



# TMOS

THE ARC CENTRE OF EXCELLENCE FOR  
TRANSFORMATIVE META-OPTICAL SYSTEMS

## Governance Manual

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# TMOS GOVERNANCE MANUAL

## Background

This document, referred to as the Governance Framework within the Collaboration Agreement, describes The Australian Research Council Centre of Excellence for Transformative Meta-Optical Systems, hereafter known as ‘the Centre’, governance – its structure, values and decision-making processes that enable the Centre’s vision to be achieved.

The purpose of this document is to support Centre members to act in alignment with a shared understanding of how to achieve the Centre vision, mission, strategy, and objectives in an ethical, inclusive, and accountable manner.

The benefits of effective governance to the Centre include:

- Clear values, objectives, strategy, and accountability
- Transparency in decision-making and consistency in the rationale for decisions
- Collection of data to measure key performance indicators to support progress
- Enabling the Centre Advisory Board (CAB) and International Scientific Advisory Committee (ISAC) to provide accurate and meaningful advice
- Compliance with Australian Research Council (ARC) and institutional requirements
- Transparent and effective management of Centre resources
- The management of risk and conflict of interest to ensure the integrity Centre of operations and research.

The document is implemented through the conduct and engagement of Centre members, the leadership of the Centre Executive Committee (CEC) and all Chief Investigators, and the activities of the professional team in operationalising this document.

New Centre members will be provided with this document upon induction. It is the responsibility of all Centre members to read and understand the document to a level appropriate for their role.

To serve the needs of the Centre, this document – as a reflection of Centre practices – is subject to ongoing review and continuous improvement, based on feedback to Centre Committees and representatives.

Confidential feedback on all matters at any time is welcome to the following address:

[tmos@anu.edu.au](mailto:tmos@anu.edu.au)

The CEC is responsible for this document, including reporting annually to the CAB on its operations and requesting advice on required changes. Centre sub-committees and their Chairs are responsible for review and updates to their respective Terms of Reference and specific policies where they are the designated owner, upon approval from the CEC. The day-to-day responsibility, review and monitoring of this document lies with the Chief Operations Officer, including ensuring that it remains current and that all Centre members have access.

The Centre wishes to acknowledge the Australian Research Council Centre of Excellence community for sharing their governance documentation, which has enabled the creation of this manual.

This document is a public document to facilitate transparency and to support members of our community who may wish to implement similar governance models in their organisations.

The editable version is available by request from [tmos@anu.edu.au](mailto:tmos@anu.edu.au). The Centre asks that it be acknowledged if this material is utilised, in whole or part, in the form of a footnote and link to our website.

## Vision

We develop the next generation of miniaturised optical systems with functionalities beyond what is conceivable today.

**Research:** Our research excellence in meta-optics enables us to overcome complex scientific and engineering challenges in light generation, manipulation, and detection at the nanoscale. We lead internationally esteemed innovations, inspiring others, and creating positive impacts on society.

Our research outcomes underpin future technologies, including real-time holographic displays, artificial vision for autonomous systems to see the invisible, wearable medical devices and ultra-fast light-based WiFi, meeting the evolving demands of Industry 4.0. The Centre has a visible impact on technology beyond the seven-year timeframe of its research program.

**Translation:** We are the focus of an industry consortium, and the intellectual property from our research forms the basis of at least two spin-out companies. We are effective collaborators that solve problems with our partners. We provide our personnel with entrepreneurial skills for commercialising research. We are savvy and knowledgeable regarding laws, regulations, and industry practices. As a Centre, we participate in the discussion on our collective social and ethical responsibilities surrounding our contribution to science and technology.

**IDEA:** Inclusion, Diversity, Equity, and Access is our Centre's culture. We establish a new and influential standard for tackling the issues concerning inclusion and diversity in Australian universities. We have a dynamic, fun, inclusive, creative, and collaborative culture that enables all Centre members to thrive.

**Education:** We take advantage of the critical mass of the Centre and its multidisciplinary participants to nurture academic excellence. We educate our members with transferable skills, preparing our team to positively influence the major economic and social changes that will arise through the development of meta-optics.

**Mentoring:** We deliver a strong mentorship program that provides early-career researchers with skills, capabilities, and networks to establish independent careers and leadership in their chosen fields and professions. Our program supports emerging research and academic leaders to enhance their research outputs and outcomes, including publications and external funding.

**Outreach:** We build understanding of light and optics, and excitement around related future technologies through outreach initiatives designed to target science educators, the country's youth, and the public. We raise the profile of Australia's world-class researchers in the optics and nanophotonics fields.

## Mission

We will become a trans-disciplinary team of world-leaders in science, technology, and engineering to deliver scientific innovations in optical systems.

We will translate research into innovative technologies in transport, health, security, defence, agriculture, entertainment, and education with enormous benefit to society and economic growth.

We will prepare outstanding innovators from diverse backgrounds to be future leaders for decades to come.

## Values

- **Discovery:** Foster research at the highest international level.
- **Innovation:** Nurture culture of technology innovation.
- **Collaboration:** Create a culture of inclusion, diversity, equity and access.
- **Education:** Prepare outstanding young innovators as future leaders for decades to come.
- **Engagement:** Engage with global and Australian industries to translate the research into innovative technologies in transport, health, security, defence, agriculture, entertainment, and education with enormous benefit to society and economic growth.

Please also refer to our [IDEA Framework](#)

## Objectives

### ARC Centres of Excellence Objectives

- undertake highly innovative and potentially transformational research that aims to achieve international standing in the fields of research envisaged and leads to a significant advancement of capabilities and knowledge
- link existing Australian research strengths and build critical mass with new capacity for interdisciplinary, collaborative approaches to address the most challenging and significant research problems
- develop relationships and build new networks with major national and international centres and research programs to help strengthen research, achieve global competitiveness and gain recognition for Australian research
- build Australia's human capacity in a range of research areas by attracting and retaining, from within Australia and abroad, researchers of high international standing as well as the most promising research students
- provide high-quality postgraduate and postdoctoral training environments for the next generation of researchers
- offer Australian researchers opportunities to work on large-scale problems over long periods of time
- establish Centres that have an impact on the wider community through interaction with higher education institutes, governments, industry and the private and non-profit sector.

## Centre Objectives

- 1. To enable coherent light-generation with tailored wavefronts in ultra-thin nanostructured materials based on arrays of nanolasers and quantum emitters for applications in holographic displays, vision for autonomous vehicles and remote sensing.**

This will be built upon by:

- 1.1. Tailoring lasing wavefronts in metasurfaces
- 1.2. Frequency conversion of emission in nonlinear metasurfaces
- 1.3. Creating large area quantum light sources by integrating 2D materials with nanoresonator arrays.

- 2. To develop meta-optical elements that can dynamically manipulate the hidden properties of light, including polarization, phase and modality with near-unity efficiency for applications in holographic displays and image recognition.**

These elements will be built upon by:

- 2.1. Holographic metasurfaces for optical image processing
- 2.2. Ultrafast reconfigurable metasurfaces for spatial and temporal modulation of light.

- 3. To demonstrate meta-optics-enabled photodetectors that enhance sensitivity and extend functionality enabling disruptive and far-reaching advances for example in artificial vision for autonomous vehicles, remote sensing and AI.**

Our approach will develop:

- 3.1. Compact, room-temperature devices for imaging from the visible to the long-wave infrared spectral regions
- 3.2. Devices to visualise otherwise 'hidden' properties of light, such as polarisation, phase, quantum state and angular momentum

- 4. To translate scientific outcomes into highly innovative technologies and techniques with high economic and social benefits.**

Plans to achieve this include:

- 4.1. Engagement with industry partners and others in high-potential aspects of transport, nanofabrication, sensing, communications, defence and security
- 4.2. Targeting performance measures such as intellectual property provisional filings, uptake of generated IP, startups and new industry partnerships.

