Program Centres, cannot have sole responsibility for undergraduate teaching activities. Postgraduate teaching and research training activities must be coordinated by a School or Faculty, in accordance with the relevant UNSW policies, procedures and delegations, unless the Centre has been authorized to coordinate such specific activities.

Centres may, through arrangements with Schools or Faculties, assist in the coordination and delivery of undergraduate and/or postgraduate teaching and training

programs. Funding received for teaching and training activities needs to be negotiated as part of the Centre arrangements with Schools and Faculties and should form part of the projected business case for the Centre, whenever appropriate.

#### **4.7 Centre Website**

Each Internal Centre must maintain a website, providing up to date information on the Centre and its activities. The website should conform to UNSW Branding Requirements.

The Centre's website should provide, at a minimum, the following information on its home page, or on an easily accessed page linked to the home page:

- The Centre's full name, and accepted abbreviation (if any);
- The Director's and Deputy Director's names and contact information;
- The location and other contact information;
- The mission statement of the Centre;
- The current objectives of the Centre;
- The Presiding Faculty;
- The Faculties and Schools with which the Centre is associated; and
- The Centre's logo (if any).

#### **4.8 Changes to the Name or Classification of an Established Centre**

Any proposal to reclassify an existing Internal Centre (e.g. between UNSW Internal Centre types), or to rename a Centre should be communicated to the Centres Secretariat, together with documented support for the change from the Presiding Faculty and the Centre's Steering Committee. The Centres Secretariat will review any such proposal, and advise on further steps to be taken. Reclassification of a Centre that involves substantive change to the Centre's mission, operations or structure may require the completion of a new Proposal to Establish a UNSW Centre (Attachment 1).

### **5. Review of Internal UNSW Centres**

All Internal UNSW Centres will be reviewed periodically, typically every three years, with the timing determined following consultation with the Presiding Dean and the Vice-President and Deputy Vice-Chancellor. The timing, scope and depth of the review will take into account the length of time the Centre has been operating, financial position, and general performance relative to time since establishment. The maximum time interval between Centre Reviews is 5 years.

The performance of each Centre will be reviewed to determine whether the Centre is delivering on its stated mission and objectives in a financially sustainable manner and continues to add significant value to UNSW's mission. The scope of the review will cover the aspects contained in the Centre Review Template provided in Attachment 3. The Centre review will also include examination of the functioning of its management and governance structures.

#### **5.1 Review Process**

The UNSW Centres Secretariat is responsible for managing the review process, in consultation with the Centre's Management and the Presiding Dean.

Each Centre will be given at least eight weeks notice by the Centres Secretariat to prepare for the review. Documentation for the review must be provided to the Centres Secretariat at least two weeks in advance of the scheduled review date.

Review panels will be established by the Centres Secretariat on the advice of the Presiding Dean, but may include members other than those recommended by the Dean. The Panel will be chaired by a Dean (who is not the Presiding Dean) or an appropriate Associate Dean or nominee. The panel will include at least two members of the academic staff who are broadly familiar with the research/teaching/community engagement area of the Centre but who are not directly connected with the Centre. At



least one member of the review committee must be external to UNSW. The external Panel member will be asked to sign a confidentiality agreement, using the Template provided in Attachment 4. The Manager of the Centres Secretariat, or nominee, will also be a member of the Review Panel.

The Review Panel will seek opinions and comments on the Centre's performance from qualified interviewees including some chosen from a list provided by the Director. Interviewees will normally include the Director, the Presiding Dean (or nominee) and the Head of the School most closely associated with the Centre.

The Manager of the Centres Secretariat will draft the report of the Review Panel, using the Template provided in Attachment 3. The Review Panel's final report will be approved by the chair of the Panel on behalf of the Panel, and sent by the Centres Secretariat to the Head(s) of Schools(s), the Presiding Dean and the Centre Director who can append responses to the report prior to it being submitted to the Vice-President and Deputy Vice-Chancellor.

