The University of Western Australia

GUIDELINES FOR THE ESTABLISHMENT AND REVIEW
OF UWA RESEARCH AND TRAINING CENTRES

(Senate Resolution 195/00, 25 September 2000)

1. Introduction

The University of Western Australia provides for the establishment of research and training centres where it can be shown that these will enhance its teaching and research activities. These Guidelines govern the procedures to be followed in establishing and reviewing UWA Research and Training Centres. Centres with a predominantly service role are not subject to these Guidelines but will be approved and overseen by the University Executive.

The approval procedure is the same for all centres with one exception – a small group of centres established through winning major competitive external funding. These centres automatically gain UWA Research and Training Centre status as a result of their successful application for funding schemes in which stringent quality assurance is inherent at each stage of the application process. The group of centres in this category is determined by the Deputy Vice-Chancellor (Research and Innovation) on the basis of advice from the Research Committee and currently consists of Cooperative Research Centres, ARC Centres of Excellence and WA Centres of Excellence only. Confirmation of such centres' status will, however, depend on them having resource arrangements met to the satisfaction of the Deputy Vice-Chancellor (Research and Innovation), as specified in section 4.14. Proposals for the establishment of all other centres must be prepared in accordance with the requirements set out in these Guidelines.

Centres will be established for a fixed term of three to five years or for the period of any major external core funding guaranteed at the time of establishment, such as funding through the CRC or Centres of Excellence programs, subject to satisfactory reporting, as outlined in section 5.

All UWA Research and Training Centres must be approved by Academic Council on the recommendation of the Research Committee or, where the proposal is clearly in accordance with the Guidelines, on the recommendation of the Deputy Vice-Chancellor (Research and Innovation), following advice from Research Services and any other relevant parties (e.g. Legal Services, etc).

Centres may involve more than one school or faculty, but they will normally be responsible to only one head of school or Dean. Responsibility and reporting lines within UWA are generally as follows:

Where Centre is within a School
Vice-Chancellor, acting on behalf of the Senate
↑
Dean
↑
Head of School
↑
Director (or equivalent) of the Centre

Where Centre reports directly to a Faculty
Vice-Chancellor, acting on behalf of the Senate
↑
OR
Dean
↑
Director (or equivalent) of the Centre

Where a centre is within a school, the Head of School is responsible for the centre, including all staffing issues, accommodation, provision of equipment and furniture, etc. Where a centre reports directly to a Faculty, the Dean is responsible for these things.

All centres are subject to the reporting requirements outlined in section 5 of these Guidelines.

centre guidelines final 22oct06 sfr
2. General Characteristics of Centres

UWA Research and Training Centres are expected to have the following characteristics:

2.1 **Value-adding**
A centre must promote UWA's activities over and above those activities undertaken by individuals or groups within their normal teaching and research context; it must contribute to the University in a way not feasible under UWA's existing faculty and school structures.

2.2 **Collaborative**
Collaboration should always be a characteristic of a centre. This collaboration might be entirely within UWA or between UWA and one or more external bodies. The contribution of an external body to a centre may be human resources, physical resources, financial resources, or any combination of these.

2.3 **Interdisciplinary**
A centre should typically, but not essentially, be interdisciplinary in nature.

2.4 **Enhancing the teaching-research nexus**
A centre should enhance the teaching-research nexus in clearly identifiable ways through its activities or through the activities of individual members. In particular, research staff in centres should be encouraged to contribute to teaching and/or supervision of students enrolled in cognate schools. Please note that students are not permitted to enrol in centres.

3. Procedure for Submitting Proposals for Approval

The procedure outlined in 3.1-3.5 below applies in all cases except for a small group of centres established through winning major competitive external funding which are exempt from the approval procedures in the Guidelines (see section 1 above). The group of centres in this category consists of Cooperative Research Centres, ARC Centres of Excellence and WA Centres of Excellence only.

3.1 **The main proponents**, in preparing a proposal for the establishment of a centre, must ensure that the proposal addresses each point in the proposal application form at the end of this document, and includes any documents requested in the form.

3.2 **The main proponents** must then forward the proposal to the Dean responsible for the centre, after obtaining a letter of endorsement from each head of school involved in the establishment of the proposed centre.

3.3 Where a centre involves significant collaboration between faculties, a letter of endorsement must also be obtained from the Dean of the other faculties involved before submission to the Dean primarily responsible for the centre.