- 5. To build Australia's human capacity for research by creating outstanding graduates and early career researchers.**

Plans to achieve this include:

- 5.1. A focus on areas of national priority
- 5.2. Targeting performance measures such as postgraduate enrolments and completions, research training courses, exchange student visits, industry internships and mentoring.

- 6. To increase the recognition and links of Australia's world-class researchers in the optics and nanophotonics fields.**

Plans to achieve this include:

- 6.1. Engagement with national networks that advance Australian innovation in areas such as nanotechnology, telecommunications, sensors, national security and artificial intelligence
- 6.2. Focusing internationally on industry connections, professional bodies and institutions and centres that are most prominent for advanced photonics and materials science.

## CENTRE FRAMEWORKS

## Governance Framework

Committees, Policies, Procedures and Guidelines require governance to assure consistency, reduce risk, align to shared goals, and for transparent decisions. Importantly, we also must comply with our universities and the obligations from our contracts between universities and partners (the Collaboration Agreement and component Partner Agreements) and the Commonwealth.

The Collaboration Agreement states:

### **6.1 Governance Framework**

*6.1.1 The Centre will have the governance and leadership structure set out in the Centre Proposal and this Agreement, and as detailed further in the Governance Framework.*

*6.1.2 The Centre Executive Committee must develop the Governance Framework, including details regarding the composition, roles, responsibilities, meeting regularity, procedures and terms of reference for each governance group specified in clause 6.2 and set its own meeting procedures.*

*6.1.3 In addition to the governance groups referred to in clause 6.2, the Centre Executive Committee may establish any other governance committees (Special Governance Committees) as required from time to time.*

*6.1.4 Each governance group will regulate its own procedures for meetings and decision making, with the approval of the Centre Executive Committee.*

### **6.2 Structure**

*The Centre's governance groups are the:*

- a) Directorate Team;*
- b) Centre Executive Committee;*
- c) Centre Advisory Board;*
- d) Industry Liaison Committee; and*
- e) International Scientific Advisory Committee*

## Policy Hierarchy

The Policy Hierarchy determines the order of priority of documents. Please also refer to clause 2.1.1 of the Collaboration Agreement.

- Legislation (e.g., Australian law)
- Commonwealth Agreement
- Grant Agreement
- Grant Guidelines
- Multi-Institutional Agreement and Partner Agreements (collectively or alternatively called the Collaboration Agreement)
- University/Institutional/Company Policies and Procedures
- Centre Governance Manual, including Frameworks, Policies etc.
- Centre Plans
- Centre supporting documentation (e.g., operations guides, registers etc.)

Centre documentation is aimed at avoiding conflict with documents higher in the order of precedence. Where a conflict occurs, please contact the Policy Owner immediately to resolve the conflict. Escalation to the Centre Executive Committee (CEC) is at the discretion of the Policy Owner. Policies may be amended prior to their review date, if required to avoid future conflicts, if approved by the CEC.

## Policy and Procedure Development Process

Centre Policies and their related Procedures exist to serve a need of the Centre. The need may be to comply with the Grant Agreement, to provide clarity, consistency, and improvements to how the Centre operates, or could be reactions to external or internal forces that require addressing in formal documentation. In some cases, drawing attention to an existing document, creating a new a guideline, training resource, or new induction resource may be a response that is more appropriate.

To create a new Centre document, we must first consider our motivation to do so. We aim for good governance, consistency, continual improvement, and accountability always.

Centre documents are for supporting members to make the best choices in alignment with our values. The documents have been agreed upon by the leadership of the Centre; the policies, procedures, terms of reference and other guidelines are expected to be implemented<sup>1</sup> by Centre members.

### Centre documents are not:

- a tool to make it harder to do the wrong thing
- a tool to punish or force compliance
- a way to avoid considering all options to create a positive outcome
- a reason to stop questioning the status quo

Keep this in mind when considering the formation of a new document.

The steps below aim to ensure that proper consultation occurs and that we improve upon our initial ideas as these documents impact every Centre member.

### **Stages:**

1. Identify the need for the new document/need to update an existing document and identify what the appropriate form of response is. Check there is not an existing document (Centre or university) that meets the need. This needs analysis and check step will typically occur at the level of a Centre Sub-Committee when an issue is raised by a Centre member.
2. If a formal document is needed, a policy owner and approver is identified. In the Centre, many policies are owned by the Chief Operations Officer and will require approval by the CEC. The owner (individual or Chair) and approver (Chair) must be contacted before further work is performed.

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<sup>1</sup> If a document does not appear fit for purpose, seek advice from the Policy Owner or contact [tmos@anu.edu.au](mailto:tmos@anu.edu.au) for support.

3. If the owner and approver give endorsement to proceed with drafting the document, a working group of three to five people should be formed to research and draft the document.
4. The working party will perform all required research, which may include sourcing similar policy documents and will consultation with stakeholders (who will need to be identified) and reviewing university policies and procedures to avoid conflicts.
5. The draft document must include the header:

<i>Status</i>	<i>draft</i>
<i>Date of Last Revision</i>	<i>February 17 2020</i>
<i>Date of Approval</i>	<i>TBC</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>Chief Operations Officer</i>
<i>Document location</i>	<i>TBC</i>
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>N/A</i>

and must include the footer:

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
	<i>Draft for consideration</i>	<i>Firstname lastname</i>
	<i>Revisions</i>	<i>Firstname lastname</i>
	<i>Minor revisions</i>	<i>Firstname lastname</i>

1. The document must be drafted in alignment in structure and format as per the Centre documentation set out in this Governance Manual.
2. After consultation with stakeholders, and with endorsement from the Policy Owner, the draft document may be submitted for feedback, communication and implementation planning, and endorsement at the relevant Centre sub-committee.
3. Once endorsed, the Chair of the sub-committee must submit the recommendation and draft policy document to the Centre Executive Committee (CEC) for review, feedback, and approval/rejection. The sub-committee Chair must speak to the communication and implementation of this document and receive feedback on the plan.
4. If approved, this Governance Manual must be updated and the new policy communicated to Centre members and implemented by TMOS members, in the manner described in the communications and implementation plan.

## Policy and Procedure Maintenance and Retirement Process

Policies, Procedures and Terms of Reference require a date of approval and a next review date in the header. The header is a tool that helps keep the Centre accountable to its members for ensuring that our governance documentation is reviewed and updated.

Maintenance involves the Chief Operations Officer, professional team, and relevant committee Chairs to review the documents on an annual basis. A document that is due for review must be brought to the attention of a relevant sub-committee or CEC for their endorsement to proceed with review.

Review of a policy will involve considering the need for the document and considering if the document need still exists. Has the need changed? Are there new needs that are not met by the current document? Are there errors in the document that require correcting? What is current best practice, and does this document meet those standards?

If the document is no longer required, then a case must be presented to the relevant sub-committee. If the sub-committee recommends the document for retirement, then the sub-committee Chair must submit and present this item to the CEC for their approval. If the document retirement is approved, then the Governance Manual will be updated, and the outcome communicated to Centre members. Sometimes a document may be retired and replaced by a new document. Both the retirement of the existing document and the replacement document can be moved in parallel through the sub-committee and CEC approval process.

Minor changes to a Centre document, such as corrections of language, spelling and clarity may be approved at the level of the sub-committee, with notice to the CEC. If the proposed changes to the document alter the meaning, purpose or processes relating to the document then the revised document will require approval by the CEC, as per a new document.

## Committees

**Centre Executive Committee (CEC):** The CEC is the decision-making body of the Centre. It is headed by the Centre Director, and has membership from the three scientific Themes, the operations lead (Chief Operations Officer), and representatives. Every university is represented on the CEC, and the Centre sub-Committees report to this Committee. Issues for consideration by the Centre can be submitted to the appropriate sub-committee by any Centre member, or through their Node Director, a Chief Investigator, or representative (e.g., Early Career Researcher representative). Actions are decided upon by majority voting by the voting members of the CEC. The CEC is responsible for the Centre's Ethics framework and support the Chief Operations Officer in the maintenance of the Conflict of Interest register.

