

CENTRES AND COLLABORATIVE NETWORKS PROCEDURES 2017

Issued by: Deputy Vice-Chancellor and Provost

Dated: 9 August 2017

Last amended: 1 January 2019

Signature:

Name: Professor Stephen Garton

1 Purpose and application

- (1) These procedures are to give effect to the Centres and Collaborative Networks Policy 2017 (“the policy”).
- (2) These procedures apply to the establishment and management of University Centres.

2 Commencement

These procedures commence on 1 September 2017.

3 Interpretation

- (1) Words and phrases used in these procedures and not otherwise defined in this document have the meanings they have in the policy.

Enterprise Agreement means the *University of Sydney Enterprise Agreement 2013–2017*, or any replacement agreement.

4 Establishment

- (1) Applications to establish a centre must:
 - (a) provide the information specified for the classification level of the proposed centre in this clause; and
 - (b) be made in the form available online from the [centres website](#)
- (2) **All applications for Levels 1 to 3 Centres** must be endorsed by the proposed presiding dean.
- (3) **Applications for Level 1 centres** must include:



- (a) the proposed name of the centre;
 - (b) the proposed presiding faculty;
 - (c) names of the faculties, University schools or schools involved;
 - (d) proposed objectives;
 - (e) resourcing requirements, and how it is proposed to meet them;
 - (f) details of all proposed web or other online or social media presences, including proposed platforms;
 - (g) an explanation of how the proposed centre will align with the strategic goals of the presiding faculty; and
 - (h) names of key academic staff associated with the centre.
- (4) **Applications for Level 2 centres** must include:
- (a) the proposed name of the centre;
 - (b) the proposed presiding faculty
 - (c) the names of any proposed directors;
 - (d) an explanation of how the centre will align with the strategic goals of the presiding faculty;
 - (e) details of all proposed web or other online or social media presences, including proposed platforms, which:
 - (i) should include a statement about the function and personnel of the centre; and
 - (ii) may be separate from, but must at least be linked to, the faculty or University school site.
 - (f) a five-year business plan;
 - (g) a five-year academic plan that articulates research and educational objectives (as appropriate) including KPIs and how these align with the strategic goals of the presiding faculty;
 - (h) proposed terms of reference;
 - (i) resourcing requirements, and how it is proposed to meet them;
 - (j) any proposed formal affiliations with external entities;
 - (k) names of the faculties, University schools or schools involved;
 - (l) the names of key personnel; and
 - (m) a recommendation for establishment from the proposed presiding dean
- (5) **Applications for Level 3 centres** must include the information specified for Level 2 centres plus:
- (a) the proposed membership of the advisory committee;
 - (b) an explanation of how the centre will align with University strategy;
 - (c) details of any expected opportunities for commercialising or generating intellectual property; and
 - (d) plans for community engagement.
- (6) **Applications for Level 4 Centres** must include the information specified for Levels 2 and 3 Centres plus:



- (a) the names of the proposed director(s);
- (b) an organisational chart of the proposed administrative structure;
- (c) the names of members of the proposed management committee; and
- (d) a risk assessment.

5 Management and governance

(1) Level 1 Centres

- (a) The members and the presiding faculty are responsible for the centre meeting its goals and objectives, including financial sustainability.
- (b) Financial support is at the discretion of the presiding faculty and requires the support of all faculties, University schools or schools involved.

(2) Level 2 Centres

- (a) Terms of reference must specify how the centre will:
 - (i) promote and conduct its activities;
 - (ii) foster collaborative efforts;
 - (iii) produce high quality outcomes in research and education (as applicable); and
 - (iv) achieve objectives which would otherwise be beyond what the faculties or University schools involved might reasonably expect to achieve.
- (b) Directors must maintain current academic and business plans, using the templates which may be downloaded from the [centres website](#).
- (c) Directors must identify and record performance indicators to measure progress of its activities towards its objectives. These indicators may include:
 - (i) collaborative activities;
 - (ii) awarding of grants;
 - (iii) publications;
 - (iv) development of teaching activities; or
 - (v) community engagement.
- (d) Financial support is provided by the participating faculties and external grant funding.

(3) Level 3 Centres

- (a) In addition to the requirements for Level 2 centres, Level 3 Centres must have an advisory committee which:
 - (i) has terms of reference relevant to the objectives of the centre;
 - (ii) includes members external to the centre and the presiding faculty; and
 - (iii) meets at least quarterly.
- (b) Financial support is providing by the participating faculties and external grant funding.

