

CENTRES AND COLLABORATIVE NETWORKS POLICY 2017

The Vice-Chancellor and Principal, as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 9 August 2017

Last amended:

Signature:

Name: Dr Michael Spence

CONTENTS

Contents	1
6 Name of policy	1
2 Commencement.....	2
3 Policy is binding	2
4 Statement of intent.....	2
5 Application	2
6 Definitions	2
7 Principles for centres	3
8 Classification.....	3
9 Naming.....	5
10 Establishment	5
11 Governance	5
12 Management.....	6
13 Resources.....	7
14 Branding.....	7
15 Reporting	7
16 Review and reclassification	7
17 Closure.....	8
18 Roles and responsibilities	9
19 Transitional provisions	10
20 Rescissions and replacements	10
Notes	10
Amendment history	10

1 Name of policy

This is the Centres and Collaborative Networks Policy 2017.

2 Commencement

This policy commences on 1 September 2017

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

4 Statement of intent

This policy:

- (a) sets out the University's requirements for the establishment and naming of centres; and
- (b) establishes a framework for:
 - (i) classifying University centres; and
 - (ii) regulating their establishment, governance, management and review according to their classification.

5 Application

- (1) This policy applies to:
 - (a) all University staff and affiliates; and
 - (b) any body, group or organisation within the University which is established under this policy or which, at the date of commencement of this policy:
 - (i) is called a centre or institute; or
 - (ii) is governed by an earlier version of this policy.
- (2) This policy does not apply to:
 - (a) Cooperative Research Centres;
 - (b) competitively funded centres;
 - (c) partnerships; or
 - (d) joint ventures.

6 Definitions

advisory committee means a committee of internal and external stakeholders which provides advice on a centre's strategy and direction.

centre means an academic grouping or collaborative network established by the University to add value to research or education activities, enhance collaboration and increase knowledge transfer.

competitively funded centre	means a centre which is: <ul style="list-style-type: none"> • established as result of a competitive external funding process, such as that conducted by the National Health and Medical Research Council or Australian Research Council or similar bodies; and • included on a list of such centres determined in writing by the Provost and published on the Research website.
education	includes, but is not limited to, research education.
formal affiliation	means a relationship between the University and a third party which is recorded in a written and duly executed affiliation agreement.
management committee	means a committee of senior staff and or members of a centre, which: <ul style="list-style-type: none"> • approves the centre's strategic direction; and • oversees and advises upon the centre's operations.
presiding dean	means the Dean or Head of School and Dean, as appropriate, of the faculty or University school responsible for a centre.
presiding faculty	means the faculty or University school responsible for a centre.
procedures	means the Centres and Collaborative Networks Procedures 2017
Provost	means Deputy Vice-Chancellor and Provost.
University Executive	means the senior management committee, comprised of the Vice-Chancellor, Deputy Vice-Chancellors, Deans of faculties, Vice-Principals and Chair of the Academic Board.

7 Principles for centres

- (1) Centres must be aligned to the University's strategic goals.
- (2) Centres should add value to the University's activities and structures in a manner which cannot be achieved through existing structures.
- (3) Centres should have a focus of expertise, which may be research alone or may combine research with either or both of teaching or outreach activities.
- (4) Centres must remain under the control of the University, even if they have affiliations or relationships with external entities.
- (5) For the avoidance of doubt, any centre undertaking, or proposing to undertake, commercial activities must also comply with the requirements of the [Guidelines Concerning Commercial Activities](#).

8 Classification

- (1) The University classifies centres as specified in this clause.