**Centre Advisory Board (CAB):** The CAB is to provide advice on the governance and operations of the Centre. They will provide their support to advance the non-scientific goals of the Centre, and from time-to-time the scientific goals as falls within their ability. They will interact directly with the Centre Directorate team in their official capacity. The CAB do not make decisions but provide advice to be voted upon by the Centre Executive Committee. Wherever possible they will be included in the Centre Annual Retreat and visits to Nodes as their time permits.

**Industry Liaison Committee (ILC):** The ILC is both the guardian and champion of the intellectual property (IP) created in undertaking Centre Activities. The ILC supports the Chief Operations Officer in maintaining the IP Register. It connects to universities and industry on how to best utilise IP. Furthermore, the ILC will help the Centre develop industry links for education and research purposes and beyond.

**International Scientific Advisory Committee (ISAC):** The ISAC is to provide international benchmarking, comparing the Centre to the World's best science. They are to provide advice on the strategic direction of the Centre's research to ensure scientific excellence. They will interact directly with the Centre Directorate team in their official capacity. The ISAC do not make decisions but provide advice to be voted upon by the Centre Executive Committee. Wherever possible they will be included in the Centre Annual Retreat and visits to Nodes as their time permits.

### Sub-Committees/Special Committees

**Education and Professional Development Committee (EPD):** The ECC supports the education goals (including the mentoring program) and internal social cohesion of the Centre. Education includes internal education and trainee/internship opportunities for HDR students and ECRs. This committee determines the internal seminar program (colloquia) and works closely with other committees and members regarding seminar and education topics for the development of Centre members. Working parties that report to this committee organise the Centre Annual Conference and the mid-year ECR and HDR Conference.

**Inclusion Diversity Equity and Access Committee (IDEA):** The IDEA committee is concerned with the Centre's culture and values to create an inclusive and diverse workplace. The IDEA Committee will champion initiatives that support the Centre to reach its equity and diversity KPIs, as well as those that enhance the careers and experiences of Centre members. The Committee is responsible for the IDEA Framework and associated policies.

**Infrastructure and Capabilities Committee (ICC):** The ICC maintains the Centre's equipment register and supports cross-node collaboration by ensuring Centre members know and can access cross-Node capabilities for their research. The ICC annually organises the Centre-based funding bids and supports non-Centre bids through networks in Australia. The ICC will also support access to equipment, infrastructure, and capabilities outside the Centre.

**Outreach Committee (OC):** The Outreach committee supports the outreach goals of the Centre, including guidance on external communications about science. Outreach includes school visits, public events, National Science Week participation, and media engagement. The committee will also lead the development of national school curriculum materials.

### Decision-making

The Centre Executive Committee (CEC) make decisions that affect the whole Centre. These decisions require consensus, however if this cannot be made after two CEC meetings, the Centre Director will call for a vote, which is passed on a majority basis.

**From the Collaboration Agreement:**

*Clause 6.4.5: All decisions of the Centre Executive Committee shall be on a consensus basis, and failing consensus, the Centre Director may call for a vote of Centre Executive Committee members, who may then pass resolutions on a simple majority basis. If the Centre Executive Committee cannot reach consensus after discussing a matter at two consecutive Centre Executive Committee meetings, the Centre Director will call for a vote.*

Centre Sub-Committees make recommendations on items for discussion and decision to the CEC, including expenditure on activities that cost more than 25% of the annual committee budget allocation (if applicable).

Nodes, including ANU, provide financial reports that are collected to form part of the ARC progress report and Centre annual report.

Chief Investigators (CIs) make individual decisions about their projects and expenditure on a day-to-day basis, in alignment with Centre and host institution policies. Annually CIs attend a research planning meeting to set their goals for the year.

All Centre members influence decisions by active participation in committees, providing feedback when called upon or via a representative or confidentially to [tmos@anu.edu.au](mailto:tmos@anu.edu.au) and through the Centre annual retreat. Centre members report their activities through the Centre reporting tool to provide information against Centre KPIs and goals.

Collectively, node, CI and Centre member reported information is compiled and provided to the CEC, Centre Advisory Board (CAB), and International Scientific Advisory Committee (ISAC). The CAB and ISAC provide advice to the CEC, which makes the decisions that are then implemented through changes to Centre operations and research activities.

## **Governance Structure**

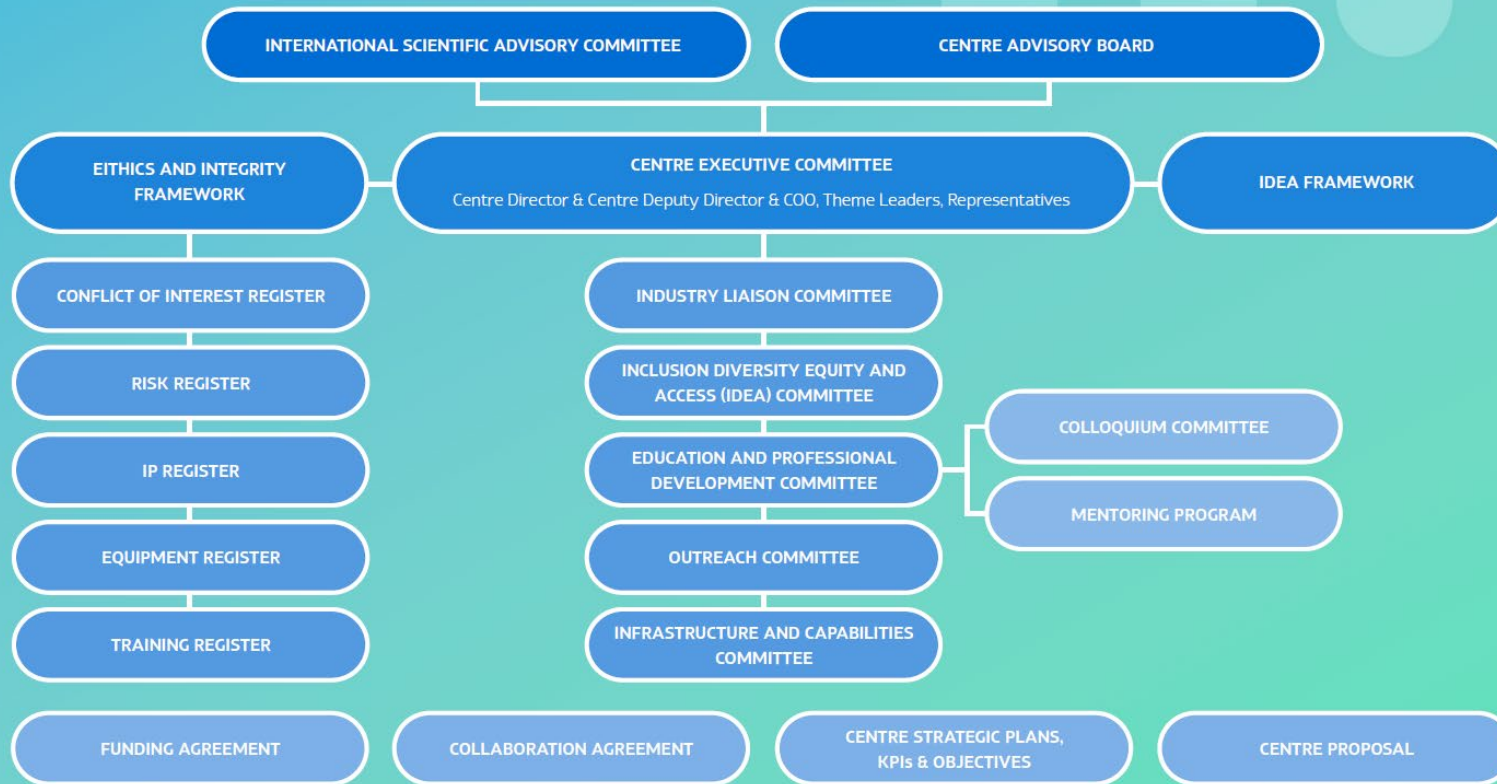
The governance structure of the Centre describes all the committees, advisory bodies, documentation, and their relationships. The Centre foundation is the legal framework within which it operates, the Commonwealth Agreement, proposal, Collaboration Agreement and so on. The universities and partners are connected to the Centre through these mechanisms. The Centre creates its own strategic plans and KPIs, however these must be in alignment with the Centre Proposal and be reported against to the Australian Research Council.