## 5.2 Review Recommendations and Decisions

The Vice-President and Deputy Vice-Chancellor or Pro Vice-Chancellor will consider the review recommendations and make a determination that the Centre:

- Continue, in its current form, or;
- Continue, with changes (actions, milestones and timeframe to be specified), or;
- Be closed (reasons to be specified)

The Centres Secretariat will monitor the Centre to ensure that any recommended actions are implemented by the Centre within the timeframe specified.

Where the Review Panel requests a follow-up to the Centre review by a specified date, the Centre Director will, by that date, present a brief (typically one page) written report, on progress that the Centre has made in implementing the recommendations of the Review. The Centres Secretariat may interview the Director to discuss progress in implementing the recommendations, and will provide a written report to the Vice-President and Deputy Vice-Chancellor summarising progress.

## 6. Closure of Internal UNSW Centres

An Internal UNSW Centre may be closed by the Vice-President and Deputy Vice-Chancellor under the following circumstances:

- On the recommendation of the Presiding Dean, for example, on the grounds that it is no longer financially viable or no longer meets the strategic objectives of UNSW or the Presiding Faculty;
- Following the review of a Centre by a Centre Review Panel as outlined in Section 5;
- Where it has seriously breached UNSW policy, procedures or guidelines, or if the Centre in any way brings or is likely to bring the University into disrepute.
- Where it is superseded through the creation of a larger Centre, as for example following the award of a Commonwealth funded Centre as per Section 2.2.

In closing a Centre, the Vice-President and Deputy Vice-Chancellor must be satisfied that a strategy exists for the closure which takes into account Centre finances and resources (or management of deficit), resolution of any legal obligations as well as any impact on staff or students associated with the Centre. A process and checklist for the closure of a UNSW Internal Centre is provided in Attachment 5.

The Academic Board will be notified by the Vice-President and Deputy Vice-Chancellor of the closure of the Centre and the Centres Secretariat will remove the Centre from the UNSW Centres Registry and Centres website.

## 7. External Centres – See also Appendix D

UNSW's participation in External Centres requires careful evaluation of the associated benefits and risks. The term "participation" comprises instances where UNSW is considering being part of a consortium bidding for such a Centre, whether as the lead or as

a collaborating organisation, or is invited to join an existing Centre (for example when joining an established CRC) or proposes to change the nature of its involvement in a Centre (for example, proposes to withdraw from an existing Centre).

The Vice-President and Deputy Vice-Chancellor will decide whether UNSW will participate in an External Centre, and if so, on what terms..

When seeking UNSW support for participation in an External Centre, the UNSW proposer should first consult with his or her Head of School and the Dean of the Faculty which will provide oversight of the Centre (the "Presiding Faculty") to determine whether UNSW's participation in the proposed Centre will be of strategic value to UNSW. Once in-principle support has been obtained from the Faculty and relevant School, the UNSW proposer is required to provide the Centres Secretariat with any information that may be reasonably expected in order to evaluate the risks and benefits of participation. In the instance that UNSW is proposed to participate in a Centre of a type other than those funded by the well-established schemes (see section 2.2), this extra information may include the relevant funding rules, draft funding agreements, scheme documentation, tender instructions and any relevant legal documentation available such as draft participant agreements and term sheets, where applicable.

In determining the possible benefits to UNSW of the proposed Centre, the UNSW proposer should determine the magnitude and type of funding expected, the number of likely PhD students involved and the scale of the research and other programs envisaged. The risks to UNSW will depend on whether UNSW is the lead/administering organisation or a collaborating organisation, the nature of the activities and alignment with existing activity, the governance and management arrangements, the location of the Centre, infrastructure requirements (including space and equipment), personnel commitments, and the arrangements for Intellectual Property and publications. A list of issues to be considered when UNSW's participation in an External Centre is contemplated is provided in Appendix D. A pro-forma template available as attachment 7 also covers many of these aspects, and UNSW proposers are encouraged to complete this template to help guide consideration of benefits and risks.

A list of potential benefits, costs and risks to UNSW of participation in the External Centre should be provided to the Centres Secretariat to enable a recommendation to be made to the Vice-President and Deputy Vice-Chancellor. Where UNSW is the lead/administering organisation, the Vice-President and Deputy Vice-Chancellor will seek from the Dean of the Presiding Faculty a commitment to:

- Accept line management responsibility for the Centre Director and UNSW's broader participation in the Centre; or else
- Take responsibility for overseeing and safeguarding UNSW's interests.