- (2) **Level 1 Centres:**
- (a) consist of a group of researchers from one or more faculties or University schools;
 - (b) must have a presiding faculty, with whose strategic goals the centre is aligned; and
 - (c) must be known as one of the terms: collaborative network, network, group or cluster.
- (3) **Level 2 Centres:**
- (a) consist of a group of researchers or teachers from one or more faculties or University schools;
 - (b) must have a presiding faculty, with whose strategic goals the centre is aligned;
 - (c) must be multi-disciplinary;
 - (d) may have one or more formal affiliations with external entities;
 - (e) may involve both research and education; and
 - (f) must be known as a centre.
- (4) **Level 3 Centres:**
- (a) are multi-disciplinary structures in which several faculties or University schools participate;
 - (b) must have a presiding faculty;
 - (c) must align with the strategic goals of the University and of the presiding faculty;
 - (d) may have one or more formal affiliations with external entities;
 - (e) should be involved in both education and research; and
 - (f) must be known as a centre or institute.
- (5) **Level 4 Centres:**
- (a) are University-wide structures with a broad base of stakeholders;
 - (b) must be multi-disciplinary collaborative groups, involving several faculties or University schools;
 - (c) must be involved in both education and research;
 - (d) may have one or more formal affiliations with external entities;
 - (e) must have an intention to achieve significant national or international recognition; and
 - (f) must be known as a centre or institute.
- (6) The Provost will maintain and publish on the [centres website](#) a list of centres and their classifications.
- (7) If there is disagreement about the appropriate classification of a centre, the Provost's determination will be final.

9 Naming

- (1) Subject to the provisions of this clause, the following terms may only be used in relation to centres established under this policy or to which this policy applies:
 - (a) network;
 - (b) group;
 - (c) cluster;
 - (d) centre;
 - (e) institute.
- (2) Groups or structures which are not subject to this policy may use terms specified in subclause 9(1) in their names with the consent of the Provost, on the recommendation of the presiding dean.
- (3) Groups or structures which are subject to this policy may use terms other than those specified in subclause 9(1) in their names with the consent of the Provost.
- (4) Centres may change their names to:
 - (a) reflect more accurately the current focus of their activities; or
 - (b) promote their activities more effectively to the wider community.
- (5) Changes of name must be approved as follows.
 - (a) **Level 1 Centres:** by the presiding dean;
 - (b) **Level 2 and Level 3 Centres:** by the Provost, on the recommendation of the presiding dean or relevant Deputy Vice-Chancellor;
 - (c) **Level 4 Centres:** by the Vice-Chancellor, on the recommendation of the Provost after endorsement by the University Executive.

10 Establishment

- (1) The following may approve the establishment of new centres, consistently with this policy and the procedures.
 - (a) **Level 1 Centres:** the proposed presiding dean;
 - (b) **Level 2 Centres:** the Provost, on the recommendation of the proposed presiding dean;
 - (c) **Level 3 Centres:** the Provost after consultation with relevant Deputy Vice-Chancellor, on the recommendation of the of University Executive; and
 - (d) **Level 4 Centres:** the Vice-Chancellor, on the recommendation of the Provost after endorsement by the University Executive.
- (2) Requests to establish a new centre must be made in the form specified, and address the criteria specified, in the procedures.
- (3) All new Level 2 to 4 centres will be approved for an initial period of three years, with further approvals of up to five years after reviews as provided in clause 16.

11 Governance

- (1) Governance arrangements for centres must be proportionate to the classification and complexity of the centre.

- (2) **Level 1 Centres** will have governance arrangements as determined to be appropriate by the presiding dean;
- (3) **Level 2 Centres** must have:
 - (a) written terms of reference; and
 - (b) other governance arrangements as determined to be appropriate by the presiding dean.
- (4) **Level 3 Centres** must have:
 - (a) written terms of reference;
 - (b) an advisory committee, constituted in a manner approved by the Provost or Deputy Vice-Chancellor (Research); and
 - (c) other governance arrangements as determined to be appropriate by the Provost.
- (5) **Level 4 Centres** must have:
 - (a) written terms of reference;
 - (b) a management committee constituted in a manner approved by the Provost;
 - (c) an advisory committee, constituted in a manner approved by either of the Provost or Deputy Vice-Chancellor (Research); and
 - (d) other governance arrangements as determined to be appropriate by either of the Provost or Deputy Vice-Chancellor (Research), in consultation with the University Executive.