The decision-making body of the Centre is the Centre Executive Committee, which has representatives from all nodes. The Centre Advisory Board and the International Scientific Advisory Committee provide advice on the Centre operations and research respectively, based on information reported to them, against Centre strategic plans and KPIs. Five sub-committees report to the Centre Executive Committee, each undertaking specialised responsibilities that are described in their Terms of Reference. They have oversight over the training, equipment and intellectual property registers, and the mentoring programs. All Centre members are expected to contribute to keeping these registers current.

The IDEA Framework and Ethics and Responsible Research Framework support making decisions in alignment with Centre values and in compliance with regulations at home institutions. These are maintained by the Centre Executive Committee with support from the IDEA Committee. The

Conflict of Interest (COI) register is maintained by the Chief Operations Officer, along with any management plans for these. COI is a standing item on all Centre committee and advisory meetings and Centre members are expected to disclose all potential, perceived or real COIs, in accordance with the Centre COI policy.

# Governance: Structure



## Roles and Responsibilities

*“If you want to build a ship, don’t drum up the men to gather wood, divide the work, and give orders. Instead, teach them to yearn for the vast and endless sea.”*

– *Antoine de Saint-Exupéry*

### Expectations for leadership, decision-making, and culture<sup>2</sup>

In leading and making decisions for the Centre, and in shaping its culture, it is expected that the **Centre Directorate, Centre Executive Committee Members and Chief Investigators** will exemplify, promote, and ensure that:

- Members of the Centre conduct themselves in a manner that reflects commonly accepted standards of academic or business practice and ethics, including acting with honesty and integrity, with respect and dignity in relationships amongst those involved in, or affected by, the Centre’s activities.
- Resource allocation decisions, capital and operating expenditure, or financing decisions, are made with due reference to their impact on the financial condition of the Centre, and the associated impact on the achievement of the strategic plan.
- Decisions or actions are taken with due reference to their impact on the health, safety and environmental outcomes, and the associated impact on the achievement of the strategic plan.
- Decisions or actions are taken with due reference to their effect on the reputation of the Centre and the associated impact on the achievement of the strategic plan.
- Risks that are material to the Centre’s functions are identified and managed within an appropriate system/s of control.
- The leadership of the Centre is organised with processes for ensuring long term succession planning, attracting, and retaining talent, building a capable and agile team, and ensuring equal opportunity.

### Definitions

**Centre Directorate:** The Centre Directorate or Directorate Team is the Centre Director, Deputy Director and Chief Operations Officer. They have the highest level of responsibility for governance, compliance and the relationships between the organisations involved in the Centre and the Australian Research Council. The Centre Director is the highest delegated authority of the Centre and operates through the decision-making process of the Centre Executive Committee.

### From the Collaboration Agreement:

*Clause 6.3.6: The Directorate team shall be responsible for setting and implementing the strategic direction of the Centre and overseeing the Centre’s operations in accordance with the Centre Proposal and the Grant Agreement.*

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<sup>2</sup> Section copied with minor modifications from the ANU Governance Handbook version February 2019

**Chief Investigator:** Chief Investigators (CI) are employed by an Australian university that is a participant of the Centre and are recorded as such by the Australian Research Council. They are responsible for the delivery of the Centre Objectives and for undertaking the research in accordance with the proposal. They are expected to make original and independent intellectual contributions to the work of the Centre.

**Centre member:** is inclusive of all Chief Investigators, Partner Investigators, Associate Investigators, employees of participating institutions employed to work with the Centre, and students working on projects supported by the Centre.

**Partner Investigator:** Partner Investigators (PI) are employed by Partner Organisations of the Centre and are recorded as such by the Australian Research Council. They support the delivery of Centre Objectives and research through collaboration with the Chief Investigators. They are expected to make intellectual contributions to the work of the Centre.

**Associate Investigator:** Associate Investigators (AI) support the delivery of Centre Objectives and research through collaboration with the Chief Investigators. They are expected to contribute their niche expertise to the work of the Centre. They are not named investigators and are generally not contracted as part of the Collaboration Agreement. They are subject to the Centre AI Policy.

**Node Director:** The Node Director/Leader/Head/Manager is responsible for the day-to-day coordination of activities of their node, especially the interface between the Centre and their university. They will be responsible for ensuring reporting occurs at their node will have the Node Officer/Administrator reporting to them.

**Research Staff:** Postdoctoral researchers, associates, assistants, technicians, researchers or 'postdocs' (including those hired under the professional stream within a university) fall under the broad category of the Centre research staff. They are researchers employed to deliver Centre research, usually supervised by a Chief Investigator.

**Student:** A student is any person enrolled in a program of study at a higher education provider.

**Professional Staff:** Professional staff support the delivery of Centre Objectives through the provision of administrative and specialist activities.

**Chair (of a committee):** The Chair (or acting Chair, or co-Chair) of a committee is responsible for the orderly facilitation of meetings (including ensuring that all committee members can share their views) and decision-making/voting (including creation and expenditure of committee budgets where applicable), setting agendas, and reporting to the Centre Executive Committee. They ensure that the committee functions as per the committee's Terms of Reference.

**Member of a committee:** A member of a committee is expected to actively participate in committee meetings, read and consider any relevant meeting papers, disseminate information when appropriate, maintain confidentiality and ethics, and report any conflicts of interest to the Chair.

**Elected representative:** An elected representative is expected to represent and advocate for the views and issues of their represented area or demographic (e.g., Student Representative) and disseminate information and outcomes back to their area.

**Theme Co-Leaders:** The Theme Co-Leader are the Chief Investigators jointly responsible for leading the progress toward the Centre Objectives that fall within the Research Themes and are described in the Research Strategic and Implementation Plan.

**Research Program Manager:** are experienced postdoctoral researchers who have responsibility for leading the delivery of a research Sub-Program (i.e., a “Sub-Theme”) within the Research Strategy and report to the Theme Co-Leaders on the status of the individual projects within their program and are members of the Centre Executive Committee (Research). See [Guideline: Centre Research Program Manager](#)

**Flagship Program Managers (FPMs)** are experienced postdoctoral researchers who have responsibility for leading the delivery of a Flagship within the Translational Research Strategy and Implementation Plan and are members of the Industry Liaison Committee, and provide updates on the status of Flagship projects. They report to the Directorate and inform the ILC Co-Chairs.

## Our Consortium Members

The organisations listed on this page are parties to the Centre’s Collaboration Agreement.

The list of individuals involved in the Centre are found on our website <https://tmos.org.au/team/>.

### Administering Organisation

- The Australian National University (ANU) Contact: [tmos@anu.edu.au](mailto:tmos@anu.edu.au)

ANU is the lead organisation and as such is responsible to the Commonwealth Government of Australia via the Australian Research Council for the delivery and management of the Centre.

### Eligible Organisations

- University of Technology Sydney (UTS)
- University of Melbourne (UoM)
- Royal Melbourne Institute of Technology University (RMIT)
- University of Western Australia (UWA)

These five Australian universities are referred to as **nodes** of the Centre.

