

CENTRES AND INSTITUTES PROCEDURE

SCOPE

This procedure applies to all academic Centres and Institutes in all Monash University locations.

PROCEDURE STATEMENT

1. Roles and responsibilities

- 1.1 For University-level Centres and Institutes, it is the responsibility of the Provost, Vice-Provost (Faculty and Graduate Affairs) Deputy Vice-Chancellor (Enterprise) or Deputy Vice-Chancellor (Global Engagement), or nominee to perform the below functions as set out in this Procedure. For faculty-level Centres and Institutes, these responsibilities are to be overseen by the Faculty Centre Committee (FCC), chaired by the host faculty Dean or nominee. Responsibilities are as follows:
- review and endorse applications to establish or disestablish Centres and Institutes;
 - provide general oversight of the operation of Centres and Institutes and monitor performance;
 - oversee reviews of Centres and Institutes in accordance with the Academic Review Policy and Procedure;
 - ensure that Centres and Institutes continue to meet the minimum criteria for establishment as set out in the Centres and Institutes Policy; and
 - ensure that annual reports on the performance of Centres and Institutes are made to Monash Research Committee (MRC)/Education Committee (EC) and the Provost.

2. Requirements for establishment

- 2.1 Applicants must develop a [Centres and Institutes Proposal and Business Plan](#) that makes the case for the proposed Centre or Institute's ability to advance excellence and impact in research and/or education, or advancing the University's broader objectives under Focus Monash, and addresses the minimum criteria as set out in the Centres and Institutes Policy.
- 2.2 Proposals must be circulated for consideration to all relevant stakeholders, including faculties with any form of interest or involvement in the proposed new Centre or Institute, industry representatives, library etc.
- Proposals must be endorsed by the following:
- 2.1.1 entities based in Departments or Schools or at the faculty-level must be supported by the relevant head(s) of academic unit or Dean;
 - 2.1.2 entities based on international campuses must be supported by the relevant Pro Vice-Chancellor; or
 - 2.1.3 University-level entities must be reviewed and authorised by the Provost and/or relevant DVC.

Approval process

- 2.3 Supported faculty and campus proposals must be submitted to the FCC for review and endorsement. Applications will be assessed against the criteria in the Centres and Institutes Policy. Applications endorsed by FCCs must be submitted to the Dean and the appropriate University committee(s) for approval.
- 2.4 Where a Centre or Institute has a strong international mandate and focus, applications must also be sent to the DVC and Vice-President (Global Engagement) for consultation.
- 2.5 Applications endorsed by the relevant Dean/s, Provost and/or relevant DVC(s) must be submitted to the Vice-Provost (Faculty Graduate Affairs) for review.
- 2.6 The Vice-Provost (Faculty Graduate Affairs) sponsors all proposals to MRC and/or EC depending on the research and/or education focus of the proposed Centre or Institute. Outcomes of the MRC/EC decision will be communicated back to the Chair of the FCC, or the Provost or relevant DVC.

- 2.7 Final endorsed applications must be submitted to Academic Board for transmission to the Vice-Chancellor for final approval. The Vice-Chancellor has absolute discretion to approve a proposal to establish a faculty-level or University-level Centre or Institute.
- 2.8 In circumstances where an FCC deems that a proposed Centre or Institute does not meet the criteria for full endorsement as a Centre or Institute, another structure can be used, such as an initiative or network. These groups may re-apply for endorsement as a Faculty Centre, with a revised business plan, after an appropriate period of development, as determined by the FCC.

Competitive Externally Funded Centres and Institutes

- 2.9 When the University wishes to respond quickly to a significant strategic opportunity, competitive externally funded Centres and Institutes are eligible to apply.
- 2.10 A proposal for a Centre and/or Institute that will be externally funded and/or is proposed in response to a strategic opportunity must be authorised by the relevant Dean and Provost or relevant DVC with approval from the Vice-Chancellor. All approved proposals must be submitted for noting at the next EC (if education focused) or MRC (if research focused) and Academic Board meetings for noting.
- 2.11 Renewal of expiring externally funded Centres and Institutes that have operated under external funding but have come to the end of their funding term can apply to continue as a Monash University entity with a completed Centres and Institutes Proposal and Business Plan. This application must follow the original approval process through the relevant FCC, PVC (Campus) or relevant DVC and then MRC/EC and Academic Board before submission to the Vice-Chancellor for final approval.