12 Management

- (1) Centres must be managed in a manner which maintains and enhances the University's reputation.
- (2) Centres must not engage in activities:
 - (a) inconsistent with the University's vision and values;
 - (b) inconsistent with the University's strategic goals; or
 - (c) which could bring the University into disrepute.
- (3) All centres must be managed in a manner:
 - (a) proportionate to the classification and complexity of the centre; and
 - (b) consistent with this policy and the procedures.
- (4) **Level 1 Centres** should be managed internally by the members of the group, consistently with directions from the presiding dean.
- (5) **Level 2 Centres** may have up to two part-time directors, as approved by the presiding dean.
- (6) **Level 3 Centres** may have up to two part-time directors, or one full-time director, as approved by the Provost, on recommendation of the presiding dean or relevant Deputy Vice-Chancellor.
- (7) **Level 4 Centres** must have:
 - (a) at least one full-time director (or equivalent), as approved by the Vice-Chancellor; and
 - (b) a management committee, as provided in the procedures.

13 Resources

- (1) Each centre must have its own cost centre code in the University's finance system.
- (2) Centres must be financially sustainable, through any or all of faculty support, external grant funding or University support.
- (3) **For Levels 1 and 2 Centres:** resourcing is the responsibility of the presiding faculty. It may include external grants.
- (4) **For Level 3 Centres:** resourcing is the responsibility of the presiding faculty. It may include, but is not limited to:
 - (a) external grants; or
 - (b) support from the Deputy Vice-Chancellor (Research).
- (5) **For Level 4 Centres:**
 - (a) funding for central administrative functions is provided by the University, with annual budgets approved in the same manner as for faculties and University schools;
 - (b) infrastructure support is provided by the University; and
 - (c) external grant funding should be sought.

14 Branding

All centres must use the University logo and brand identity.

Note: [See Brand Policy 2015](#)

15 Reporting

- (1) Presiding faculties must submit to the Provost an annual report which states which **Level 1 Centres** for which they are responsible have opened and which have closed in the preceding 12 months.
- (2) **Level 2 to 4 Centres** must provide the reports and plans specified in the procedures.
- (3) **Level 2 Centres** must provide reports to their presiding dean who should provide copies to the Provost for information.
- (4) **Level 3 Centres** must provide reports to the Provost, endorsed by their presiding dean or relevant Deputy Vice-Chancellor.
- (5) **Level 4 Centres** must provide reports to the Vice-Chancellor, who should provide copies to the University Executive for information.
- (6) Except for Level 1 Centres, reports must be made in the form specified, and address the criteria specified, in the procedures.

16 Review and reclassification

- (1) Reviews of centres must take into account the criteria specified in the procedures for the relevant classification.
- (2) **Level 1 Centres** will be reviewed on the initiative of, and as directed by, the presiding Dean.

- (3) **Levels 2 to 4 Centres** must be reviewed:
 - (a) three years after their initial approval; and
 - (b) then every five years.
- (4) The Provost may require a review of a **Level 2 or 3 Centre** at any other time, regardless of the usual review cycle.
- (5) The Vice-Chancellor may require a review of a **Level 4 Centre** at any time, regardless of the usual review cycle.
- (6) Completed review reports must be provided as follows:
 - (a) **Level 1 Centres:** to the presiding Dean;
 - (b) **Levels 2 to 3 Centres:** to the presiding Dean and to the Provost;
 - (c) **Level 4 Centres:** to the Vice-Chancellor.
- (7) The outcome of a review must be one of:
 - (a) continuation unchanged;
 - (b) continuation with changes;
 - (c) continuation with reclassification; or
 - (d) closure.
- (8) The recipients of the report (jointly in the case of Levels 2 to 3 centres) may decide to:
 - (a) continue a centre unchanged;
 - (b) continue a centre with changes; or
 - (c) consistently with subclause 16(9), reclassify it at a lower level.
- (9) Centres may be closed or reclassified to a lower level if:
 - (a) the centre has ceased activity;
 - (b) the centre has failed to meet objectives; or
 - (c) the centre is found on review to be financially unsustainable.
- (10) In consultation with the University Executive, the Provost may reclassify a centre to a higher level if satisfied that:
 - (a) the centre's activities meet the criteria for a higher level;
 - (b) it would be financially sustainable to do so; and
 - (c) there would be significant strategic advantage to the University in doing so.
- (11) Decisions to close a centre must be made consistently with clause 17.

