**Appendix A**

**Internal UNSW Centres/Institutes**

**Establishment Form**

(Should be filled in as per instructions outlined in UNSW Centres and Institutes Procedure.)

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| **1.** | **PROCESS (see Section 3 of the Procedure)** | | | | | | | | | | | | | |
| **a)** | Centres/institutes will first negotiate their proposal outlined in this form with the faculties involved. | | | | | | | | | | | | | |
| **b)** | The Presiding Faculty of the proposed centre/institute will submit this completed form to the Office of the PVCR for consideration by the relevant Deputy Vice-Chancellor (DVC). For proposed UNSW Futures Institutes, the Director/application lead will submit this form to the UNSW Futures operations team (to [futures@unsw.edu.au](mailto:futures@unsw.edu.au)). | | | | | | | | | | | | | |
| **Instructions for submitting the Establishment Form** | | | | | | | | | | | | | | |
|  | Approval by the Chair of the Steering Committee or the Presiding Dean (depending on the selected Governance structure – see Table 1 below). This isnot required for proposed UNSW Futures Institutes. | | | | | | | | | | | | | |
|  | Signed form and attachments to be submitted by the Presiding Faculty. For proposed UNSW Futures Institutes, the director/application lead will submit this form to the UNSW Futures operations team (to [futures@unsw.edu.au](mailto:futures@unsw.edu.au)). | | | | | | | | | | | | | |
| **2.** | **CENTRE/INSTITUTE INFORMATION** | | | | | | | | | | | | | |
| **2.1** | **Proposed name of centre/institute (and acronym/abbreviation, if any)**. Note: The centre/institute name must comply with the Centres and Institutes Procedure and brand guidelines. The centre/institute must receive approval from both the **Division of External Engagement (DEE)** and the **Legal Office** UNSW**.** Review section 10 for further details. | | | | | | | | | | | | | |
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| **2.2** | **Type of Centre** | | | | | **Type of Institute** | | | | | | | | |
|  |  | Research | | | |  | | | Research | | | | | |
|  |  | Community | | | |  | | | Community | | | | | |
| **2.3** | **Presiding Faculty** | | | | | | | | | | | | | |
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| **2.4** | **Are there other faculties with which the centre/institute will be formally associated (must be approved by relevant dean/s)?** | | | | | | | | | | | | | |
|  | None | | | | |  | | | | | | | | |
|  | Yes – please list faculties | | | | |  | | | | | | | | |
| **3.** | **VISION AND SCOPE** | | | | | | | | | | | | | |
| **3.1** | **Describe the overall vision and scope of the Centre/Institute (maximum length: 100 words).** | | | | | | | | | | | | | |
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| **4.** | **MANDATE** | | | | | | | | | | | | | |
| **4.1** | **Specify the duration of the centre/institute’s proposed program of work.** | | | | | | | | | | | | | |
|  | 3 Years | | | 5 Years | | | | | | | 7 Years | | | |
| **5.** | **PROGRAM OF WORK** | | | | | | | | | | | | | |
| **5.1** | **Describe the program of work to be undertaken by the centre/institute (max. length: 1500 words).** | | | | | | | | | | | | | |
|  | ***Rationale***  ***Aims and objectives***  ***Proposed scope of work***  ***Discuss how it delivers on the UNSW 2025 Strategy*** | | | | | | | | | | | | | |
| **6.** | **KEY PERFORMANCE INDICATORS (KPIs)** | | | | | | | | | | | | | |