Naming

- 2.12 The term 'Centre' or 'Institute' can only be used by Centres or Institutes that are established in accordance with these procedures and the associated policy. Approved University-level Centres or Institutes are encouraged to use the words 'Monash University' in their title, but require the formal approval of Strategic Marketing and Communications. Centres or Institutes that seek to include the name of an external funding body or individual are required to seek Vice-Chancellor approval.
- 2.13 Changes to the name of a Centre or Institute must be endorsed by the relevant approval body as set out in section 1 of this procedure and/or the Vice-Chancellor. If a change in name represents a significant change in direction or focus, a revised proposal may need to be submitted, as determined by the relevant University Committee.

3. Governance and management

- 3.1 All Centres and Institutes must have a suitable organisational structure, in accordance with the details outlined below. Where faculty or University-level Centres or Institutes are subject to external funding arrangements, or reporting that may conflict in part with these procedures, relevant provisions in the funding agreement will take precedence.

Directors

- 3.2 All Centres and Institutes must have a Director, ordinarily appointed for a period of up to three years. For Faculty Centres, the Director will be appointed by, and responsible to, the host Dean. For University Centres or Institutes, the Director will be appointed by the Provost and is responsible to the Provost or nominee. In the case of internationally-focused Centres, the Director will be appointed by, and report to, the DVC (GE).
- 3.3 Directors may be appointed for additional terms at the discretion of the Dean, Provost or relevant DVC.
- 3.4 The responsibilities of the Director may vary depending on the governance arrangements but would ordinarily include:
 - developing an operational and strategic plan for the Centre or Institute;
 - overseeing and monitoring Centre or Institute performance against specified key performance indicators as articulated in the strategic plan or business case;
 - reporting annually on the performance of the Centre or Institute in accordance with the Academic Review Policy;
 - providing academic leadership for staff and students associated with the Centre or Institute, including mentoring as applicable and ensuring appropriate succession planning is developed;
 - ensuring the timely conduct of reviews and the implementation of recommendations arising from these reviews; and
 - facilitating the redistribution of staff, students and other resources following on from disestablishment.
- 3.5 A Centre or Institute Director may not be simultaneously the head of the associated academic unit to which the entity belongs, except in special circumstances where approval has been granted by the Dean and Provost or relevant DVC, and upon review of a strategy for managing any inherent conflict of interest.

University-level Centres and Institutes

Management Committee:

- 3.6 All University-level Centres and Institutes must have a management committee (or equivalent) appointed by the Provost or relevant DVC, or nominee. The management committee will comprise appropriate levels of internal and external stakeholders and may include:
- the Provost, relevant DVC or nominee as Chair;
 - the Director of the Centre or Institute;
 - members from the faculties associated with, but not members of the Centre or Institute appointed by the Chair; and,
 - other members may be co-opted by the Chair.
- 3.7 Responsibilities of the management committee will include:
- ensuring the Centre or Institute pursues its objectives as set out in the strategic plan, business case and annual plans;
 - monitoring the Centre or Institute's ongoing performance;
 - ensuring that the Centre or Institute reports annually to the Provost, relevant DVC or nominee on its performance against the strategic plan;
 - ensuring that the management of operations and finances progress in accordance to the strategic plan, annual plan and budget;
 - ensuring that a Centre or Institute is reviewed regularly in accordance with the review schedule; and
 - ensuring that all activities of the Centre or Institute comply with all relevant University policies and procedures.

Advisory Board:

- 3.8 All University-level Centres and Institutes will have an advisory board (or equivalent) appointed by the Provost, relevant DVC, or nominee. The majority of the members will be external to the University and may include:
- The Director of the Centre or Institute;
 - The Dean of the host faculty;
 - The Chair of the Centre or Institute management committee;
 - Representatives from other faculties or universities; and,
 - Representatives from industry, government, community or professional organisations.
- 3.9 The responsibility of the advisory board will include:
- Assisting and guiding the Director on matters of strategy and policy, strategic direction, the structure and general operating principles;
 - Assisting in the identification of opportunities and risks for the Centre and Institute, developing risk mitigation strategies as appropriate;
 - Assisting in the promotion and fundraising for the Centre or Institute; and
 - Ongoing monitoring of performance and making recommendations for change or disestablishment where applicable.
- 3.10 The advisory board will meet at least twice a year and a quorum will be the majority of members. Advisory boards are only advisory in nature and the Centre or Institute is still wholly responsible to the Provost, relevant DVC or nominee.

Faculty Centres

Executive Group

- 3.11 The host Dean will determine whether the Director of a Faculty Centre should be supported by an executive group. The executive group may comprise senior members of the Centre and will be responsible for assisting the Director in the management of the Centre.