### Partner Organisations

- California Institute of Technology
- Northwestern University
- Friedrich Schiller University of Jena
- National University of Singapore
- Duke University
- The Ohio State University
- University of Cambridge
- University of Oxford
- City University of New York
- University of California San Diego
- IEE S.A.
- Thermo Fisher Scientific
- Hort-Eye
- Australian National Fabrication Facility
- Melbourne Centre for Nanofabrication
- Questacon

## IDEA Framework

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>23 May 2024</i>
<i>Date of Approval</i>	<i>4/06/2024</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>IDEA Chair</i>
<i>Document location</i>	<i>IDEA Governance</i>
<i>Next review date</i>	<i>4/06/2026</i>

### Purpose

The Centre is committed to fostering inclusion, diversity, equality, and access (IDEA) principles.

Our Centre expects all its members to create an inclusive environment that allows people from diverse backgrounds to have a psychologically safe workplace.

This IDEA Framework serves as a guide supporting disseminating and implementing the diversity recommendations and policies throughout all participating universities (nodes).

It applies to all research staff, professional staff, and students of the Centre, who are considered Centre members, which includes all those funded by non-Centre sources.

### Glossary

**Inclusion** - The act of creating an environment in which any individual or group will be welcomed, respected, supported and valued as a fully participating member. An inclusive and welcoming climate embraces and respects differences.

**Diversity** – The term diversity is used to describe individual differences (e.g. life experiences, learning and working styles, personality types) and group/social differences (e.g. race, socio-economic status, class, gender, sexual orientation, country of origin, ability, intellectual traditions and perspectives, as well as cultural, political, religious, and other affiliations)

**Equity** – The fair treatment, access, opportunity and advancement for all people, while at the same time striving to identify and eliminate barriers that prevent the full participation of some groups. The principle of equity acknowledges that there are historically underserved and underrepresented populations and that fairness regarding these unbalanced conditions is necessary to provide equal opportunities to all groups.

**Access** – addresses existing practical and systematic boundaries that prevent the disadvantaged from fully participating in work opportunities, activities, events, and social life. These include but are not limited to physical limitations such as colour blindness, mobility issues, hearing difficulties, and other disabilities. These also involve cultural and social nature barriers, such as religious practices, communication practices, and language.

## Transparency in Decision-Making

Transparency is essential to reducing bias in the workplace.

To this end, all committee meetings will be minuted and saved centrally, so that all committee members and their representatives can access these freely, including those minutes from years past. Centre Chairs are expected to update Centre members on the activities of their committees through information sharing during Centre Executive Meetings, and updates in the Centre Newsletter, and broader presentations to the Centre members during internal conferences and seminars.

The Centre aims to reduce, wherever possible, direct appointments into leadership positions and committee positions. Expressions of Interest for these roles are open, with clearly specified eligibility and selection criteria, to all Centre members. The exception is when no volunteer can be found for an essential role or an identified representative, and therefore a direct appointment is required.

The Centre has a limited amount of funding available beyond the allocations to the Chief Investigators. Where this funding is to be allocated to Centre members, it is to be done so via an advertised competitive process with an appropriate selection process and published guidelines.

The selection committee members are to be identified before the closing date of any funding round. Outcomes of these rounds are to be announced in the Centre newsletter and in other forums as appropriate.

## Centre Committee Membership

The Centre aims to involve Centre members in the decision-making process via its Boards, Committees, Sub-committees, and working parties.

To this end, committee Chairs must consider the diversity of the membership of their committee, and advertise for and appoint new members as required, and in accordance with their Terms of Reference.

## Communication

This includes promoting inclusive language, which avoids biases, slang, or expressions that discriminate against groups of people.

Internal and external communications should feature content, including images and video, that demonstrate a diverse range of people, and are representative of Centre members.

The Centre emphasises communication should be clear and accessible, with any required adjustments in place, so that all Centre members can participate equitably.

## Recruitment

The Centre will have a staff recruitment [policy](#) and [procedure](#) that extends best practice in gender equity and building diverse representation in the cohort Centre members.

The Centre will publish on its website, updated on a quarterly basis, the gender balance of its research personnel and annually update key results from its annual culture survey.

The Centre will have policies that aim to improve diversity in the Associate and Partner Investigator cohort, with affirmative measures to improve gender diversity.

## Participation

The Centre will have a [Participation and Inclusion Policy](#) that sets the minimum standards for ensuring that the Centre reduces the barriers to workplace participation, including meetings, seminars, and events. This Policy will facilitate carers grants, which is a fund administered by the IDEA Committee, and held at RMIT University.

## Professional Development and Training

See also: [Education and Development Committee Terms of Reference](#)

The Centre will provide professional development and training opportunities in the form of fortnightly Science Tuesday events, prestigious Colloquia seminars, dedicated workshops, and internal ECR and student conferences. These are organised by the Education and Professional Development Committee, and in alignment with the Participation and Inclusion Policy, developed by the IDEA Committee. The Centre will also provide professional development on IDEA topics, participation in which is mandatory for all Centre members on an annual basis.

Leadership training, which includes IDEA concepts and aims to address bias, is mandatory for all Chief Investigators, and strongly recommended for postdoctoral and professional staff in leadership and management roles. This must be completed on an annual basis.

The Centre will provide media-readiness training, including but not limited to, email courses, seminars, workshops, or coaching programs.

The Centre will provide a platform for all Centre members to access mentoring, from within or beyond the Centre membership.

Centre members should be offered and given time to undertake professional development opportunities, including conferences, courses, competitions, certifications, service roles, and development programs, beyond the cultural norms of node institutions as specified in the ARC Centre Objectives.

Requests for professional development and training should not unreasonably be refused by supervisors, including opportunities that foster the development of skills beyond academia and research.

Supervisors should be aware of how they distribute resources, including time, for professional development, to ensure fairness and equity within their team, in alignment with the individual career objectives of their team members.

All postdoctoral researchers and staff require 'performance development reviews' (ANU terminology) or equivalent in place and to a detailed standard. These are to be updated and discussed at least twice per year. Supervisors should include publications planning, promotions plan, and broader career goals into these documents.

## First Nations Reconciliation

The Centre will recognise the traditional custodians of the lands the Centre conducts its work on with an Acknowledgement of Country in all minuted meetings and with a Welcome to Country at applicable events.

An Acknowledgement of Country is an opportunity for anyone to show respect for Traditional Owners and the continuing connection of Aboriginal and Torres Strait Islander peoples to Country.

Aboriginal and Torres Strait Islander peoples have experienced a long history of exclusion from Australian history books, the Australian flag, the Australian anthem and for many years, Australian democracy.

This history of dispossession and colonisation lies at the heart of the disparity between Aboriginal and Torres Strait Islander and other Australians today.

Including recognition of Aboriginal and Torres Strait Islander peoples in events, meetings and national symbols contributes to ending the exclusion that has been so damaging.

The official details and content related to First Nations awareness etiquette can be found [here](#).

## Implementation of this Framework

The Centre IDEA Framework is designed to complement existing university and workplace policies. By specifically designing this Framework, which applies to all Centre members, the Centre is drawing specific attention to the expectations required for membership and engagement with the Centre.

All Centre member employees and students, regardless of their positions, are expected to comply with this Framework.

Supervisors are expected to understand their workplace policies and appropriate escalation pathways, as well as university resources and supports. Supervisors are expected to know how to seek support in dealing with sensitive matters.

## IDEA Committee

The IDEA Committee is the official body providing underlying mechanisms through which inclusion, diversity, equality, and access practices transmit their positive effects on members' participation, work, and engagement throughout the Centre.