(4) **Level 4 Centres**

- (a) In addition to the requirements Level 2 and Level 3 Centres, Level 4 Centres must have a management committee which:
 - (i) is approved by the University Executive;
 - (ii) has terms of reference relevant to the objectives of the centre; and
 - (iii) meets at least quarterly.
- (b) Level 4 Centres must have an annual budget that is approved through the University's usual processes for faculty and University school budgets.

6 Reporting

- (1) Annual reports, as specified for the classification level of the centre in this clause, must be submitted to the relevant delegate, within three months of the end of the financial year.
- (2) The relevant presiding dean will determine the nature and format of reports required from **Level 1 Centres**.
- (3) **Level 2 Centres** should provide the following to the presiding dean at least annually:
 - (a) a financial statement;
 - (b) an overview of the centre's activities and achievements since the last report;
 - (c) any information required by the template reporting form available from [the centres website](#); and
 - (d) any other information required by the presiding dean.
- (4) Presiding deans should forward Level 2 centre reports to the Provost as soon as practicable after receipt.
- (5) **Level 3 Centres** should provide the following to the presiding dean annually:
 - (a) financial and academic plans, including any financial reporting requirements that may be requested by faculties or central units providing financial assistance;
 - (b) an overview of education and research activities since the last report;
 - (c) any information required by the template reporting form available from [the centres website](#); and
 - (d) any other information requested by the Provost.
- (6) Presiding deans should endorse reports of Level 3 Centres and forward them to the Provost as soon as practicable. If a presiding dean does not endorse a report, they should provide the report to the Provost together with the reasons for not endorsing it.
- (7) **Level 4** centres should provide the following to the Vice-Chancellor annually:
 - (a) the information required to be provided by Level 3 Centres; and
 - (b) an analysis of performance indicators for the period since the last report.
- (8) The Vice Chancellor should forward Level 4 Centre reports to the University Executive for information.

- (9) Level 4 Centres must also provide such financial reporting and information as is required by the usual University financial processes for faculties and University schools.

7 Review

- (1) **Reviews of Level 1 Centres** should include consideration of:
- (a) whether the centre has met its objectives ;
 - (b) financial sustainability; and
 - (c) the centre's alignment with the presiding faculty's strategic goals.
- (2) The process for review of a Level 1 Centre will be determined by the presiding dean.
- (3) **Reviews of Level 2 Centres** should include consideration of:
- (a) whether the centre has met its objectives;
 - (b) financial sustainability;
 - (c) academic activities; and
 - (d) the centre's alignment with the presiding faculty's strategic goals.
- (4) The process for review of a Level 2 Centre:
- (a) will be determined by the presiding dean; and
 - (b) may be undertaken by an individual or a panel, provided that the individual or one of the panel members is external to the presiding faculty.
- (5) **Reviews of Level 3 Centres** will commence with a self-evaluation report from the centre which includes:
- (a) details of faculties' and schools' involvement in the centre's activities;
 - (b) minutes of advisory committee meetings for the last three meetings;
 - (c) a current financial report;
 - (d) a list of current personnel;
 - (e) a proposed business plan for the next five years;
 - (f) details of how the centre has met its objectives since the last report, including any reasons why these might have changed or not been met;
 - (g) emerging research strengths that might be addressed in the future;
 - (h) commentary on research and publications produced;
 - (i) commentary on education activities conducted;
 - (j) details of community engagement activities; and
 - (k) a description of how the centre is administered.
- (6) Upon receipt of the self-evaluation report the Provost will constitute a review panel comprising at least three people external to the centre, of whom at least one is external to the University.
- (7) The review panel should prepare a written report of its review, which should encompass:
- (a) the identity of people interviewed;