17 Closure

- (1) Centres may be closed as follows.
- (2) **Level 1 Centres:** on the direction of the presiding dean.
- (3) **Level 2 or 3 Centres:** on the direction of the Provost, after consultation with the presiding dean or relevant Deputy Vice-Chancellor.
- (4) **Level 4 Centres:** on the direction of the Vice-Chancellor, after consultation with the University Executive.

- (5) The process for closing centres specified in the procedures must be followed unless the relevant authority (as specified in subclauses 16(2) – (4)) is satisfied that there is evidence of a serious breach of policy, regulatory or other requirements. In such cases, immediate closure may be directed.

18 Roles and responsibilities

- (1) Directors and managers of centres are responsible for:
- (a) managing the centre consistently with its objectives and University rules, policy and procedures;
 - (b) providing accurate financial reports;
 - (c) providing other reports and plans as required by the procedures, consistently with the classification level of the centre; and
 - (d) managing any staff directly attached to the centre.
- (2) Presiding deans are responsible for:
- (a) approving establishment and closure of Level 1 Centres;
 - (b) approving annual reports of Level 1 Centres and endorsing reports of Level 2 and Level 3 Centres;
 - (c) providing reports to the Provost or Deputy Vice-Chancellor (Research) as required;
 - (d) providing infrastructure support for centres for which their faculty is the presiding faculty;
 - (e) overseeing compliance with University, regulatory and funding body requirements by centres for which their faculty is the presiding faculty; and
 - (f) establishing and, if required, obtaining approval for review panels where necessary, consistently with the procedures.
- (3) The Provost is responsible for:
- (a) approving the establishment or closure of Level 2 or 3 Centres;
 - (b) recommending the establishment of Level 4 Centres;
 - (c) approving exceptions to the naming requirements of this policy;
 - (d) approving governance arrangements for Level 3 or 4 Centres;
 - (e) receiving annual reports from centres;
 - (f) co-ordinating reviews of Level 2 – 4 Centres; and
 - (g) providing copies of reports and reviews to the Group Secretary as required;
- (4) The Vice-Chancellor is responsible for :
- (a) approving the establishment of Level 4 Centres;
 - (b) approving changes of name for Level 4 Centres;
 - (c) receiving reports from Level 4 Centres; and
 - (d) directing the closure of Level 4 Centres.
- (5) The Group Secretary is responsible for:
- (a) receiving reports from the Provost relating to centres; and
 - (b) recording the information provided in such reports.

19 Transitional provisions

Centres established at the date of commencement of this policy and the procedures must achieve compliance with their requirements within one year of the date of commencement.

20 Rescissions and replacements

This document replaces the *Centres: Policy for Establishment Management and Review* which commenced on 23 March 2007, and which is rescinded as from the date of commencement of this document.

NOTES

Centres and Collaborative Networks Policy 2017

Date adopted: 9 August 2017

Date commenced: 1 September 2017

Administrator: Provost & Deputy Vice-Chancellor

Review date: 1 September 2022

Rescinded documents: *Centres: Policy for Establishment, Management and Review*

Related documents:

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

University Recordkeeping Policy

Centres and Collaborative Networks Procedures 2017

Recordkeeping Manual

AMENDMENT HISTORY

Provision	Amendment	Commencing
Dated	Administrative amendment, correction to typographical error in date	29 August 2017