See also:

- [Inclusion Diversity, Equity, and Access Committee Terms of Reference](#)
- [Recruitment Policy](#)
- [Recruitment Procedure](#)

## Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
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<i>May 05 2021</i>	<i>Revisions</i>	<i>Peter Nowotnik</i>
<i>April 30 2021</i>	<i>Revisions</i>	<i>Madhu Bhaskaran</i>
<i>April 14 2021</i>	<i>Revisions</i>	<i>Peter Nowotnik</i>
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<i>February 25 2021</i>	<i>Revisions</i>	<i>Madhu Bhaskaran</i>
<i>February 25 2021</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>June 27 2023</i>	<i>Major Revisions</i>	<i>Greg Dennis, Mary Gray</i>
<i>July 6 2023</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>July 6 2023</i>	<i>Review, Minor revisions</i>	<i>Lan Fu, Milos Toth</i>
<i>August 3 2023</i>	<i>Revisions</i>	<i>Greg Dennis</i>
<i>May 23 2024</i>	<i>Minor Revisions</i>	<i>Eleanor Luond</i>

## Ethics and Responsible Research Framework

<b>Status</b>	<b>Approved</b>
<i>Date of Last Revision</i>	<i>10 June 2026</i>
<i>Date of Approval</i>	<i>3 August 2021</i>
<i>Framework Approver</i>	<i>Centre Executive Committee</i>
<i>Framework Owner</i>	<i>Chief Operations Officer</i>
<i>Document location</i>	
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>NA</i>

### Overview<sup>3</sup>

The Centre is committed to protecting investigators, staff, students, participating institutions, the Australian Research Council, and the Centre from illegal or damaging actions by individuals, either knowingly or unknowingly. The Centre will not tolerate any wrongdoing or impropriety at any time and will promptly take corrective action if this ethics and responsible research framework is violated.

### Purpose

The purpose of this framework is to establish a system to foster a culture of openness, trust, and ethical research and workplace conduct.

This framework and associated policies will serve to guide behaviour to ensure ethical and responsible conduct.

Ethical conduct is a team effort involving the participation and support of every participating member whether an investigator, employee or student working in the Centre. All Centre members should familiarise themselves with the ethics guidelines that follow this introduction and the associated policies.

It is not intended to replace frameworks and policies established by the employers of staff or home institutions of students.

### Scope

This framework applies to all Chief, Partner and Associate Investigators, research and administrative employees, and students affiliated with the Centre in their role within the Centre (Centre members).

It augments any similar documents established by host institutions and the Australian Research Council. If there is any doubt or conflict, policies and procedures should defer to the relevant university policy.

<sup>3</sup> See <https://www.sans.org/security-resources/policies/general/pdf/ethics-policy> for basis of this policy

### **Chief Investigator <sup>4</sup> commitment to ethics:**

1. Chief Investigators within the Centre must lead by example. Honesty and integrity must be top priority for the Centre Leadership.
2. Chief Investigators must welcome concerns, feedback, and suggestions from employees, students, and others. This will allow employees and students to feel comfortable discussing any issue and will alert Chief Investigators to concerns within the team.
3. Chief Investigators must disclose any conflict of interest, perceived or actual, concerning their position within the Centre.

### **Centre member commitment to ethics:**

1. All supervisors of staff and students, of any level or role in the Centre, are committed to making an ethical workplace and role modelling Centre values, integrity and professionalism.
2. All Centre members will treat everyone fairly, have mutual respect, promote a team environment, and avoid the intent, appearance, and acts of unethical or compromising practices.
3. All other affiliates must abide by this framework and associated policies when participating in Centre activities and working with Centre members.
4. All Centre members need to apply effort and intelligence in maintaining ethics values.
5. All Centre members must disclose any conflict of interest concerning their position within the Centre.
6. All Centre members should consider the following questions and report issues to their supervisor or another trusted advisor:
  - a. Is the behaviour legal?
  - b. Does the behaviour comply with all appropriate policies?
  - c. Does the behaviour reflect Centre and host institution values and culture?
  - d. Could the behaviour adversely affect Centre stakeholders?
  - e. Would you feel personally concerned if the behaviour appeared in a news headline?
  - f. Could the behaviour adversely affect the Centre if all members did it?

## **Framework Compliance**

### **Compliance Monitoring**

The Centre Executive Committee members (CEC) will ensure and verify compliance with this framework and associated policies through various methods, including but not limited to ensuring that staff complete relevant training at their home institutions, attend Centre information sessions, and feedback.

The Centre will maintain a register of relevant training and attendance at information sessions undertaken by Centre members. All Centre members are responsible for ensuring that their training information listed in the training register is up to date.

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<sup>4</sup> Chief Investigators are also required comply with ARC policy <https://www.arc.gov.au/policies-strategies/strategy/arc-research-integrity-policy>

## Exceptions

None.

## Non-Compliance

If a Centre member is suspected of engaging in unethical behaviour and violating this framework, the matter must be referred to the Centre Directorate by an individual or by the member's participating institution. The matter may be referred to the CEC for confidential discussion.

An investigator, employee or student found to have violated this framework or any associated policies may be subject to disciplinary action through the relevant participating institution, up to and including termination of membership of the Centre.

If a Centre member is found to violate this framework they will be removed from any committee or position they hold within the Centre, including but not limited to the CEC, and may be subject to disciplinary action through the relevant participating institution, up to and including termination of membership of the Centre.

## Policies

### Ethics and Responsible Research Code of Conduct

Centre members must<sup>5</sup>:

- Carry out their official duties in accordance with all relevant policies from their employer and the Centre.
- Treat colleagues, other Centre members and stakeholders fairly, consistently and with respect.
- Behave in a lawful, professional, and reasonable manner and always act in the best interests of the Centre.
- Comply with Centre and home institution policies, procedures, and guidelines, as well as relevant legislative and industrial requirements that apply.
- Understand the duties, responsibilities, and accountabilities of their roles, and perform these safely, honestly, courteously, and fairly.
- Make impartial decisions that demonstrate the values of the Centre and their home institutions and promote confidence in the integrity of the research and other activities of the Centre.
- Comply with reasonable lawful requests, directions and instructions given in the course of their duties by any person with authority to do so.
- Maintain the integrity, confidentiality and security of relevant information and not use and /or disclose this information for a private purpose or to obtain personal advantage.
- Report unethical, dishonest, or corrupt conduct.
- Not discriminate, harass, bully, or engage in inappropriate workplace conduct.

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<sup>5</sup> Derived from NSW Government Planning, Industry and Environment DOC20/335721 4 Nov 2020

## Responsible Research Practice<sup>6</sup>

Centre members must conduct research through the lifecycle from conception through delivery to reporting, dissemination and impact with:

- **Honesty**, presenting information truthfully and accurately.
- **Rigour**, underpinning research with attention to detail and robust methodology.
- **Transparency**, declaring interests and effectively reporting research methodology, data and findings.
- **Fairness and Respect**, for research participants, co-workers, research students, the wider community, animals, and the environment.
- **Recognition**, for the rights of communities, in particular Aboriginal and Torres Strait Islander peoples, to be engaged in research that affects or is of particular significance to them; and
- **Accountability**, both financial and otherwise.

*Furthermore, Centre members must:*

Comply with all relevant laws, regulations, disciplinary standards, ethics guidelines, funding agreements and institutional policies related to research integrity and the responsible conduct of research, including codes of conduct.

**All research undertaken in the Centre must be in accordance with the *Australian Code for the Responsible Conduct of Research, 2018*<sup>7</sup>.**

Supervisors must provide guidance and mentorship on the responsible conduct of research to other researchers and research trainees under their supervision and, where relevant or required, monitor their conduct.

Ensure that appropriate approvals are in place prior to the commencement of research, and that conditions of any approvals are adhered to during research. When working internationally, comply with other countries' regulations relating to research and respect local laws, customs, and protocols.

Fulfil all contractual responsibilities entered by their employer on their behalf, providing reports and information as required and managing such projects effectively.

Adopt effective research design and methods appropriate to the aims of the research and ensure that conclusions drawn are justified by the results with due concern for reproducibility wherever possible.

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<sup>6</sup> Based on ANU Responsible Conduct of Research Policy (equivalent policies are found at all Eligible Organisations as they are derived from the Australian Code for the Responsible Conduct of Research [https://policies.anu.edu.au/ppl/document/ANUP\\_007402](https://policies.anu.edu.au/ppl/document/ANUP_007402)

<sup>7</sup> Australian Code for the Responsible Conduct of Research, 2018, <https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018>

Retain clear, accurate, secure, and complete records of all research including research data and primary materials for an appropriate period. Where possible and appropriate, allow access and reference to these by interested parties.