- (b) an assessment of the current objectives of the centre and whether they are consistent with the strategic goals of the University and the presiding faculty;
 - (c) the effectiveness of the centre in pursuing these objectives;
 - (d) whether and how any performance indicators are being met;
 - (e) the centre's relationships with the faculties and schools with which it is associated;
 - (f) the centre's relationships with external organisations;
 - (g) the quality of the centre's research and education activities;
 - (h) evidence of grants applied for and achieved;
 - (i) the quality of the centre's community engagement;
 - (j) the effectiveness of the centre's management, governance and administration; and
 - (k) financial sustainability.
- (8) The review panel must make a recommendation on the future of the centre, including whether it should continue, and if so, at what classification.
- (9) **Reviews of Level 4 Centres** will commence with a self-evaluation report from the centre which includes:
- (a) details of faculties' and schools' involvement in the centre's activities;
 - (b) minutes of advisory committee meetings for the last three meetings;
 - (c) a current financial report;
 - (d) a list of current personnel;
 - (e) a proposed business plan for the next five years;
 - (f) details of how the centre has met its objectives since the last report, including any reasons why these might have changed or not been met;
 - (g) emerging research strengths that might be addressed in the future;
 - (h) commentary on research and publications produced;
 - (i) commentary on education activities conducted;
 - (j) details of community engagement activities; and
 - (k) a description of how the centre is administered.
- (10) The initial three year review of a Level 4 Centre may be internal to the University, but must not be undertaken by anyone associated with the centre.
- (11) For reviews after the initial three year review the Vice-Chancellor will, upon receipt of the centre's self-evaluation report, constitute a review panel:
- (a) chaired by an individual nominated by the Vice-Chancellor on the recommendation of the Provost or Deputy Vice-Chancellor (Research); and
 - (b) comprising at least three other members, of whom two should be external to the University.
- (12) The review panel should prepare a written report of its review, which should encompass:
- (a) the identity of people interviewed;
 - (b) an assessment of the current objectives of the centre and whether they are consistent with the strategic goals of the University and the presiding faculty;



- (c) the effectiveness of the centre in pursuing these objectives;
 - (d) whether and how any performance indicators are being met;
 - (e) the centre's relationships with the faculties and schools with which it is associated;
 - (f) the centre's relationships with external organisations;
 - (g) the quality of the centre's research or education activities;
 - (h) evidence of grants applied for and achieved;
 - (i) the quality of the centre's community engagement;
 - (j) the effectiveness of the centre's management, governance and administration; and
 - (k) financial sustainability.
- (13) The review panel must make a recommendation on the future of the centre, including whether it should continue, and if so, at what classification.

8 Closure

(1) Level 1 Centres

- (a) Before determining to close a centre, the presiding dean should consult with any affected:
 - (i) faculties, University schools or schools; and
 - (ii) granting bodies.
- (b) Having approved the closure of a centre, the presiding dean should:
 - (i) address any financial and staffing issues, including remaining funds from grants;
 - (ii) inform any granting bodies;
 - (iii) arrange for any accounts to be closed; and
 - (iv) reallocate infrastructure as appropriate.

(2) Level 2 or 3 Centres

- (a) Before determining to recommend closure, the presiding dean or relevant Deputy Vice-Chancellor should consult with:
 - (i) directors of the centre;
 - (ii) any faculties, University schools, or schools involved;
 - (iii) any external entities with which the centre is affiliated; and
 - (iv) any relevant granting bodies.
- (b) After the Provost has approved the closure of the centre, the presiding dean should:
 - (i) address any financial and staffing issues, including dispersing remaining funds from grants and conducting discussions with affected staff as required by their contracts or the [Enterprise Agreement](#);
 - (ii) inform the members of any advisory committee;
 - (iii) inform any granting bodies;

- (iv) arrange for any accounts to be closed;
- (v) arrange for appropriate amendment or variation to any contracts affecting the centre;
- (vi) reallocate infrastructure as appropriate;
- (vii) arrange for the removal of the centre's web presence or other electronic accounts.

(3) **Level 4 Centres**

- (a) Before determining to close a centre, the Vice-Chancellor should consult with:
 - (i) the University Executive;
 - (ii) faculties, University schools and schools involved with the centre;
 - (iii) directors of the centre; and
 - (iv) relevant granting bodies.
- (b) After a decision is made to close a centre, the Provost or Deputy Vice-Chancellor (Research) should:
 - (i) address any financial and staffing issues, including dispersing remaining funds from grants and conducting discussions with affected staff as required by their contracts or the [Enterprise Agreement](#);
 - (ii) inform the members of the advisory and management committees;
 - (iii) inform any granting bodies;
 - (iv) arrange for any accounts to be closed;
 - (v) arrange for appropriate amendment or variation to any contracts affecting the centre;
 - (vi) reallocate infrastructure as appropriate; and
 - (vii) arrange for the removal of the centre's web presence or other electronic accounts.

NOTES

Centres and Collaborative Networks Procedures 2017

Date adopted:	9 August 2017
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Rescinded documents:	N/A

Related documents: University of Sydney (Delegations of Authority – Administrative Functions) Rule 2010 (as amended)

Centres and Collaborative Networks Policy 2017

University Recordkeeping Policy

Recordkeeping Manual

AMENDMENT HISTORY

Provision	Amendment	Commencing
6(1)	Provide for the requirement to submit annual report within three months of the end of the financial year.	1 January 2019