Faculty Centres Committee

- 3.12 The Dean of the host Faculty is responsible for the performance and operation of all Faculty Centres. A FCC (or equivalent) assists and supports the Dean with this oversight and is responsible for:
- Reviewing and making recommendations to the Dean on proposals to establish Faculty Centres;
 - Advising the Dean on the need for an advisory board;
 - Ongoing monitoring of the performance of Faculty Centres against strategic plans and key performance indicators;
 - Ensuring annual reporting is completed to appropriate entities;
 - Ensuring timely conduct of reviews and overseeing reviews and subsequent follow up;
 - Making recommendations to the Dean regarding the disestablishment of any Faculty Centre; and
 - Ensuring that all activities of the Centre comply with all relevant University policies and procedures.

Advisory Board

- 3.13 While it is not mandatory for Faculty Centres to have an advisory board, the Dean may determine, in consultation with the FCC, that an advisory board would assist a Faculty Centre in achieving its strategic objectives. In such a case, the advisory board is appointed by, and responsible to, the host Dean. Advisory boards are only advisory in nature and the Centre is still wholly responsible to the Dean.
- 3.14 In some cases an external funding body may require an advisory board be appointed.

Funding and assets

- 3.15 Centre and Institute Directors must ensure that the financial activities of the Centre or Institute are separately accounted for in the University's financial system and administered in accordance with relevant University policies and procedures.
- 3.16 Agreements on contributions or subsidisation from any other cost centre(s) must be outlined in the original business plan and any subsequent updates.
- 3.17 Any funding attracted by individual staff who are based in schools and faculties, and any benefits that the funding itself attracts, will be attributed to their school and/or faculty as appropriate.
- 3.18 Any intellectual property or other assets created by a Centre or Institute staff member will be governed by the University's intellectual property arrangements, subject to any specific written agreement to the contrary.
- 3.19 Funding or assets attracted or created by a Centre or Institute will be the property of the University under the control of the Centre or Institute unless other formal arrangements exist.

Appointment of staff

- 3.20 Centres and Institutes are not established permanently and are subject to review. The terms of appointment of Centre and Institute staff will not normally extend beyond the period of the next formal review.

Enrolment of Higher Degree by Research (HDR) Candidates

- 3.21 Centres and Institutes may be authorised by the Graduate Research Committee to enrol HDR candidates. Centres and Institutes seeking authorisation should follow the procedures outlined in the Handbook for Doctoral Degrees.

Reviews

- 3.22 Reviews of faculty and university-level Centres and Institutes must be undertaken in accordance with the University's Academic Review Policy and Procedures.
- 3.23 Newly established Centres and Institutes must undergo an initial review within three years of establishment, allowing for sufficient time for the achievement of any initial significant milestones. This may comprise an internal review only. Centres and Institutes will then be reviewed every five years unless an earlier review is recommended by the previous review panel, the Dean(s), Provost, or relevant DVC.
- 3.24 The host Dean(s) may determine that a Faculty Centre is reviewed as part of the review of an organisational unit to which it belongs (department, school or faculty), rather than hold a separate review. If this is the case, the review panel should ensure sufficient consideration is given to the academic and financial performance of the Centre against its strategic plan.
- 3.25 Self-Review reports, External Review Reports and Implementation Plans must be forwarded to the Office of Faculty and Graduate Affairs for uploading to the Academic Review Register and for submission to the relevant University committee(s). Where a Dean believes that a report is confidential and should not be made available on the Academic Review Register this should be discussed with the VP (FGA).

Disestablishment

- 3.26 All Centres and Institutes must include arrangements for disestablishment in their original business plan. This must include arrangements for the transfer of any residual staff, assets and/or commitments.
- 3.27 A Centre or Institute may be disestablished in the event that:
- It no longer satisfies the requirements for Centre or Institute status;
 - It has fulfilled its purpose;
 - There has been a significant change in direction or leadership of the Centre or Institute; or
 - An academic review panel recommends disestablishment.
- 3.28 A recommendation to disestablish a Faculty Centre or Institute is made to the Dean via the relevant Faculty Centres committee for a formal decision. A recommendation for University-level Centre or Institute is made to the Provost or nominee.
- 3.29 Where the Dean or Provost approves the disestablishment of a Centre or Institute, a submission will be made to EC, MRC and Academic Board for the committee to note the disestablishment.

DEFINITIONS

Centre	Centres are formal structures established to advance strategic research and/or teaching opportunities that may not be possible within existing structures.
Institute	Institutes are substantial large scale, multi-disciplinary research-focused entities which may include Centres. Institutes are expected to have significant external relationships with industry, business, government and/or other organisations. Due to the scale of Institutes it is not anticipated that the University would have a large number of these types of entities.

GOVERNANCE

Parent policy	Centres and Institutes Policy
Supporting schedules	N/A
Associated procedures	Academic Review Procedures
Related legislation	N/A
Category	Academic
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