**Appendix D**

**Internal UNSW Centres/Institutes**

**Renewal Form**

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

|  |  |
| --- | --- |
| **1.** | **PROCESS (See section 4 of the Procedure)** |
| **a)** | Centres/institutes will negotiate their proposal outlined in this form with the faculties involved.  |
| **b)** | The Presiding Faculty of the centre/institute will submit this completed form to the Office of the PVCR for consideration by the relevant Deputy Vice-Chancellor (DVC). UNSW Futures Institutes should submit this form to the UNSW Futures operations team (to futures@unsw.edu.au). |
| **Instructions for submitting the Renewal Form** |
| [ ]  | Approval by the Chair of the Steering Committee or the Presiding Dean (depending on the selected Governance structure – see Table 1 below). Not required for proposed UNSW Futures Institutes. |
| [ ]  | Signed form and any attachments to be submitted by Presiding Faculty. For proposed UNSW Futures Institute renewals, the director/application lead will submit this form to the UNSW Futures operations team (to futures@unsw.edu.au) |
| **2.** | **CENTRE/INSTITUTE INFORMATION** |
| **2.1** | **Current name of the centre/institute (and acronym / abbreviation, if any)** |
|  |  |
| **2.2** | **Confirmation of name.** Note: The centre/institute name must comply with the Centre and Institute Procedures and brand guidelines and receive approval from both the **Division of External Engagement (**DEE) and the Legal Office. Review section 10 for further details.  |
|  | **a)** Do you propose to change the current name of the centre/institute? |
|  | [ ]  Yes. Please specify the proposed new name in full:**Name:****Acronym:**  | [ ]  No – retaining the current name and acronym that are indicated in section 2.1.  |
| **2.3** | **Type of Centre** | **Type of Institute** |
|  | [ ]  | Research  | [ ]  | Research  |
|  | [ ]  | Community | [ ]  | Community |
| **2.4** | **Presiding Faculty**  |
|  |  |
| **2.5** | **Are there any 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 for its renewed mandate (maximum length: 100 words).** |
|  |  |
| **4.**  | **MANDATE**  |
| **4.1** | **Specify the duration of the centre/institute’s proposed new program of work.** |
|  | [ ]  3 Years | [x]  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 mandate. Fill in only relevant field(s). Important: The KPIs indicated below will be used by the faculty to assess Annual Report form submissions for the relevant year.  |
| **6.1** | **Research Outputs** | **1yr** | **2yrs** | **3yrs** | **4yrs** | **5yrs** | **6yrs** | **7yrs** | **Total** |
|  | * 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)** |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| **6.4** | **Educational activity (list the activities and their timeline)** |
|  |  |
|  |  |
|  |  |
| **6.5** | **Engagement with industry & community (list the activities and their timeline)** |
|  |  |
|  |  |
|  |  |
| **6.6** | **Other (specify any other activities with timeline)**  |
|  |  |
|  |  |
| **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** | [ ]  **Are any changes to membership of governance, management, *OR* leadership team(s) anticipated in the next 6-12 months?** If so, please provide details (e.g., change of director, appointments of co-directors, etc.).  |
| **7.3** | **Leadership Team - include 2-page CV for each listed person** |
|  | ***Position*** | ***FTE Involvement*** | ***Name (if known)*** |
|  | * Director
 |  |  |
|  |  |  |  |
| **7.4** | **Management/Administrative Team - include 2-page CV for each listed person** |
|  | ***Position*** | ***FTE Involvement*** | ***Name (if known)*** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **7.5** | **Academic team (UNSW employees) - include 2-page CV for each listed person** |
|  | ***Name*** | ***FTE Involvement*** | ***Faculty*** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **7.6** | **Academic team (non-UNSW employees) - include 2-page CV for each listed person** |
|  | ***Name*** | ***FTE Involvement*** | ***Faculty*** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **8.** | **RISKS**  |
| **8.1** | Identify up to 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. |
|  | **Risk Description** | **Inherent Risk Rating** | **Controls/Mitigants** | **Residual Risk** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **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
 |  |  |
|  |  |  |  |
|  |  |  |  |
|  | ***Management/Administrative Team (only list positions; no names needed)*** |
|  |  |  |  |
|  |  |  |  |
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|  |  |  |  |
|  | ***Does the level of administrative support meet the minimum requirement of 0.6FTE 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?** |
|  |  |  |
|  |  |  |
|  |  |  |
| **9.3** | **a) Major equipment (existing/new)** | **Source and type (cash/in-kind) of funding** |
|  |  |  |
|  |  |  |
|  |  |  |
|  | **b)** [ ]  **Any new or changed research infrastructure requirements**, e.g., major equipment purchases, access to research technology services, OR lab refurbishments (potentially costing > $30,000), have been discussed with the Office of the Pro-Vice-Chancellor Research Infrastructure (PVCRI). Please contact: pvcresin@unsw.edu.au. *If none, indicate ‘N/A’.*  |
|  | **c)** [ ]  **Any new or changed data management requirements**, including 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 or help with a research data management plan, please contact: rdm@unsw.edu.au. *If none, indicate ‘N/A’.*  |
| **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: You must complete a new checklist at the time of renewal even if you had completed one at the time of establishment or your previous renewal, as brand guidance and legal advice may have changed. |
|  | [ ]  Yes, checklist complete | [ ]  In progress  |
|  | **Please attach a copy of your completed checklist** |
|  | If renewal of the 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 guidance. |
| **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:** |
|  |   |