3.4 **The Dean** must complete the last section of the proposal application form which:

3.4.1 confirms that the proposal has the Dean’s support;
3.4.2 provides a paragraph or two summarising the justification for establishing the centre, especially addressing point 2.1 (value-adding);
3.4.3 comments on the relative costs and benefits of establishing the centre;
3.4.4 confirms any funding the Faculty is providing for the centre, giving explicit details of the amount and period of funding;
3.4.5 confirms that the proposal addresses all the points the application form specifically and individually.

centre_guidelines_final_22oct06.rtf
3.5 **Research Services** will review the proposal for completeness and refer it to the Research Committee or Deputy Vice-Chancellor (Research and Innovation) for consideration.

3.6 **The Research Committee or Deputy Vice-Chancellor (Research and Innovation)** will consider the proposal and, when satisfied that it meets the *Guidelines for the Establishment and Review of UWA Research and Training Centres*, will recommend its approval to the Academic Council.

3.7 **The Academic Council** will consider the proposal and, when satisfied that it meets the *Guidelines for the Establishment and Review of UWA Research and Training Centres*, will approve the proposal.

3.8 A summary of centres approved will be provided to Senate for information on a regular basis.

4. **Information Required in Application to Establish a UWA Research and Training Centre**

An application to establish a centre must comprise or include:

(a) a completed proposal application form (attached to these Guidelines below), with each point in the form addressed specifically under the given headings; and

(b) copies of any Agreements or other documents requested in section 4;

In summary, the required contents of the proposal are:

4.1 The title of the proposed centre and the URL of its website.

4.2 The details of the proposed director.

4.3 The position of the proposed centre within the University's administrative structure.

4.4 The physical location of the proposed centre.

4.5 The names of any schools, faculties and external organisations participating to a significant degree in the centre, and confirmation that all parties have agreed to participate as outlined in the proposal.

4.6 The source and amount of core funds for the centre.

(Core funds are generally the basic funds needed for the centre to be viable. They may be the outcome of an external application for funds and/or be a real commitment of funds by, for example, a school or faculty, or from the Research Matching Fund. Income earned by a centre is not regarded as core funding for these purposes.)

4.7 The justification for establishing the centre, including comments on the following:

4.7.1 **Value-adding**
4.7.2 **Collaboration**
4.7.3 **Interdisciplinarity**
4.7.4 **Enhancing the teaching-research nexus**
4.7.5 **Cost benefit summary statement** (approximately one or two paragraphs)

4.8 An academic plan for the proposed centre outlining:

4.8.1 the centre’s principal goals and objectives
4.8.2 its specific operational targets during the first triennium of its operation
4.8.3 indicators of performance for future evaluation (these are likely to include external grants gained, refereed publications, and postgraduate research completions, amongst other more centre-specific indicators)

4.8.4 how the establishment of the centre and its strategic plan relate to school/faculty/University strategic plans

4.9 A brief statement on any impact the proposed centre’s establishment is likely to have on other faculties in the University.

4.10 A list of the key research leaders and others involved in the centre including, name, UWA address, approximate proportion of time committed to the centre and key responsibilities for each.

4.11 A summary of the organisation of the centre, including:

4.11.1 an organisation chart of the structure of the centre and its place within the University

4.11.2 a brief outline of how the centre will be managed

4.11.3 the role, responsibilities and proposed composition of management and advisory committees where applicable

4.11.4 a brief statement indicating how the accounting and administrative processes of the centre will be handled

4.12 The proposed centre’s accommodation needs, together with an indication of how those needs are to be met, by whom and at whose cost.

4.13 A summary of equipment, infrastructure and other requirements, together with an indication of how those needs are to be met, by whom and at whose cost.

4.14 Details of all resource arrangements - financial, human and physical - between the proposed centre, participating schools, faculties and external collaborators. In particular, where the centre’s activities are expected to generate income through the University’s funding model (eg inputs, outputs, student enrolments), agreements regarding the sharing of such income must be established and included in this proposal. These must be formally agreed and will stand for the period of approval of the centre. *(Attach copies of agreements and other documents where applicable.)*

*NB: students are not permitted to enrol in a centre but must enrol in an academic school.*

4.15 Details of any formal agreements with external collaborators, including agreements on intellectual property issues *(attach copies).*

4.16 A budget showing estimated annual income and expenditure for at least the first triennium of the proposed centre, together with documentation confirming income.