The Vice-President and Deputy Vice-Chancellor will advise the proposer of his/her decision on UNSW's participation in the External Centre.

Should UNSW decide to participate (or, in the case of an existing Centre, change the nature of its participation), the Centres Secretariat will work with the UNSW proposer and the Legal Office (Research) to ensure that arrangements and agreements are put in place that are consistent and support the agreed-upon conditions for UNSW's participation.

The Centres Secretariat will, at intervals not exceeding 3 years, informally review each External Centre and will report to the Vice-President and Deputy Vice-Chancellor if the mission, structure, financing or operations of the Centre have changed in a way that affects its relationship with UNSW. The Vice-President and Deputy Vice-Chancellor may, as a result, instruct the Centres Secretariat to carry out a more formal review of UNSW's relationship with the External Centre.

## 8. Operational Considerations

### 8.1 Confidentiality

External members of Steering Committees and Advisory Committees of Centres and Institutes need to be bound to Confidentiality Agreements to protect confidential UNSW information. During reviews of UNSW Centres and Centre Review Panel members who are not UNSW employees should be bound by a confidentiality agreement, using the Template provided in Attachment 4.

### 8.2 Branding and Marketing

While Centres and Institutes may develop their own branding, the UNSW logo and the relationship to UNSW should feature prominently. Use of the UNSW logo must comply with the UNSW Branding Requirements. Website design must comply with the *Website Branding Guideline* and the *Website Policy*.

### 8.3 Acknowledgment of Centres in Published Work

Published work resulting from research or other activity carried out within, or supported by, a Centre should acknowledge the Centre. The preferred method is for the Centre to be named as one of the relevant Authors' affiliations. When this is not possible, or when the participation of the Centre is minor, the Centre should be named in a statement of acknowledgment.

## 9. Research Groups

UNSW encourages all researchers to collaborate within Schools and Faculties and across School and Faculty boundaries. UNSW Centres are only required to formalise infrastructure and funding commitments, and the accompanying management and governance arrangements, to support research activities that cannot be delivered within existing structures.

Researchers may use names other than "Centre" and "Institute" to recognize and differentiate their collaborative efforts when these do not need formal inter-school and inter-faculty arrangements. For example, the use of terms such as "Unit", "Cluster" or "Group" is not restricted.

## 10. Assistance and Support for Centres

The Centres Secretariat within the Research Strategy Office provides services spanning the life-cycle of all Centres and is responsible for:

- Coordinating and advising on the processes of establishment and closure of Centres and Institutes, including Commonwealth/State Funded Centres and ensuring that relevant stakeholders are consulted;
- Coordinating the review of Centres by Centre Review Panels;
- Providing regular reports to the appropriate Vice-President and Deputy Vice-Chancellor on the performance and compliance of Centres as well as other Centre-related issues;
- Maintaining the UNSW Centres Registry and the UNSW Centres website (<http://research.unsw.edu.au/centres/>);
- Maintaining a TRIM repository of all Centre annual reports and other archival documents;
- Maintaining an email contact-list of all Centre Directors;
- Providing advice and assistance to Centre Directors and Finance Managers; and
- Providing financial support to researchers engaged in competitive bidding for externally funded Centres.

The Research Strategy Office coordinates Centre Directors' Forums annually, and on selected topics, as required.

