

Centres Guidelines

These Guidelines provide information to assist members of the UTS community in using the Centres Vice-Chancellor's Directive.

Dates	Guidelines approved	11/10/2012
	Guidelines takes effect	07/12/2012
	Guidelines due for review (up to five years)	10/2017
	Guidelines amendment approved	11/12/2014
	Guidelines amendment takes effect	04/05/2016
Approved by	Provost	
	Latest amendment: Director, Governance Support Unit (see change history for details)	
Implementation Officer	Executive Officer to the Provost	
Relevant to	All staff and all students	
Related documents	Centres proposal templates: <ul style="list-style-type: none"> • Cover page template • Template 1 • Template 2 • Template 3 Centres Vice-Chancellor's Directive Risk Management Policy and Guidelines Standing Delegations of Authority UTS Research Strengths Statement	
Legislation		
File number	UR09/782	
Superseded documents	Guidelines for Centres for Enterprise, Research and/or Community Service CERCS	

Contents

1. Purpose
 2. Scope
 3. Definitions
 4. Guidelines
 5. Roles and responsibilities
 6. Acknowledgements
 7. Version control and change history
- Proposal templates

1. Purpose

These Guidelines provide information to assist members of the UTS community in using the [Centres Vice-Chancellor's Directive](#).

2. Scope

These Guidelines apply to all UTS activities and personnel with regard to the establishment and operation of UTS Centres, including Centres that are also UTS Research Strengths.

These Guidelines apply to Institutes that have been made subject to the provisions of the Centres Vice-Chancellor's Directive. In general, the use of 'Institute' is limited to units that represent a very significant scope and level of expertise. If a unit is proposing to use the title 'Institute' a clear case for this use needs to be made in the establishment proposal.

These Guidelines do not apply to Centres that have been specifically exempted from the provisions of the Centres Vice-Chancellor's Directive.

In addition to the Centres Vice-Chancellor's Directive, Centres are subject to the provisions of other policies and directives as they apply to the activities being undertaken by the Centre. This includes the Research Strengths Statement for those Centres and Institutes that are designated UTS Research Strengths.

3. Definitions

A **Centre** is an academic grouping with an approved organisational structure within a faculty or faculties, established to advance the strategic interests of UTS and its related faculties. Centres include designated UTS Research Strengths.

Relevant Dean is the dean of each faculty the Centre is established within. If the Centre operates across multiple faculties, there may be more than one Relevant Dean.

Responsible Dean is the dean designated in a Centre's constitution as having day-to-day management responsibility for the Centre. Normally there would be one Responsible Dean for a Centre.

UTS Research Strength is a Centre that has been approved by the Vice-Chancellor as a specific research grouping. It is a research-focused UTS Centre operating within or between faculties in an area of recognised/identified excellence. UTS Research Strengths provide leadership in research performance (scale and quality) through the

facilitation and support of research, development and related activities in specific disciplines. UTS Research Strengths adhere to additional requirements to that of a Centre under the Centres Directive and these Guidelines, and are eligible to receive additional funding from the Deputy Vice-Chancellor (Research).

4. Guidelines

4.1 Centre approval process

Relevant Deans, the Deputy Vice-Chancellor (Research) if the Centre has a significant research-focus (whether or not a UTS Research Strength) and the Provost must endorse the establishment proposal.

The Vice-Chancellor has the delegated authority to approve the establishment and disestablishment of Centres.

4.2 Centre name

A Centre's name is approved as part of its establishment. The Vice-Chancellor's approval is required to change a Centre's name after its establishment.

4.3 Centre establishment proposal

The Vice-Chancellor's approval of a Centre will be based on the information provided in the Centre establishment proposal.

Proposers must determine the type of Centre being proposed, that is:

- a Centre, or
- a Centre that is also proposed to be a UTS Research Strength.

The Centre establishment proposal must contain the information prescribed in these Guidelines for the type of Centre being proposed. There are specific requirements for:

- a Centre that *is not* also a UTS Research Strength: use the [cover page template](#), [template 1](#) and [template 2](#)
- a Centre that *is* also a UTS Research Strength: use the [cover page template](#), [template 1](#) and [template 3](#), and refer to the [UTS Research Strengths Statement](#).

The required elements of the establishment proposal are elaborated on below and in the templates attached.

4.3.1 Centre constitution

All Centres, including Centres that are also Research Strengths, must have a constitution. The Centre's constitution identifies the Centre's purpose and its governance and management structures. The constitution forms part of the establishment proposal as well as guiding the Centre's future operations. The required content of the Centre's constitution is set out in [template 1](#).