5. **Procedures for Reporting and Review**

5.1 **Interim reporting**

5.1.1 The director of a centre required by an external body to produce an annual report must submit a copy of that report annually to Research Services.

5.1.2 In all other cases, the director of a centre must report within two years of the establishment of the centre, to Research Services through the Dean responsible for the centre (and the head/s of school and other Dean where appropriate), on the progress of the centre against the performance indicators approved at the time of its establishment (and likely to include external grants, refereed publications, postgraduate research completions and a financial statement).
5.2 Final reporting

5.2.1 The director of a centre must submit a final report to Research Services, through the Dean responsible for the centre (and head/s of school and other Dean where appropriate) by the end of the centre's penultimate year of operation (4th year in most cases), including the following information:

- a brief summary of the centre's key achievements
- an outline of the centre's progress in relation to the goals, objectives and performance indicators specified at the time of its establishment
- where applicable, a statement of any impediments encountered
- in cases where the centre will close, where applicable, a statement addressing issues such as disposal of assets owned by the centre and entitlement to income from intellectual property
- a brief statement indicating whether re-establishment of the centre will be sought (full documentation as for initial establishment will be required) or whether the centre will close at the conclusion of its approved period of operation.

The final report should be accompanied by a letter from the Dean (and head/s of school where appropriate) confirming whether the centre is to be closed or whether re-establishment is being sought.

5.2.2 In cases where a centre wishes to continue, a new proposal for establishment for a further period, in accordance with these Guidelines, must be attached to the final report.

5.2.3 Where a final report is not received by the due date, the centre will be disestablished at the end of its approved period of operation and the Dean/s, head/s of school and centre director will be notified.

6. Procedure for Approval of Changes to Established UWA Research and Training Centres

Where a change to an established centre is sought, the centre director must forward a request to Research Services through the Dean responsible for the centre. Requests for significant change will be considered for approval by the Research Committee, while the Deputy Vice-Chancellor (Research and Innovation) will have delegated authority to approve minor changes. The changes approved will be referred to the Academic Council for noting.

7. General

7.1 The Dean responsible for the centre must ensure that all centres which anticipate undertaking fundraising activities (other than to gain research grants or contracts) have the consent of the Vice-Chancellor, in accordance with University policies and practices for such activities.

7.2 Any customised stationery for use by the centre must be designed in consultation with UniDesign in the Publications Unit and in accordance with UWA policies and practices for publications that use the University's name or logo.

Approved 25 September 2000 / Last revised 22 June 2006
Proposal to Establish a UWA Research and Training Centre

This form must be completed by all applicants who wish to establish a UWA centre (with the exception of those who have gained funding for an ARC or WA Centre of Excellence or a CRC). Please also refer to the Guidelines for the Establishment and Review of UWA Research and Training Centres. Please send the completed form to Lorna Robertson in Research Services, M459 by email and hard copy.

All points (Section 1, 1-15 and Section 2, 1-5) in this form must be completed.

<table>
<thead>
<tr>
<th>SECTION 1 – TO BE COMPLETED BY THE PROPOSED CENTRE DIRECTOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Title of centre:</td>
</tr>
<tr>
<td>URL of centre:</td>
</tr>
<tr>
<td>2. Proposed director’s name and current position:</td>
</tr>
<tr>
<td>Director’s UWA address:</td>
</tr>
<tr>
<td>Director’s email address:</td>
</tr>
<tr>
<td>Director’s phone number:</td>
</tr>
<tr>
<td>Proportion of director’s time committed to the centre:</td>
</tr>
<tr>
<td>Proposed process for appointment of the director:</td>
</tr>
<tr>
<td>3. In which school and/or faculty is the centre administratively located?</td>
</tr>
<tr>
<td>To which school head, and/or faculty dean does the director report?</td>
</tr>
<tr>
<td>4. Where is the centre located physically?</td>
</tr>
<tr>
<td>5. List the names of any schools, faculties and external organisations participating to a significant degree in the centre and confirm that all parties have agreed to participate as outlined in this proposal:</td>
</tr>
<tr>
<td>6. State the source and amount of core funds requested for the centre:</td>
</tr>
</tbody>
</table>

Core funds are generally the basic funds needed for the centre to be viable. They may be the outcome of an external application for funds and/or be a real commitment of funds by, for example, a school or faculty, or from the Research Matching Fund. Income earned by a centre is not regarded as core funding for these purposes.
State briefly what is the justification for establishing the centre in terms of the following:

7.1 Value-adding:
How does the centre promote UWA’s activities over and above those activities undertaken by individuals or groups within their normal teaching and research context? How does it contribute to the University in a way not feasible under UWA’s existing faculty and school structures?