Use resources efficiently, ensuring best value for money for the funders of research.

Report concerns over the conduct of research by other researchers.

Disseminate research findings responsibly, accurately, and broadly. Where necessary, take action to correct the record in a timely manner.

Seek to deploy the outcomes of their research for the benefit of society.

Ensure that authors of research outputs are all those, and only those, who have made a significant intellectual or scholarly contribution to the research and its output, and that they agree to be listed as an author.

Acknowledge those who have contributed to and supported the research appropriately.

Cite and acknowledge other relevant work appropriately and accurately in line with academic practice, including when producing reports for the funders of research.

Participate in peer review in a way that is fair, rigorous, and timely and maintains the confidentiality of the content.

Undertake a risk assessment of the potential risks of undertaking the research to the University, the health, safety, and well-being of those involved in undertaking the research and of research participants ensuring compliance with all applicable health and safety requirements.

### **Conflict of Interest**

Centre members are required to immediately disclose any financial, personal, or other interest or potential interest which could directly or indirectly compromise the performance of their work, duties or functions or conflict with the Centre's interests, and take action to avoid or manage the conflict.

To this end, all members of the Centre must abide by the Centre's *Conflict of Interest Policy*<sup>8</sup>.

### **Privacy and confidentiality**

Centre members must abide by their home institution's privacy policy, the Federal *Privacy Act 1988*, and any other relevant state privacy legislation. If raised, Centre members must respect the confidentiality of research and other matters discussed within the Centre. Members are referred to the Collaboration Agreement for more information.

### **Export Controls**

Some research undertaken in the Centre will be covered by Defence Export Controls legislation (*Defence Trade Controls Act 2012*). Export of goods and technologies is regulated by legislative

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<sup>8</sup> Adapted from: <https://www.acnc.gov.au/tools/templates/conflict-interest-policy>

frameworks that promote national, regional, and international security. Unless an exemption applies or a permit is in place, export of goods, services or technologies that could be used in weapons or military applications may not be allowed.

Although basic scientific research is not affected, some research in the Centre is of an applied nature and may appear in either Part 1 (Military) or Part 2 (Dual Use) technologies in the Defence and Strategic Goods List (DSGL)<sup>9</sup>. This can affect sharing of information with collaborators overseas for which a permit may need to be sought.

To assist with determining whether any activity is affected, the Department of Defence has created an [Online DSGL Tool](#).

## Foreign Interference

From the Department of Home Affairs <sup>10</sup>:

*It is important to understand the difference between foreign influence and interference.*

*All governments, including Australia's, try to influence discussions on issues of importance.*

*When conducted in an open and transparent manner it is foreign influence. These actions contribute positively to public debate and are a welcome part of international engagement.*

*Foreign interference, in contrast, is activity that is:*

- *carried out by, or on behalf of a foreign actor*
- *coercive, corrupting, deceptive, clandestine*
- *contrary to Australia's sovereignty, values and national interests*

*Foreign interference activities go beyond routine diplomatic influence practiced by governments.*

*They may take place on their own or alongside espionage activities.*

Centre members are expected to be familiar with the [Guidelines to Counter Foreign Interference in the Australian University Sector](#). If these guidelines could apply to your project (e.g., you may require registration), please discuss with your supervisor or Chief Investigator in the first instance. Chief Investigators are expected to know the pathway to direct such matters in their institutions.

These guidelines acknowledge that although most international interactions are welcome there may be foreign actors who seek to engage in foreign interference in the university sector, through efforts to alter or direct the research agenda; economic pressure; solicitation and recruitment of **post-doctoral researchers and academic staff; and cyber intrusions.**

## Financial probity

It is expected that Centre members will use Centre funds in accordance with the 'Program Description', 'Program Cost' and 'Budget Justification' contained in the Centre Application, or in

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<sup>9</sup> Available online <https://www.legislation.gov.au/Details/F2019L00424>

<sup>10</sup> From the Department of Home Affairs <https://www.homeaffairs.gov.au/about-us/our-portfolios/national-security/countering-foreign-interference>

any revised budget, aims and Research Program submitted by the Administering Organisation and approved by the ARC. Proposed variations to expenditure must be initially raised with the relevant Node Director and then presented to the Centre Executive. Centre members must comply with their employer's or home institution's procurement rules and guidelines, when procuring goods and services. In any procurement process, employees must appropriately consider and deal with any actual, potential or perceived conflict of interest as described in the Conflict of Interest Policy. Although Centre members are expected to minimise costs, this should not compromise personal safety when considering travel costs, nor safety considerations or appropriate performance when acquiring other goods and services.

### **Appropriate use of social media and public engagement**

Centre members must represent the Centre in alignment with our values and our Code of Conduct.

Representation includes the following activities where it is reasonably expected that the comments will be reasonably perceived as views of the Centre:

- Making comments on radio or television;
- Letters to newspapers and magazines;
- Commentary on the internet or on collaborative or social networking sites; or
- Expressing views in books, journals, notices, or other published material.

Students must obtain prior approval from their supervisor for any public (including school visits and industry) speaking engagement and for any presentation material.

### **Environmental and Social Responsibility**

The Centre, both in terms of research outcomes and in the operations of Centre activities must give due consideration to impacts on the well-being of the environment and society.

Centre members may consider how they can add value to existing efforts on a range of fronts, including but not limited to:

- social justice and empowerment,
- environmental welfare including climate change,
- access to education and technology,
- health, public health, mental health initiatives,
- participation in volunteering and fundraising,
- other civic and community support, and
- resource efficiency, waste management, and sustainability practices.

The mechanism for this involvement is at the level of Centre sub-committees and/or working parties. Centre members are encouraged to contact their local representative, node administrator, or most relevant committee chair(s) with their suggestions. Centre-wide activities are to be recorded as activities in the Strategic and Implementation Plan of the Centre at the discretion of the committee chair(s) or Chief Operations Officer.

## Related Standards, Policies and Processes

- Strategic Plan
- [Conflict of Interest Policy](#)
- Related institutional policies

## Definitions and Terms

**‘The Centre’** is the ARC Centre of Excellence for Transformative Meta-Optical Systems.

**‘Participating institution’** is a university that employs staff working in the Centre or at which students are enrolled.

**‘Centre members’** includes all Chief Investigators, other employees of participating institutions employed to work with the Centre, and students working on projects supported by the Centre.

**‘Centre affiliates’** includes Partner Investigators, Associate Investigators and representatives of Partner Organisations in their role with the Centre.

**‘Students’** refers to all undergraduate, postgraduate coursework and postgraduate research students enrolled at participating institutions and undertaking projects supported by the Centre.

**‘Home institution’** is the university that is the primary employer of a Centre member or the institution at which a student is enrolled.

**‘Centre activities’** refers to any events or undertaking which are directly related to the business of the Centre or could be reasonably perceived as such. This includes research and other discussions with Centre members, publication, outreach, and educational activities.

## Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>Jan 15, 2020</i>	<i>Draft for consideration</i>	<i>Ann Roberts</i>
<i>Jan 16, 2020</i>	<i>Revisions</i>	<i>Ann Roberts, Mary Gray</i>
<i>Jan 28, 2020</i>	<i>Minor revisions</i>	<i>Ann Roberts, Mary Gray</i>
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<i>June 22 2021</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>July 6 2021</i>	<i>Revisions</i>	<i>Mary Gray, Ann Roberts</i>
<i>July 30 2021</i>	<i>Minor revisions</i>	<i>Hoe Tan</i>

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## Risk and Reporting Framework

### Risk Management

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*“And then the day came,  
when the risk  
to remain tight  
in a bud  
was more painful  
than the risk  
it took  
to Blossom”*

*- Risk, Anais Nin*

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Risk management is a critical aspect of governance for the Centre, and is integral to the decision-making process of the Centre Executive Committee (CEC), and the strategy, advice and recommendations for all Centre committees.