Once established, changes to the constitution of a Centre may be proposed by the Relevant Dean(s) and, if consistent with the Centre's original strategic objective, be approved by the Provost. The Provost will consult with relevant Deputy Vice-Chancellor(s) in cases where a Centre's activities are covered by other UTS policies or directives.

The Vice-Chancellor's approval is required for proposed constitution changes that amend the strategic objective and/or name of a Centre.

4.3.2 Resources

The establishment proposal must provide a summary of the resources required to operate the Centre over its initial three years.

4.3.3 Risk assessment

A risk assessment must be included in the establishment proposal, setting out the risks to, and arising from, the Centre's operation and how the risks will be managed.

The [Risk Management Policy](#) provides guidance on conducting a risk assessment.

4.3.4 Exit strategy

The establishment proposal must outline the Centre's exit strategy which describes how closure of the Centre will be managed.

4.4 External participation in a Centre

With the approval of the Responsible Dean, in conjunction with the Centre Director or equivalent and consistent with the Centre's strategic plan, individuals and organisations external to UTS may be invited to participate in a UTS Centre. The terms of external participation in a UTS Centre must be documented with appropriate legal advice from UTS Legal Services and agreed to by the Responsible Dean and the relevant authorised external representative.

At a minimum, the terms of external participation in a UTS Centre must include provisions for the use of UTS resources, insurance, conflict of interest, intellectual property and, if applicable, research ethics and compliance with relevant external codes.

4.5 Action/strategic plan

Each UTS Centre must have an action or strategic plan covering at least three years that is to be reviewed and approved annually by the Responsible Dean and the Deputy Vice-Chancellor (Research) in the case of UTS Research Strengths. The plan may be required to form part of the Centre establishment proposal (see [templates](#) for requirements).

The plan must be consistent with the Centre's constitution and describe the range of intended activities, performance targets and indicators, funding and other operational arrangements. Advice on [strategic planning](#) and [action planning](#) is available from the Planning and Quality Unit.

A Centre's activities must be consistent with its constitution. A Centre cannot undertake activities that UTS itself cannot undertake, nor independently conduct activities that are limited to faculties or other specific units under UTS policies and directives. In particular, Centres may not independently conduct award courses but may participate in the management and delivery of award courses under the faculty's normal requirements.

If the Responsible Dean or Centre senior staff have any doubts about the validity of their scope of activities or particular activities they intend to undertake, they should seek advice from the Director, Governance Support Unit and/or the Provost or the Deputy Vice-Chancellor under whose portfolio the activity(ies) appears to fall.

4.6 Centre review

The Responsible Dean will review a Centre's performance annually, taking account of the Centre's progress in achieving its objectives, achievement of performance targets included in the action plan, and the Centre's risk profile. The Responsible

Dean will also consider the appropriateness of the membership of the Centre's management and governance structures, and the appropriate breadth and relevance of participants in the Centre's operations.

In conducting the annual review, the Responsible Dean may, at his or her discretion, seek input from other UTS faculties and/or external bodies. In relation to Centres that are also Research Strengths or that have either been funded by the Deputy Vice-Chancellor (Research) and/or been assessed by the Responsible Dean as having a designated research focus, the review must be conducted in consultation with, and the outcome approved by, the Deputy Vice-Chancellor (Research).

Responsible Deans, or the Deputy Vice-Chancellor (Research) in the case of Centres that are also UTS Research Strengths or that have either been funded by the Deputy Vice-Chancellor (Research) and/or been assessed by the Responsible Dean as having a designated research focus, may prescribe the form of Centre reporting. Only one annual report should be required of each Centre, constructed to satisfy a range of reporting requirements if necessary. Centres should not be required to duplicate reports in different formats to satisfy the requirements of different UTS policies and directives.

The outcomes of the annual performance review will contribute to a wider consultation that the Provost, Deputy Vice-Chancellor (Research) and other Deputy Vice-Chancellors with relevant portfolio responsibilities will have with deans with regard to the broad strategic direction and performance of UTS Centres.

From time to time, taking account of annual performance assessments and a Centre's risk profile, a more intensive review of a Centre may be initiated by the Relevant Deans, Deputy Vice-Chancellor (Research) or Provost with the advice of relevant Deputy Vice-Chancellors. The nature of such a review will be determined at the time and will be tailored to the nature of the Centre and any specific review triggers.