|  | List the quantitative and qualitative KPIs of the centre/institute over the course of the requested mandate period. Fill in only relevant field(s). | | | | | | | | | | | | | |
|  |  | | **1yr** | | **2yrs** | | **3yrs** | **4yrs** | | **5yrs** | | **6yrs** | **7yrs** | **Total** |
| **6.1** | **Research Outputs** | |  | |  | |  |  | |  | |  |  |  |
|  | * Books | |  | |  | |  |  | |  | |  |  |  |
|  | * Book Chapters | |  | |  | |  |  | |  | |  |  |  |
|  | * Q1 Journal Articles | |  | |  | |  |  | |  | |  |  |  |
|  | * Other Journal Articles | |  | |  | |  |  | |  | |  |  |  |
|  | * Other | |  | |  | |  |  | |  | |  |  |  |
| **6.2** | **Research Income** | | | | | | | | | | | | | |
|  | * CAT 1 | |  | |  | |  |  | |  | |  |  |  |
|  | * CAT 2-4 | |  | |  | |  |  | |  | |  |  |  |
| **6.3** | **Other Income (specify type and source)** | | | | | | | | | | | | | |
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| **6.4** | **Educational activities (list the activities and their timeline)** | | | | | | | | | | | | | |
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| **6.5** | **Engagement with industry & community (list the activities and their timeline)** | | | | | | | | | | | | | |
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| **6.6** | **Other (specify any other activities with timeline)** | | | | | | | | | | | | | |
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| **7.** | **GOVERNANCE, MANAGEMENT AND TEAM** | | | | | | | | | | | | | |
| **7.1** | **Select a proposed Governance Structure suitable for your centre/institute. Refer to Table 1: Governance Structure. (*Fill in the provided Table 1 template at the back of this form. This section should be aligned with the information in Table 1.*)**  **Note:** A Leadership Team member must participate at a minimum of 0.2 FTE. An Academic team member must participate at a minimum of 0.1 FTE.  List any academic contributors to the centre/institute who are participating at **<** 0.1 FTE as ‘Affiliated academic staff’, adding in extra row/s below Section 7.5 to list their names & faculties/organisations. | | | | | | | | | | | | | |
|  | Governance Structure A | | | | | Governance Structure B | | | | | | | | |
| **7.2** | **Leadership Team (include 2-page CV for each listed person)** | | | | | | | | | | | | | |
|  | ***Position*** | | | | | ***FTE Involvement*** | | | ***Name (if known)*** | | | | | |
|  | * Director | | | | |  | | |  | | | | | |
|  |  | | | | |  | | |  | | | | | |
| **7.3** | **Management/Administrative Team (include 2-page CV for each listed person, if already identified)** | | | | | | | | | | | | | |
|  | ***Position*** | | | | | ***FTE Involvement*** | | | ***Name (if known)*** | | | | | |
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| **7.4** | **Academic team (UNSW employees) - include 2-page CV for each listed person** | | | | | | | | | | | | | |
|  | ***Name*** | | | | | ***FTE Involvement*** | | | ***Faculty*** | | | | | |
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| **7.5** | **Academic team (non-UNSW employees) - include 2-page CV for each listed person** | | | | | | | | | | | | | |
|  | ***Name*** | | | | | ***FTE Involvement*** | | | ***Faculty*** | | | | | |
|  |  | | | | |  | | |  | | | | | |
| **8.** | **RISKS** | | | | | | | | | | | | | |
| **8.1** | **Identify at least three potential risks associated with establishing the centre/institute and explain how the risks will be managed by completing the table below, rating “Low”, “Medium” or “High”. (Refer to the UNSW Risk Management Framework for ratings.)** | | | | | | | | | | | | | |