## **Appendix A Process to Establish a new UNSW Internal Research Centre or Industry Centre or Research Institute**

1. Read the relevant sections of the UNSW Centres Procedure.
2. Present a verbal or written outline to the relevant Head(s) of School(s), Dean and Associate Dean of Research of the proposed Presiding Faculty, as well as any other major stakeholders, in order to obtain in-principle Faculty and other support for the Centre.
3. Advise the Centres Secretariat of your intention to lodge a Proposal to establish a new Centre
4. Meet with the Centres Secretariat if you need advice on how to present a business case or to review the overall strategy and appropriateness of a Centre for the planned activities.
5. Using the Templates provided in Attachments 1 and 6 (or, optionally, another suitable Business Plan format), prepare a written Proposal to Establish a Centre and a Business Plan for the proposed Centre.
6. In consultation with the proposed Presiding Faculty's Financial or General Manager, and using the Template provided in Attachment 2a, prepare a written budget for the Centre's initial five years of operation. It is at this stage that any required financial commitment from the Faculty should be obtained, and explicitly stated in notes to the proposed budget. The Centres secretariat is able to provide expert advice on the preparation of the budget.
7. New Centres are expected to be financially sustainable, and not require long term Central funding. Seed funds to support Faculty research initiatives, which may include a contribution to the establishment of a Centre, need to be negotiated between the Faculty Presiding Dean and the Vice-President and Deputy Vice-Chancellor (Research) and will require an indication of School/Faculty funds being contributed to support the Centre.
8. Submit the written proposal including budget, together with supporting documents, and after appropriate consultation with relevant Faculties/Schools and research groups, to the Centres Secretariat. The Secretariat will review your proposal, and provide advice on any recommended changes.
9. When the proposal is ready for approval, the Centres Secretariat will ask the proposed Director to approve and sign it, and will seek approval and signatures from the Head(s) of School(s), and the Dean of the Presiding Faculty and the Deans any other Faculties with which the Centre will be involved.
10. The Centres Secretariat will submit the signed proposal, together with a recommendation to the Vice-President and Deputy Vice-Chancellor (Research), who will, at his or her discretion, approve the establishment.

## **Appendix B Process to Establish a new UNSW Program Centre or Community Centre**

1. Read the relevant sections of the UNSW Centres Procedure.
2. Present a written outline to the relevant Head(s) of School(s) and Dean of the proposed Presiding Faculty, as well as any other major stakeholders. Obtain written in-principle agreement from the Faculty and other support for the establishment.
3. Advise the office of the Vice-President and Deputy Vice-Chancellor (Academic) of your intention to lodge a Proposal to Establish a new Centre, including the written outline and the supporting memo
4. Receive in-principal approval from the Vice-President and Deputy Vice-Chancellor (Academic) to proceed with the proposal.
5. Advise the Centres Secretariat of your intention to lodge a Proposal to establish a new Centre. Meet with the Centres Secretariat if you need advice on how to present a business case or to review the overall strategy and planned activities.
6. Using the Templates provided in Attachments 1 and 6 (or, optionally, another suitable Business Plan format), prepare a written Proposal to Establish a Centre and a Business Plan for the proposed Centre.
7. In consultation with the proposed Presiding Faculty's Financial or General Manager, and using the Template provided in Attachment 2a, prepare a written budget for the Centre's

initial five years of operation, and include explicit reference to any required financial commitment from the Faculty. The Centres secretariat is able to provide expert advice on the preparation of the budget.

8. Submit the written proposal including budget, together with supporting documents to the Centres Secretariat. The Secretariat will review your proposal, and provide advice on any changes recommended.
9. When the proposal is ready for approval, the Centres Secretariat will ask the proposed Director to approve and sign it, and will seek approval and signatures from the Head(s) of School(s), and the Dean of the Presiding Faculty and the Deans any other Faculties with which the Centre will be involved.
10. The Centres Secretariat will submit the signed proposal, together with a recommendation to the Vice-President and Deputy Vice-Chancellor (Academic) for consideration.

## **Appendix C Required Components for Centre Annual Reports**

- Up-to-date listing of key facts such as the name, Presiding Faculty, other Faculties, Schools with which the Centre interacts, Director and Deputy Director and the composition of management and governance structures.
- Summary of the Centre's performance for the year in relation to its identified objectives, and an explicit list of the Centre's objectives for the coming year;
- Statement of financial performance for the period presented in the required Standard format using the Template provided in Attachment 2b, and certified by the Presiding Faculty Finance Manager;
- Statement of in-kind contributions including academic and other salaries, infrastructure and other resources provided to the Centre;
- Details of any grants received and publications, research projects, consultancies and other scholarly achievements associated with the Centre during the period;
- Details of significant managerial or personnel changes;
- A list of teaching and research supervision carried out by the Centre on behalf of academic units; and
- A record of dates and attendance at meetings of the Centre Steering Committee and any Advisory Committee