4.7 Relationship of a Centre and its faculty(ies)

Unless otherwise approved, a Centre is a part of one or more faculties, with one dean taking primary responsibility for the Centre. Accordingly, a Centre's activities, funding and financial outcomes are the responsibility of the relevant faculty(ies), and in the case of Centres that are also UTS Research Strengths or that have either been funded by the Deputy Vice-Chancellor (Research) and/or been assessed by the Responsible Dean as having a designated research focus, in cooperation with the Deputy Vice-Chancellor (Research).

4.8 Branding

UTS Centres must use appropriate UTS identification and branding in their operations, including on all communication materials such as business cards, brochures and websites. Senior staff of Centres must ensure that communication materials comply with the written guidelines for appropriate identification and branding that may be issued from time to time by the Marketing and Communication Unit.

4.9 Other UTS policies

A Centre must comply with UTS policies, directives, procedures, guidelines, Standing Delegations of Authority, and the terms of its constitution. The Responsible Dean, and the Deputy Vice-Chancellor (Research) in the case of Centres that are also UTS

Research Strengths, must ensure that the senior UTS staff member of a Centre understands the scope of activity and authority of the Centre and its staff.

4.10 Register of Centres

The Director, Governance Support Unit will keep a register of Centres. The offices of the Provost and the Deputy Vice-Chancellor (Research) are responsible for providing the Governance Support Unit with the approved name of a Centre, the dates of establishment and disestablishment, the relevant faculties, the name and faculty of the Responsible Dean, the name and contact details of the Centre's Director and any other information requested by the Governance Support Unit.

5. Roles and responsibilities

The Vice-Chancellor has authority to establish and disestablish UTS Centres and Institutes.

Consistent with the Centres Directive and UTS Standing Delegations of Authority, the Provost may issue relevant guidelines and/or procedures at his or her discretion, which may include requirements or guidance for proposals to establish Centres, the content of their constitutions, action plans and annual reports, and additional requirements for review processes.

The Deputy Vice-Chancellor (Research) is responsible for the implementation of the UTS Research Strengths Statement and any related guidelines that apply to designated Centres.

For Centres and Institutes that are designated UTS Research Strengths, the Provost and Deputy Vice-Chancellor (Research) will jointly establish review processes and other requirements as appropriate to minimise duplication.

Other Deputy Vice-Chancellors are responsible for the activities of UTS Centres as designated by UTS policies, directives and related guidelines.

Deans are responsible for the financial and operational performance, including compliance and risk management, of the Centres that they host.

6. Acknowledgements

No acknowledgements.

7. Version control and change history

Effective date	Version	Approved by (date)	Amendment
07/12/2012	1	Senior Deputy Vice-Chancellor (11/10/2012)	New Guidelines
04/05/2016	1.1	Director, Governance Support Unit (GSU) (11/12/2014)	Changes (approved under Delegation 3.17) to implement 2014 Senior Executive restructure.

PROPOSAL COVER PAGE:

MUST BE COMPLETED FOR ALL TYPES OF CENTRES

[Proposal cover page template](#) (Word)

Delete this box prior to submission.

PROPOSAL FOR THE ESTABLISHMENT OF

[INSERT PROPOSED NAME OF CENTRE]

TEMPLATE 1:

MUST BE COMPLETED FOR ALL TYPES OF CENTRES INCLUDING RESEARCH STRENGTHS

[Template 1](#) (Word)

Delete this box prior to submission.

[INSERT PROPOSED NAME OF CENTRE]

CONSTITUTION

1. Strategic intent

Drafting notes (delete this box prior to submission):

Describe the strategic intent of the Centre, that is, provide a brief explanation of how the Centre will contribute to the achievement of a major goal or outcome in its focus area(s).

2. Functions

Drafting notes (delete this box prior to submission):

Describe the Centre's functions, that is, the significant ongoing contribution the Centre will make to the achievement of the University's objectives in *one or more* of the following ways:

- Providing a focus for and promoting an existing or emerging key strategic UTS academic identity and expertise, including aspects of teaching and learning and/or research.
- Operating as a hub for interdisciplinary, collaborative approaches to UTS academic activity, including aspects of teaching and learning and/or research.
- Building cross-university research capability.
- Actively engaging with professional practice.
- Supporting significant UTS external engagement with the professions, business, industry, government and the community.

3. Objectives

Drafting notes (delete this box prior to submission):

Provide a statement of the Centre's objectives. The Centre's objectives should be medium to long term, and their achievement must be able to be objectively assessed. The Centre's objectives should be related to its functions.