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| **Risk No.** | **Risk Description** | **Inherent Risk Rating** | **Controls** | **Residual Risk Rating** | **Mitigation Plan** |
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| **9.** | **RESOURCES AND FUNDING**  Ensure costs are correct re any fractional FTEs (in Section 7) and are aligned with Financial Plan (in Section 11). | | | |
| **9.1** | **Staff** | **Costs** (incl. on-costs) | | **Source** (e.g., external, School, Faculty, etc) **and type** (cash/in-kind) **of funding** |
|  | ***Leadership Team (only list positions - no names needed)*** | | | |
|  | * Director |  | |  |
|  |  |  | |  |
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|  | ***Management/Administrative Team (only list positions - no names needed)*** | | | |
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|  | ***Does the level of administrative support meet the minimum requirement of 0.6 FTE funding?*** | Yes | | No *(how will the requirement be met?)* |
| **9.2** | **Space (specify existing space/new space/refurbishment)** | **Who is providing the space and/or paying for refurbishment** | | |
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| **9.3** | **a) Major equipment (existing/new)** | **Source and type (cash/in-kind) of funding** | | |
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|  |  |  | | |
|  | **b)**  **Any research infrastructure requirements**, e.g., major equipment purchases, access to research technology services, or lab refurbishments (potentially costing > $30,000), have been discussed with Office of the Pro-Vice-Chancellor Research Infrastructure (PVCRI). Contact: [pvcresin@unsw.edu.au](mailto:pvcresin@unsw.edu.au). | | | |
|  | **c)**  **Any data management requirements**, incl. data storage and maintenance, have been discussed with the Research Data Management team. See <https://research.unsw.edu.au/research-data-management-unsw>. For enquires & help with a research data management plan: [rdm@unsw.edu.au](mailto:rdm@unsw.edu.au). | | | |
| **9.4** | **Other** | **Source and type (cash/in-kind) of funding** | | |
|  |  |  | | |
| **10.** | **BRAND AND COMMUNICATION** | | | |
| **10.1** | **The centre/institute has commenced consultation with the Division of External Engagement (DEE) and the Legal Office, in line with the** [**Centre and Institute Checklist – name, logo & branding.**](http://www.unsw.to/centrechecklist)  Note: If you have not started this process yet, contact [brand@unsw.edu.au](mailto:brand@unsw.edu.au). | | | |
|  | Yes, checklist complete | | In progress | |
|  | **Please provide the link to your checklist provided by the Brand Team** | | | |
|  | If establishment of the new centre/institute is sought while the above is in progress, approval may be granted on the basis that outstanding items are completed in full compliance with the procedure and guidelines. | | | |
| **10.2** | **List the proposed communication objectives of the centre/institute and its branding/comms vehicles (e.g., website, social media, newsletter, events, PR etc.).** | | | |
|  |  | | | |
| **10.3** | **What budget and resources (including staffing) will be committed to marketing and communications activities over the mandate**? | | | |
|  | * Cash (source): | * In-kind (source): | | |
| **10.4** | **Please provide the name of centre/institute staff member who will be the contact person for the Division of External Engagement (DEE).** | | | |
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| **11.** | **FINANCIAL PLAN (budget forecast)**  Ensure figures (esp. People Costs) are correct re any fractional FTEs (in Section 7) and are aligned with Resources and Funding (in Section 9). | | | | | | | | |
|  | **External Revenue** | **1yr** | **2yrs** | **3yrs** | **4yrs** | **5yrs** | **6yrs** | **7yrs** | **Total** |
|  | External Revenue |  |  |  |  |  |  |  |  |
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|  | Faculty Contributions |  |  |  |  |  |  |  |  |
|  | Approved UNSW Contributions (attach the confirmation/s) |  |  |  |  |  |  |  |  |
|  | **Total Revenue** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  | **Costs** |  |  |  |  |  |  |  |  |
|  | People Costs |  |  |  |  |  |  |  |  |
|  | Consumables |  |  |  |  |  |  |  |  |
|  | Travel |  |  |  |  |  |  |  |  |
|  | Marketing |  |  |  |  |  |  |  |  |
|  | Other Expenses |  |  |  |  |  |  |  |  |
|  | Other Expenses |  |  |  |  |  |  |  |  |
|  | Contract Overheads |  |  |  |  |  |  |  |  |
|  | Internal Expenses |  |  |  |  |  |  |  |  |
|  | **Total Costs** |  |  |  |  |  |  |  |  |
|  | **Operating result** |  |  |  |  |  |  |  |  |
|  | **Opening balance: surplus (deficit)** |  |  |  |  |  |  |  |  |
|  | **Closing balance: surplus (deficit)** |  |  |  |  |  |  |  |  |