## **Appendix D Items to be Considered for UNSW's Participation in an External Centre**

*Where UNSW is the lead and/or administering organisation:*

- Appropriate separation within UNSW between the "management" of the Centre and the UNSW researchers undertaking projects related to the Centre (i.e. UNSW's role as a research node versus UNSW's role as managing institution of the Centre);
- If the Centre is unincorporated, use of the term "Board" should be avoided.
- Reporting line of the Director: If the Centre is unincorporated, it is essential that the Centre Director primarily reports to a UNSW Dean or Head of School, not to the Centre's management committee.
- Determining the organisations who will be represented on the management committee should be considered and resolved (where possible) at an early stage to avoid later delays and protracted negotiations.
- It is essential for UNSW as the administering institution, to the extent possible, to retain control of the appointment of the Director and management committee members;
- Administrative support from the Host Faculty/School (e.g. HR, IT, finance, marketing) should not be assumed to be provided in-kind without the written approval of the Faculty;

- HR issues including status, selection appointment, location, reporting lines and, where appropriate, UNSW induction for the Director and staff. This is essential where the Director is appointed from outside UNSW or from outside the higher education sector.
- Induction topics covered should include at a minimum: research integrity, ethical research practice, pricing policy, fund raising, budget model and returns on block grants, PhD supervision;
- Careful selection of collaborating organisations; Complexity increases with the number of collaborating organisations;
- If the Centre is located "off campus" then this requires careful management to ensure compliance with relevant UNSW policies.

*For all External Centres:*

- Governance of the Centre, including composition and operation of the management committee. Structure of the Centre including expectations and requirements of collaborating organisations;
- Details of contributions from each party (untied and tied cash and in-kind). Clarity around the type of in-kind contributions is desirable. Staff in-kind contributions will usually be limited to the salary value of the time of Chief Investigators with an appropriate multiplier applied.
- Whether any UNSW staff will be required to commit more than 0.5 FTE to Centre activities.
- Administration of any external funding including consideration of KPIs, reporting and auditing requirements and a mechanism for determining allocations to collaborating organisations;
- Determination of Centre's mission and objectives;
- Process for proposing, selecting and managing research, consulting and educational projects. This may require establishing a research advisory committee comprising representatives of the participating organisations and/or independent representatives;
- Process for the capture and communication of outputs including publications and reports;
- Ownership and protection of Intellectual Property;
- Strategies for commercialisation and distribution of income;
- Freedom to conduct teaching, research and consulting activities outside of the Centre in circumstances where there are overlapping interests;
- Freedom to publish research and to publicise activities of the Centre;
- Arrangements for higher degree research students and their supervision;
- Requirement that UNSW's involvement be appropriately acknowledged in publications and on websites, including UNSW branding;
- Term of Agreement and arrangements for termination or wind-up of the Centre.
- Fund raising, where relevant, that aligns with and does not compete with broader UNSW and Faculty strategies;
- Executive and professional education, where relevant, that aligns with and does not compete with broader UNSW and Faculty strategies.

## Appendix E History

The *Centres Policy*, version 2.0, approved by the Academic Board (AB05/117), was superseded by this procedure in October 2008.

Version	Authorised by	Approval Date	Effective Date	Sections modified
1.0	Deputy Vice-Chancellor (Research) and Deputy Vice-Chancellor (Academic)	24 October 2008	24 October 2008	Full review of Centres Policy (v2.0 AB05/117)
1.1	Administrative update, Head Governance Support	28 March 2011	28 March 2011	1.1
2.0	Deputy Vice-Chancellor (Research)	21 May 2012	25 May 2012	Full review of Centre Procedure v 1.1
3.0	Vice-President and Deputy Vice-Chancellor (Research) and Vice-President and Deputy Vice-Chancellor (Academic)	3 September 2013	3 September 2013	Full review of Centres Procedure v 2.0

Archived document