4. Governance

Drafting notes (delete this box prior to submission):

Describe the Centre's governance structure, that is, the bodies that provide oversight of, and provide advice on, the Centre's direction and achievement of its objectives. The governance structure of a Centre should at a minimum include a management committee to oversee the activities of the Centre, including at least one faculty member who is not directly involved in the activities of the Centre. The Centre may also have an advisory board, normally including external members, if appropriate.

The breadth of a Centre's governance arrangements should be commensurate with its strategic intent, scale of activities and risk profile.

5. Management

Drafting notes (delete this box prior to submission):

Describe the Centre's management structure including its broader UTS accountability and reporting lines.

The faculty or faculties endorsing the Centre's establishment and operations must be identified.

The Responsible Dean, that is, the Dean designated as having day-to-day management responsibility for the Centre, must be identified.

In general, a Centre is expected to operate within one or more faculties but with the expectation that one faculty will take primary responsibility for the Centre. If it is envisaged that a Centre will report outside a faculty structure a special case needs to be made.

6. Participation in Centre

Drafting notes (delete this box prior to submission):

Set out the criteria that will be used to determine which UTS staff and external bodies will be invited to participate in the activities of the Centre.

TEMPLATE 2:

TO BE COMPLETED BY PROPOSED CENTRES THAT *ARE NOT* ALSO UTS RESEARCH STRENGTHS

(IN ADDITION TO TEMPLATE 1)

[Template 2](#) (Word)

Delete this box prior to submission

1. Centre name and strategic intent

Drafting notes (delete this box prior to submission):

Indicate the proposed name of the Centre.

A Centre's name should be descriptive of its purpose and meaningful to external stakeholders. It is not a requirement that the word 'Centre' be used in the name.

There must be specific justification for the proposed use of a Centre name that includes terms that imply a pre-eminent or dominant position in the field such as 'Australian Centre for...', 'International Centre for..' or 'Centre of Excellence in...'.

In general, the use of 'Institute' is limited to units that represent a very significant scope and level of expertise. If a unit is proposing to use the title 'Institute' a clear case for this use must be made.

Indicate the research that has been undertaken to ensure that the proposed Centre name is not already in use.

Provide a summary statement of the Strategic Intent, which should align with that set out in the Constitution, and then provide a brief rationale as to i) why the addition of this Centre with such a strategic intent will address the strategic objectives of UTS and the participating faculty(ies), and ii) why a Centre is needed rather than some less formal faculty grouping of staff, etc.

Where a Centre proposes to address the function of 'Building cross-university research capability', a brief statement should be provided describing its core research competence, research paradigm and cross-university capability, including a reference to the existing groups/units/faculties that the proposed Centre will support.

2. Resources

2.1 Staff

Drafting notes (delete this box prior to submission):

A detailed staff profile including whether staff are to be drawn from existing staff and/or whether Centre-specific appointments are anticipated. For Centre-specific appointments, information must be included on how those positions will be funded and how they will be dealt with should the Centre close.

2.2 Finance

Drafting notes (delete this box prior to submission):

The Centre's financial arrangements for at least its first three years are to be detailed including:

- Projected income and other funding sources, including grants.
- Annual operating costs, including direct project expenditure and internal support requirements.

In cases where the Centre shares resources with the relevant faculty(ies), for example in cases where staff are not dedicated full time to the Centre, include only those costs that relate to the Centre's operation.

If applicable, include an explanation, in broad terms, of how any income generated by the Centre will be used, including any return to the related faculty(ies).

An explanation of how the funding will be underwritten if budget projections are not met. (Ultimately the responsible faculty(ies) is responsible for underwriting any shortfall in a Centre's budget.)

2.3 Physical resources

Drafting notes (delete this box prior to submission):

The physical resources the Centre will require are to be detailed, including office space and equipment, with an explanation of how those resources will be provided.

If establishment of the Centre involves a claim for additional space and/or significant renovation of existing space, then a detailed space proposal is required to be approved by the Deputy Vice-Chancellor (Resources) prior to establishment of the Centre.

3. Risk assessment

Drafting notes (delete this box prior to submission):

A risk assessment must be included in the establishment proposal, setting out the risks to, and arising from, the Centre's operation and how the risks will be managed. The risk assessment must cover risks related to the Centre's:

- performance
- activities
- finances
- key staffing appointments (particularly where the staff are allocated mainly or solely to the operation of the Centre)
- the University's reputation, and
- legal matters (particularly if partnerships/other external agreements are envisaged).