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| **12.** | **APPROVALS** | |
| **12.1** | **Centre/Institute Director** | |
|  | *Name:* | *Title:* |
|  | *Signature:* | *Date:* |

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| **12.2** | *(If a new UNSW Futures Institute is proposed, a signature in this section is not required. If a new centre under a Futures Institute is proposed, then the signature of the Futures Institute’s director is required.*)  **Presiding Dean for Faculty of \_\_\_\_\_\_\_\_\_\_\_\_\_\_ or  Chair of the Steering Committee or   Director of Futures Institute: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | |
|  | *Name:* | *Title:* |
|  | *Signature:* | *Date:* |

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| **12.3** | **Dean of faculty involved in centre/institute**  **Faculty: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | |
|  | *Name:* | *Title:* |
|  | *Signature:* | *Date:* |

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| **12.4** | **Dean of faculty involved in centre/institute**  **Faculty: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | |
|  | *Name:* | *Title:* |
|  | *Signature:* | *Date:* |

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| **12.5** | **Dean of faculty involved in centre/institute**  **Faculty: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | |
|  | *Name:* | *Title:* |
|  | *Signature:* | *Date:* |

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| **12.6** | **Deputy Vice-Chancellor or nominee** | |
|  | **ESTABLISHMENT APPROVED: Mandate to operate for \_\_\_\_\_\_\_\_\_\_\_ years** | |
|  | *Name:* | *Title (if nominee):* |
|  | *Signature:* | *Date:* |

**Table 1: GOVERNANCE STRUCTURE**

**Please choose the Governance structure most appropriate to the size and scale of your centre/institute. Please include names of personnel in the lists below. These structures may be tailored (to a small extent) to meet the needs of a centre/institute.**

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| **GOVERNANCE STRUCTURE A:**  *Suits UNSW Centres which involve only academics from a single faculty* | | | | |
| **Advisory Committee** | | | * ***The Director*** reports directly to its dean. * The type of ***management and administrative*** support (e.g., Centre Manager, Business Development Manager, etc.) should be specified. * ***Team leaders*** (that manage project delivery) should be defined. * ***Advisory Committee*** should include external members (who are not UNSW staff, and who comply with Section 7.2 of the Procedure). | |
| **MANAGEMENT/ADMINISTRATION TEAM** | | | | |
| **Position** | | | **Name and organisation (e.g. UNSW Faculty, etc)** | |
| * Presiding Dean | | |  | |
| * Director | | |  | |
| * Manager/Administrator/ etc. (specify) | | |  | |
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| **TEAM LEADERS** | | | | |
| **Position** | | | **Name and organisation** | |
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| **ADVISORY COMMITTEE (Note: This committee should primarily consist of members who are external to the faculty, and, ideally, are external to UNSW.)** | | | | |
| **Position on committee** | **Name and role** | **Organisation** | | **Brief bio (50-100 words max; 9-pt font)**  **Note: Please indicate ‘N/A’ for UNSW staff.** |
| Chair |  |  | |  |
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| **Outline the mechanisms for a) the leadership team and b) the Advisory Committee to confer, including how frequently these groups will hold meetings. (25 words, using bullet points)** | | | | |
| ***Must be ticked by the dean of the centre or institute’s Presiding Faculty, and confirmed by the dean’s signature in Section 12 above.***  The faculty has conducted appropriate due diligence checks concerning all members of this advisory committee who are listed above and who are **not UNSW staff**,i.e., they are external; and that, following such checks, the faculty can confirm that all external members meet UNSW’s standards of integrity and there are no conflicts of interest concerning the research undertaken by members of this centre or institute, or with regard to personal relationships with members of this centre or institute. The faculty also confirms that all of the committee memberships reflects at least 25% female representation (striving for 40%).  In relation to the confidentiality aspects discussed in UNSW Centres and Institutes Procedure’s Section 7.2, the faculty can confirm that the centre/institute has completed the Confidentiality Self-Assessment Checklist, and the outcome indicates that (***must tick one***):  external parties participating on review panels or in committees do *NOT* (each) need to sign UNSW’s non-disclosure agreement (NDA).  *OR*  external parties participating on review panels or in committees must each sign UNSW’s non-disclosure agreement (NDA), **and** the faculty has received and sighted all required signed NDAs.  Note: In some cases, where committees are still being formed at the time the Establishment form is submitted, the proposed centre or institute and its faculty may not have received all of the signed NDAs required. *If so, please add a comment here to that effect and discuss with the PVCR.* | | | | |