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| **11.** | **FINANCIAL PLAN (1-7-year 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 |  |  |  |  |  |  |  |  |
|  | * { }
 |  |  |  |  |  |  |  |  |
|  | * { }
 |  |  |  |  |  |  |  |  |
|  | * { }
 |  |  |  |  |  |  |  |  |
|  | Faculty Contributions |  |  |  |  |  |  |  |  |
|  | Approved UNSW Central Contributions (attach the confirmation/s) |  |  |  |  |  |  |  |  |
|  | **Total Revenue** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  | **Costs** |  |  |  |  |  |  |  |  |
|  | People Costs |  |  |  |  |  |  |  |  |
|  | Consumables |  |  |  |  |  |  |  |  |
|  | Travel |  |  |  |  |  |  |  |  |
|  | Marketing |  |  |  |  |  |  |  |  |
|  | 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:*  |

|  |  |
| --- | --- |
| **12.2**  | *(If this approval relates to a centre under a Futures Institute, then signature of 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:*  |

|  |  |
| --- | --- |
| **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*****This section is completed only if the centre is being reviewed through the ‘outright renewal’ process.*** *(For centres facing a full review, i.e., the type of review that involves a review panel meeting, the relevant DVC will sign off on the finalised review meeting report instead.)* |
|  | [ ]  **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 small extent) to meet the needs of a centre/institute.**

|  |
| --- |
| **GOVERNANCE STRUCTURE A:***Suits UNSW centres that 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 & organisation (e.g., UNSW Faculty, etc)** |
| * Presiding Dean
 |  |
| * Director
 |  |
| * Manager/Administrator/ etc. (specify)
 |  |
|  |  |
| **TEAM LEADERS** |
| **Position** | **Name & 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 |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **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 committee memberships for this centre or institute reflect 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.  |

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| **GOVERNANCE STRUCTURE B***Suits UNSW centres and institutes that 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. The Committee should include at least one nominee from each faculty that is 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
 |  |
|  |  |
|  |  |
| [ ]  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.  |
| **MANAGEMENT/ADMINISTRATION TEAM** |
| **Position** | **Name and organisation**  |
| * Director
 |  |
| * Manager
 |  |
|  |  |
| **TEAM LEADERS** |
| **Name** | **Name and organisation**  |
|  |  |
|  |  |
|  |  |
| **END USER ADVISORY COMMITTEE** |
| **Position on committee** | **Name and role** | **Organisation** | **Brief bio (50-100 words max; 9-pt font)**  |
| Chair |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| ***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.  |
| **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.  |

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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 and Institutes Procedure, and all other relevant UNSW policies and procedures, including the provision of regular and 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** | * Should be academics who oversee project delivery and provide guidance and support to other team members.
* Engage with end-users and are responsible, in collaboration with centre/institute director, for external communication on outcomes of their project.
 |
| **Structure A Only** |
| **Presiding Dean** | * The Presiding Dean has responsibility for the governance and operational and financial oversight of the centre/institute.
* They will sign the Establishment Form, Annual Reports, Review Form, Renewal Form, and any other key documents referenced in the 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’s 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.
* It should include leading figures from practice/industry/community.
* Should be chaired by a prominent figure in the field and should ideally be external to UNSW.
* Consists of 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.
 |