7.2 Collaboration:
What is the nature of the collaboration in the centre? What are the expected benefits of the collaboration?

7.3 Interdisciplinarity:
Is the centre interdisciplinary? If so, which disciplines are involved and what benefits result from this particular mix?
7.4 Teaching-research nexus:
How do the activities of the centre or individual members enhance the teaching-research nexus in the University? How do the academic staff, including research staff, contribute to teaching and/or supervision of students in cognate schools? Specifically, are there any courses (undergraduate or postgraduate) that complement the research activities undertaken by this centre?

7.5 Cost-benefit statement:
What are the main costs and benefits in retaining the centre? How do the benefits justify the costs?

8. The centre’s academic plan - please outline:
8.1 the centre’s principal goals and objectives:
<table>
<thead>
<tr>
<th>8.2</th>
<th>Its specific operational targets during the next triennium of operation:</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.3</td>
<td>Indicators of performance for future evaluation:</td>
</tr>
<tr>
<td>8.4</td>
<td>Briefly, how the goals of the centre relate to school/faculty/University strategic plans:</td>
</tr>
<tr>
<td>9.</td>
<td>Please provide a brief statement on any impact the proposed centre is likely to have on other UWA faculties.</td>
</tr>
</tbody>
</table>
10. List the key research leaders and others in the centre, including name, UWA address, approximate proportion of time committed to the centre and key responsibilities for each:

11. Organisation - please provide:

11.1 an organisation chart showing the structure of the centre and its place within the University (attach or print here):

11.2 a brief outline of how the centre will be managed:

11.3 the role, responsibilities and proposed composition of management and/or advisory committees where applicable:

11.4 a brief statement indicating how the accounting and administrative processes of the centre will be handled:

12. Please provide details of the Centre’s accommodation needs, together with an indication of how those needs are to be met, by whom and at whose cost.
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>13.</td>
<td>Please provide a summary of equipment, infrastructure and other requirements, together with an indication of how those needs are to be met, by whom and at whose cost.</td>
</tr>
<tr>
<td>14.</td>
<td>Please provide details of all resource arrangements - financial, human and physical - between the proposed centre, participating schools, faculties and external collaborators. In particular, in all cases where the centre’s activities are expected to generate income in the context of the University’s funding model (e.g. inputs, outputs, student enrolments), agreements regarding the sharing (or otherwise) of such income must be established and included in this proposal. These must be formally agreed and will stand for the period of approval of the centre. <em>Attach copies of all agreements and other documents relating to resources.</em></td>
</tr>
<tr>
<td>15.</td>
<td>Please provide details of any formal agreements with external collaborators, including on intellectual property issues. <em>Attach copies of any agreements.</em></td>
</tr>
<tr>
<td>16.</td>
<td>Please provide a one-page budget showing estimated annual income and expenditure for at least the first triennium of the proposed centre. <em>Attach all documentation confirming income.</em></td>
</tr>
</tbody>
</table>
SECTION 2 – TO BE COMPLETED BY THE DEAN

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Does this application have your support?</td>
<td>Yes/No</td>
</tr>
<tr>
<td></td>
<td>Where the centre reports to a Head of School, does this application have the support of the Head of School?</td>
<td>Yes/No/NA</td>
</tr>
</tbody>
</table>

2. Please briefly summarise the justification provided for establishing this centre, especially in terms of value-adding. (See 7.1 above.)

3. Briefly comment on the relative costs and benefits of establishing the centre.

4. Please confirm any funding the Faculty is providing for the centre, giving details of the amount and period of funding:

5. Please confirm that this application addresses specifically all the points 1-15 above. | Yes/No |
   | Name of Dean: |
   | Signature of Dean: |
   | Date: |

Please send the completed form to Lorna Robertson in Research Services, M459, by email and hard copy.