



<p><b>Associated Documents</b></p>	<ul style="list-style-type: none"><li>1: <b>Template for the Establishment of UNSW Centres</b></li><li>2: <b>Template for Financial Reporting of UNSW Centres</b></li><li>3: Template for the Review of UNSW Centres</li><li>4: Template for Confidentiality Agreement for External Steering Committee, Advisory Committee and Review Panel Members</li><li>5: Template Checklist for Closure of a UNSW Internal Centre</li><li>6: Template for Centre Business Plan</li></ul> <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 Guidelines 5.0 T9 70.92 344.3 Website Policy</p>
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## 5.2 Review Recommendations and Decisions

- x 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 Commonwealth/State Funded Centres**

Commonwealth/State-funded Centres include Cooperative Research Centres, ARC Centres of Excellence, National Centres of Excellence and NHMRC Centres of Research Excellence. These Centres have contractual governance, compliance and reporting requirements which are specified by the agreements and contracts which establish them, and are automatically recognized as UNSW External Centres.

## **2.3 Other Centres and Institutes involving external parties**

Centres which involve UNSW sharing the control of Centre Activities and governance with other institutions or organisations are classified as UNSW External Centres. The detailed arrangements for each Centre will be negotiated through formal agreements with the other parties involved to the satisfaction of the relevant Deputy Vice-Chancellor.

## **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. or trit eBox [699(a.7(s555 546(e697 38.1697 ]/Subtype /Foo1(e /Type /Paginati)4.04 87.9BT(y)8

The Deputy Vice-Chancellor (Research) has responsibility for:

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

The Deputy Vice-Chancellor (Academic) has responsibility for:

- x UNSW Program Centres;
- x UNSW Community Centres; and
- x 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 ProgramPrn( 0 Td (A)Tj -4

- x 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;
- x Must hold a current, salaried employment contract with UNSW that covers at least their initial term;
- x May be eligible for reappointment subject to consideration of relevant factors including the performance of the Director and Centre;
- x 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:

- x Must ensure that Centre Directors are given sufficient time and support to fulfill their duties, taking into account the expected time commitment of at least 0.5 FTE associated with the Directorship role and Centre activities;
- x May approve appointment of two Co-Directors; the roles and responsibilities of each Co-

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 relevant 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.

#### **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.

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postgraduate research training and resources with other organisations. Governance of these Centres is determined through formal contractual agreements.

UNSW's involvement in Government-funded Centres which are not competitively awarded must be approved by the relevant Deputy Vice-Chancellor after first seeking appropriate approvals from Heads of Schools and Deans. The value of proposed research must be weighed against the infrastructure and staff commitment required. Researchers should consider whether involvement in such Centres represents the best opportunity for UNSW. No academic staff member will commit more than 50% of their time to an externally-funded Centre unless they are explicitly appointed to work on Centre-related programs.

UNSW staff nominated as board members to such Centres will be senior members of staff selected for the role by the Deputy Vice-Chancellor (Research) in consultation with the relevant Dean/s. As Directors of *incorporated* Centres take on considerable legal responsibility with the role, UNSW staff joining boards of incorporated Centres for the first time must complete a company directors' course run by the Australian Institute of Company Directors or similar body. The relevant Deputy Vice-Chancellor will cover the reasonable cost of the course.

While UNSW staff acting as directors of incorporated Centres must maintain confidentiality regarding Centre affairs in line with the requirements of the Corporations Act, they are generally expected to keep UNSW senior management briefed regarding matters relevant to UNSW, as long as doing so does not conflict with the director's fiduciary duty to th

- x Requirement that UNSW's involvement be appropriately acknowledged in publications and on websites, including the UNSW logo;
- x Term of Agreement and arrangements for termination or wind-up of the Centre.

## **9. Operational Considerations**

### **9.1 Confidentiality**

External members of Steering Committees and Advisory Committees (for Internal or External Centres) or Advisory Boards (External Centres only) 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.

### **9.2 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 Guidelines and the Website Policy.

## **10. Research Groups**

## **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) 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 otc 0 Tw 2

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 Deputy Vice-Chancellor (Academic) for consideration.

## **Appendix C      Required**