The [Risk Management Policy](#) provides guidance on conducting a risk assessment.

4. Key Success Measures

Drafting notes (delete this box prior to submission):

Provide the proposed Centre's key measure(s) of success over its first three years. This statement must be measurable and will be used as the key focus for review of the Centre.

5. Exit strategy

Drafting notes (delete this box prior to submission):

The establishment proposal must outline the Centre's exit strategy which describes how closure of the Centre will be managed. The exit strategy must identify:

- clear and practicable timelines for any exit
- how staff will be managed (particularly where the staff are allocated mainly or solely to the operation of the Centre)
- the protection of the University's reputation
- the resolution of financial commitments, and
- the resolution of contractual obligations.

6. Relevant Dean's requirements

Drafting notes (delete this box prior to submission):

Prior to finalisation of the Centre establishment proposal the proposed Relevant Dean(s) must be consulted and any additional information he or she requires must be included in the final establishment proposal.

TEMPLATE 3:

**TO BE COMPLETED BY CENTRES THAT ARE ALSO PROPOSED UTS
RESEARCH STRENGTHS**

(IN ADDITION TO TEMPLATE 1)

[Template 3](#) (Word)

Delete this box prior to submission

Drafting notes (delete this box prior to submission):

In addition to the requirements outlined in Template 1, a UTS Research Strength must provide a three-year strategic plan as part of its application for establishment.

The strategic plan must be discussed with the Dean and Deputy Vice-Chancellor (Research) and must be part of the Centre Establishment Proposal.

1. Background

Drafting notes (delete this box prior to submission):

A brief background outlining the existing team and research activity of the proposed UTS Research Strength.

2. Goals and objectives

Drafting notes (delete this box prior to submission):

A statement of the Centre's goals and objectives. The Centre's objectives should be medium to long term and their achievement must be able to be objectively assessed. The Centre's objectives must be related to its functions as set out in the Constitution.

3. Research approach

Drafting notes (delete this box prior to submission):

An outline of the research approach and how the Centre aims to achieve the stated objectives.

4. Research team

Drafting notes (delete this box prior to submission):

An outline of the current team, including future skills requirements, researcher development strategies and succession planning for Centre leaders.

5. Collaborators

Drafting notes (delete this box prior to submission):

An outline of key (and potential) collaborators, including potential partners in externally funded centres of excellence (including Cooperative Research Centres).

6. Communications plan and path to impact / adoption

Drafting notes (delete this box prior to submission):

The Centre's communications plan, including path to impact, communication of research results to funders and the broader community, links to teaching.

7. Finance

Drafting notes (delete this box prior to submission):

A three-year income and expenditure statement, including any carry-forward funds from existing research projects. Also include faculty or Deputy Vice-Chancellor (Research) funding commitments.

8. Physical resources

Drafting notes (delete this box prior to submission):

The physical resources the Centre will require are to be detailed, including office space and equipment, with an explanation of how those resources will be provided.

If establishment of the Centre involves a claim for additional space and/or significant renovation of existing space, then a detailed space proposal is required to be approved by the Deputy Vice-Chancellor (Resources) prior to establishment of the Centre.

9. Key Performance Indicators

Drafting notes (delete this box prior to submission):

Key Performance Indicators (KPIs) and measures of success for the Centre, including targets for the life of the strategic plan. These should tie in to the UTS Research Strategy and include the key UTS KPIs, but should be relevant to the Centre's own strategic direction.

10. Risk assessment

Drafting notes (delete this box prior to submission):

A risk assessment must be included in the establishment proposal, setting out the risks to, and arising from, the Centre's operation and how the risks will be managed. The risk assessment must cover risks related to the Centre's:

- performance
- activities
- finances
- key staffing appointments (particularly where the staff are allocated mainly or solely to the operation of the Centre)
- the University's reputation, and
- legal matters (particularly if partnerships/other external agreements are envisaged).

The [Risk Management Policy](#) provides guidance on conducting a risk assessment.

11. Exit strategy

Drafting notes (delete this box prior to submission):

The establishment proposal must outline the Centre's exit strategy which describes how closure of the Centre will be managed. The exit strategy must identify:

- clear and practicable timelines for any exit
- how staff will be managed (particularly where the staff are allocated mainly or solely to the operation of the Centre)
- the protection of the University's reputation
- the resolution of financial commitments, and
- the resolution of contractual obligations.