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| **GOVERNANCE STRUCTURE B**  *Suits UNSW Centres and Institutes which involve academics from several faculties* | | | | | |
| **End-user Advisory Committee**  **External Expert Advisory Committee** | | | | * ***The Steering Committee*** is chaired by a senior UNSW academic, usually a DVC or dean (or their nominee) of the division or faculty that is the major sponsor of the unit. This committee should include at least one nominee from each faculty significantly involved. * ***The End-User Advisory Committee*** should be formed to assure a high level of external engagement and impact. It should be chaired by a prominent external figure (who is not UNSW staff, and who complies with Section 7.2 of the Procedure) * ***The External Expert Advisory Committee*** is recommended ***only for large centres/institutes*** to facilitate input from leading experts in the field - ideally chaired by an internationally recognised expert (and who complies with Section 7.2 of the Procedure). * ***Management/Administration Team*** must be resourced to assure delivery of the proposed program. | |
| **STEERING COMMITTEE** | | | | | |
| **Position** | | | **Name and organisation** | | |
| * Chair | | |  | | |
| * Faculty X rep | | |  | | |
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| The faculty confirms that the membership of this committee reflects at least 25% female representation (striving for 40%).  **If there are any external members of the Steering Committee, complete the below, or add ‘N/A’.**  In relation to the confidentiality aspects discussed in UNSW Centres and Institutes Procedure’s Section 7.2, the faculty can confirm that the centre/institute has completed the Confidentiality Self-Assessment Checklist, and the outcome indicates that (***must tick one***):  external parties participating on review panels or in committees do *NOT* (each) need to sign UNSW’s non-disclosure agreement (NDA).  *OR*  external parties participating on review panels or in committees must each sign UNSW’s non-disclosure agreement (NDA), **and** the faculty has received and sighted all required signed NDAs.  Note: In some cases, where committees are still being formed at the time the Establishment form is submitted, the proposed centre or institute and its faculty may not have received all of the signed NDAs required. *If so, please add a comment here to that effect and discuss with the PVCR.* | | | | | |
| **MANAGEMENT/ADMINISTRATION TEAM** | | | | | |
| **Position** | | | **Name and organisation** | | |
| * Director | | |  | | |
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| **TEAM LEADERS** | | | | | |
| **Position** | | | **Name and organisation** | | |
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| **END USER ADVISORY COMMITTEE** | | | | | |
| **Position on committee** | **Name and role** | **Organisation** | | | **Brief bio (50-100 words max; 9-pt font)** |
| Chair |  |  | | |  |
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| ***Must be ticked by the dean of the centre or institute’s Presiding Faculty, and confirmed by the dean’s signature in Section 12 above.***  The faculty has conducted appropriate due diligence checks concerning all members of this advisory committee who are listed above, and that, following such checks, the faculty can confirm that that all members meet UNSW’s standards of integrity and that there are no conflicts of interest concerning the research undertaken by members of this centre or institute, or with regard to personal relationships with members of this centre or institute. The faculty also confirms that the advisory committee membership reflects at least 25% female representation (striving for 40%).  In relation to the confidentiality aspects discussed in UNSW Centres and Institutes Procedure’s Section 7.2, the faculty can confirm that the centre/institute has completed the Confidentiality Self-Assessment Checklist, and the outcome indicates that (***must tick one***):  external parties participating on review panels or in committees do *NOT* (each) need to sign UNSW’s non-disclosure agreement (NDA).  *OR*  external parties participating on review panels or in committees must each sign UNSW’s non-disclosure agreement (NDA), **and** the faculty has received and sighted all required signed NDAs.  Note: In some cases, where committees are still being formed at the time the Establishment form is submitted, the proposed centre or institute and its faculty may not have received all of the signed NDAs required. *If so, please add a comment here to that effect and discuss with the PVCR.* | | | | | |
| **EXTERNAL EXPERT ADVISORY COMMITTEE** | | | | | |
| **Position on committee** | **Name and role** | **Organisation** | | | **Brief bio (50-100 words max; 9-pt font)** |
| Chair |  |  | | |  |
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| ***Must be ticked by the dean of the centre or institute’s Presiding Faculty, and confirmed by the dean’s signature in Section 12 above.***  The faculty has conducted appropriate due diligence checks concerning all members of this advisory committee who are listed above, and that, following such checks, the faculty can confirm that that all members meet UNSW’s standards of integrity and that there are no conflicts of interest concerning the research undertaken by members of this centre or institute, or with regard to personal relationships with members of the centre or institute. The faculty also confirms that the advisory committee membership reflects at least 25% female representation (striving for 40%).  In relation to the confidentiality aspects discussed in UNSW Centres and Institutes Procedure’s Section 7.2, the faculty can confirm that the centre/institute has completed the Confidentiality Self-Assessment Checklist, and the outcome indicates that (***must tick one***):  external parties participating on review panels or in committees do *NOT* (each) need to sign UNSW’s non-disclosure agreement (NDA).  *OR*  external parties participating on review panels or in committees must each sign UNSW’s non-disclosure agreement (NDA), **and** the faculty has received and sighted all required signed NDAs.  Note: In some cases, where committees are still being formed at the time the Establishment form is submitted, the proposed centre or institute and its faculty may not have received all of the signed NDAs required. *If so, please add a comment here to that effect and discuss with the PVCR.* | | | | | |

