**PROPOSAL DOCUMENT**

This template is to be used when proposing any new commercial activity. Any additional documentation (i.e. strategic plans, budgets, grant applications, etc) may be attached to this template as an alternative to completing the related field below.

Please complete **all** fields that relate to the proposed activity, attaching necessary documentation including a completed NG Funds form, and forward to the head of your managing unit.

|  |  |  |
| --- | --- | --- |
| ACTIVITY DURATION |  | |
| Activity Start Date: | | Activity End Date: |

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| ACTIVITY SUMMARY |
| ~ Description of the activity (and long-term vision, i.e. 3yrs), including:   * nature of business to be carried out * formation of group / centre / business * sponsoring Faculty(s) * operations * funding source(s) |

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| GOALS |
| ~ (e.g. 3-year goals) expressed in clearly defined (verifiable & measurable) terms, including profitability objectives. |

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| MANAGEMENT & ORGANISATION |
| **~** Include details of CEO / key management personnel (especially key UNSW staff involved)  ~ List Board of Directors / Advisory committees  ~ Organisational structure (including key roles, units, divisions, etc) |

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| OPERATIONAL PLAN |
| **I. HUMAN RESOURCES** |
| ~ Describe the number of employees & pay structure (including the name, position & salary level of each)  ~ Are UNSW staff involved? If so, what arrangements have been made to cover the wages /costs of these staff? Will staff be seconded from other areas within the University? |

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| II. INFRASTRUCTURE & EQUIPMENT |
| ~ What type of office / storage / specialised equipment will be required?   * Will UNSW facilities be utilised? If so, which premises, and what arrangements have been made (i.e. for rent, cleaning, parking, etc)? * Will UNSW equipment be utilised? If so, what arrangements for hire, insurance, joint use, etc have been made? |
| 1. **Independent Facilities** |
| 1. **Shared Facilities** |
| 1. **Outsourced Facilities** |

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| III. FINANCIAL / BUDGET | | | |
| ~ Include :   * General budget, detailing start-up expenses, income (both external funds & UNSW contribution) and expenses (payroll, equipment, materials, etc) * 12 month profit and loss projection * cash flow projection   ~ Also include details of the method used to determine the pricing structure for any goods / services provided (including Competitive Neutrality) | | | |
| **Cash Flow** | Year 1$ | Year 2$ | Year 3$ |
| **Income** |  |  |  |
| External Funds |  |  |  |
| UNSW Contribution |  |  |  |
| Total Income |  |  |  |
|  |  |  |  |
| **Expenses** |  |  |  |
| Payroll |  |  |  |
| Equipment |  |  |  |
| Materials |  |  |  |
| Travel |  |  |  |
| Total Expenses |  |  |  |
|  |  |  |  |
| **Operating result for the period** |  |  |  |
| **Surplus(Deficit) Prior Period** |  |  |  |
| **Retained Funds Surplus(Deficit)** |  |  |  |

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| **IV. QUALITY ASSURANCE** |
| ~ Describe what you will be doing to maintain or improve research quality/integrity and reduce errors, duplication and/or lack of relevance and application (where applicable) |
| 1. **Research Management** |
| 1. **Research Quality Assurance Procedures, Process & Documentation** |
| 1. **Internal Support Service (people based) Delivery** |
| 1. **Student Supervision** |
| 1. **Client Feedback** |
| 1. **Complaint and Dispute Management** |

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| **V. REPORTING PLAN** | |
| ~ This must include compulsory reporting eg. to University / Govt Bodies (Management Committee, financial reporting, Annual Reports etc.), donors, partners, suppliers, etc | |
| **Report :** | **Details** |
| Reporting to Who |  |
| Content of Reports |  |
| Format of Reports |  |
| Timing of Reports |  |
| **Report:** | **Details** |
| Reporting to Who |  |
| Content of Reports |  |
| Format of Reports |  |
| Timing of Reports |  |

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| **VI. RISK MANAGEMENT PLAN** | | |
| ~ Consider and comment on the following types of risk, including others as appropriate. See the Operational Guide to the UNSW Guidelines for Commercial Activities for further risk assessment information. | | |
|  | **Assessment** | **Control or Prevention Action** |
| **10.1** Financial Risk |  |  |
| **10.2** Occupational Health & Safety Risk |  |  |
| **10.3** Premises/Lease Risk (including loss of / damage to University equipment or facilities) |  |  |
| **10.4** Compliance Risk (including breach of legislation, policy or ethical standards) |  |  |
| **10.5** Corruption Risk (misuse of public resources) |  |  |
| **10.6** Risk of Legal Liability |  |  |
| **10.7** Reputation Risk |  |  |
| **10.8** Competitor Risk |  |  |
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| **VII. RESEARCH PLAN** | | |
| (Any changes to the current research focus and programs in terms of range, quantity, method, distribution) | | |
| * 1. Research focus | | |
| * 1. New research programs/projects | | |
| * 1. Client/beneficiary targets | | |
| * 1. Staffing/partners | | |
| * 1. Outcomes/benefits | | |

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| VIII. RELEVANT LAW, POLICY AND STANDARDS. |
| ~ Demonstrate compliance with relevant laws, policy and standards, including requirements from both UNSW and external organisations.  ~ In particular, demonstrate that this activity complies with the UNSW policies on Intellectual Property (where applicable), Conflict of Interest, and Competitive Neutrality and Pricing. |

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| ANNUAL PERFORMANCE INDICATORS | | | |
|  | **New Fin Yr.** | **Previous Fin**  **Yr.** | **3 Year**  **Goal** |
| **a) Financial Indicators – Indicating Self Sustainability** |  |  |  |
| Core Funds/Grant Income |  |  |  |
| Sponsor/project income |  |  |  |
| Fees Income |  |  |  |
| Staff and personnel costs |  |  |  |
| Operating costs – non direct research projects |  |  |  |
| Operating costs – direct research projects |  |  |  |
| Surplus/Reserves |  |  |  |
|  |  |  |  |
| **b) Non-Financial Indicators** |  |  |  |
| Total projects underway |  |  |  |
| No. of publications |  |  |  |
| No. of collaboration/partner based projects |  |  |  |
| No. of academic/technical presentations |  |  |  |
| No. of community presentations |  |  |  |
| % of research used by external party(s) |  |  |  |
| % of research completed before or on time |  |  |  |
| % of research completed within budget |  |  |  |
|  |  |  |  |
| **Notes and Assumptions:** | | | |

### SWOT ANALYSIS OF PROPOSED ACTIVITY

(Write at least 3 items in each of the boxes below)

|  |  |
| --- | --- |
| **Strengths**  1.  2.  3. | **Weaknesses**  1.  2.  3. |
| **Opportunities**  1.  2.  3. | **Threats**  1.  2.  3. |

Prepared by, within , Faculty of ……..

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_