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| **Outline the mechanisms for a) the leadership team, b) the Steering Committee, and c) the Advisory Committee/s to confer, including how frequently these groups will hold meetings.** |

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| **GUIDANCE NOTES: ROLES AND RESPONSIBLITIES** | |
| **Structure A and B** | |
| **Centre/Institute Director** | * The director is responsible for the appropriate management of the Centre/Institute in accordance with the centre/institute’s objectives, the UNSW Centres & Institutes Procedure, and all other relevant UNSW policies and procedures, incl. provision of regular, accurate financial and operational reports. |
| **Management/ Administration Team** | * This team is responsible for all non-research aspects of the centre/institute’s operations, such as finance, marketing, and general administration. * For smaller units this could be performed by a single person. |
| **Team Leader** | * Team leaders should be academics who oversee project delivery and provide guidance and support to other team members. * They engage with end-users and are responsible, in collaboration with the centre/institute’s director, for external communication on their project outcomes. |
| **Structure A Only** | |
| **Presiding Dean** | * The Presiding Dean has responsibility for the governance and operational and financial oversight of the centre/institute. * They sign the Establishment Form, Annual Reports, Review Form, Renewal Form, and any other key documents referenced in UNSW Centres & Institutes Procedure. |
| **Advisory Committee** | * The Advisory Committee provides strategic advice on the direction of the Centre/Institute and the quality of the work undertaken. * Depending on the centre/institute’s focus, this committee can be focused on end-user engagement (in which case, it should include members external to UNSW) or on the centre/institute’s research program (in which case, it should include leading researchers in the field, ideally external to UNSW). * Consists of a minimum of **4** members, primarily external to UNSW. * Meets twice a year or more frequently as required. |
| **Structure B only** | |
| **Steering Committee** | * The Steering Committee provides strategic oversight of the operations of the Centre/Institute, and sets long-term direction, in line with the agreed program. * It is chaired by a senior UNSW academic, usually the head (or their nominee) of the Faculty/Division as the main sponsor of the Centre/Institute. For example, this could be the DVCR or PVCR for Institutes that are supported by the Division of Research, or Dean of the Presiding Faculty if mainly supported by a faculty. * Must include at least 1 representative from each Faculty with significant involvement. * Consists of 6-8 members. * It should meet four times a year to receive operational reports from the Director and to assess progress and endorse reports as required. * The chair will sign the Establishment Form, Annual Reports, Review Form, Renewal Form, and any other key documents referenced in the Procedure. |
| **End-user Advisory Committee** | * The End-user Advisory Committee advises and challenges the Centre/Institute Director to ensure that the needs of end-users, now and in the future, are understood and addressed in the work of the Centre/Institute. * Should include leading figures from practice/industry/community. * Should be chaired by a prominent figure in the field. * Consists of a minimum of **4** members, primarily external to UNSW. * Should meet at least once a year. |
| **External Expert Advisory Committee (*for large centres/institutes only*)** | * The External Expert Advisory Committee consists of experts in their sectors to assist the Centre/Institute Director in steering the overall direction. * It is not recommended for small Centres/Institutes with low resources. * It should be chaired by a leading international expert in the relevant field. * Consists of 3-5 members, primarily external to UNSW. * Meets every 1 to 2 years, or more frequently as required. |