The Centre operates in a complex and dynamic environment, at the interface of five Australian Higher Education Providers, Commonwealth Government, international universities and national and international industry partners.

The consideration of risk is embedded at all levels of Centre activity, along with ethics and integrity, as it empowers timely and responsible evidence-based decision-making for everyone.

#### **Centre Risk Appetite<sup>11</sup> Statement**

The Centre is a research entity, which means it is in pursuit of new knowledge. Such a discovery mission will include success and failure, with both providing essential growth.

We courageously accept the risk of failure in pursuit of our Vision, Mission and Objectives, while acting within our Values. We understand that risk can be a source of opportunity and positive challenge when aligned to our capacity<sup>12</sup> to thrive.

We are diligent in our compliance to our employers, the Australian Research Council (ARC) and the respective laws under which we operate, including in all ethical and financial matters.

We are accountable to each other regarding our integrity and Values, our employers, the ARC, and the law in all matters.

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<sup>11</sup> Risk appetite is the risk an organisation is willing to take in the pursuit of meeting its objectives and implementing its strategy.

<sup>12</sup> Risk capacity is the maximum level of risk at which an organisation can operate, while remaining within constraints implied by its funding and stakeholders. *No organisation should run at its risk capacity.*

## Centre Approach to Risk

The Centre manages risk through identification, recording, planning and monitoring through the Risk Register. The Register includes financial and non-financial risk, and allows for qualitative measures, as is appropriate for a Centre. As risk-culture matures, the due consideration of risk is expected to be enhanced at all levels of decision-making.

The Chief Operations Officer is responsible for maintenance of the Risk Register.

## Reporting

The Centre has obligations to report to the Commonwealth on financial and performance matters that are specified in the Commonwealth agreement between the Commonwealth and the Administering Organisation.

The Centre must provide annual information to the ARC to complete the reporting process, which is a financial in nature. The Centre must also provide an annual report each year.

The Centre is also required to produce a Mid-Term Review, End of Year (financial) report and a Final Report.

All reports require continuous collection of data so that the Centre can meet its various reporting obligations and make evidence-based decisions regarding strategy and planning.

Data collection, analysis and reporting is of fundamental importance to the operations and governance of the Centre. It requires the dedicated support of the professional team, and the buy-in and engagement from all Centre members.

## Annual Report

### From the ARC Grant Agreement

#### 31.3 Annual Report

- a. *The Administering Organisation must submit an electronic Annual Report for each Centre by 31 March in the year following each full calendar year for which the Grant was awarded. The Annual Report must include details regarding the following matters:*
  - i. *the extent to which the ARC Centres of Excellence objectives as set out in the Grant Guidelines and the Centre Application have been met;*
  - ii. *summary of highlights, achievements in research and other outputs achieved resulting from the use of the Grant, including any advances in knowledge, relevant publications or international collaboration;*
  - iii. *at least two case studies and/or examples of the Research Impact of the Centre, particularly where interdisciplinary research has been undertaken. Such case studies must be written in such a way as to be understandable by a non-expert audience;*
  - iv. *any issues affecting the progress of the Centre or its Research Program, and a statement of mitigation strategies;*
  - v. *summary of the Centre's activities in developing national and international links, outreach, public awareness and communication with the wider community. This*

- could include data and information on outputs/outcomes such as conference presentations and keynote addresses, visitors to the Centre, visits by Centre researchers to national and international groups and institutions relevant to the Centre's Research Program, media about the Centre (traditional, social, online, etc), unique website hits, innovative outreach options, etc;*
- vi. summary of the Centre's actions over the reporting year against the administrative and operational requirements as set out in clause B.6;*
  - vii. a detailed activity plan for the next 12 months; and*
  - viii. any other matters which may be specified by the ARC as matters which must be included in an Annual Report.*
- b. To accompany a Centre Annual Report, and to be submitted at the same time, the Administering Organisation must submit an electronic report providing:*
- i. measurement and accounting of the Centre's performance against performance targets as set out in Schedule D; and*
  - ii. details of the lodgement or reasons for non-lodgement of publications, data, specimens or samples with an appropriate repository, museum or archive in Australia.*
- c. To accompany a Centre Annual Report, and to be submitted at the same time, the Administering Organisation must submit an electronic data report. The data report must include:*
- i. data on specific Centre outputs;*
  - ii. data on Centre personnel;*
  - iii. data on other research grants; and*
  - iv. data on specific Centre income and expenditure.*

\*Schedule D is the ARC Key Performance Indicators

# CENTRE POLICIES, PROCEDURES, AND GUIDELINES

## Research Program Governance Policy

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>10 June 2026</i>
<i>Date of Approval</i>	<i>26/10/23</i>
<i>Policy Approver</i>	<i>Centre Executive Committee - Research</i>
<i>Policy Owner</i>	<i>Centre Director</i>
<i>Document location</i>	
<i>Next review date</i>	
<i>Superseded document</i>	<i>N/A</i>

### Purpose

The purpose of this policy is to provide clarity and process for decision making regarding the development, maintenance, and review of the Centre Research Strategy and Implementation Plan as it relates to achieving Centre Objectives and measured by KPIs.

This Policy will be reviewed before and then confirmed or voted on at the beginning of each Centre research planning day (approximately every six months).

### Objective

To maintain strategic oversight of the overall Centre strategy efficiently and effectively and to ensure its implementation.

All Centre members can describe where their research contributes to the high-level research strategy of the Centre.

### Scope

This policy applies to all research activities within the Centre.

### Overview

The Centre has an agreed high-level overview (Figure 1) of its research initiatives for the critical *internal* communication of the research Objectives and goals for the Centre.

This overview may be presented to potential collaborators, partners, and end users when describing the breadth of the Centre's research activities.

# TMOS Research Initiatives

The Centre's research program is based on a foundation of holographic optics and nanophotonics and uses these principles to generate, manipulate and detect light.

## Translation Flagship Program

Focus on integrated devices using technology at higher TRLs

## Fundamental Research Program

Focus on discrete technologies at lower TRLs.

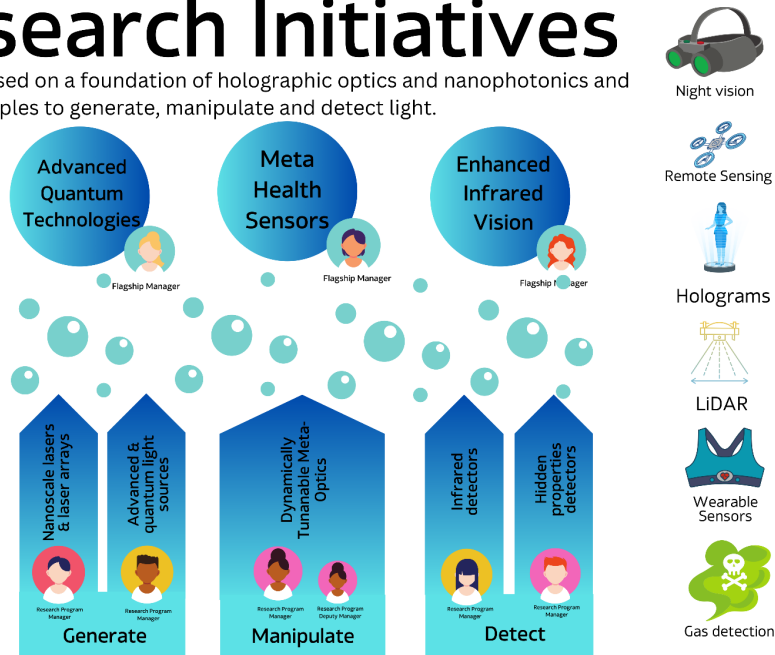


Figure 1 TMOS Research Initiatives version 3 July 2023

## Definitions

**Translational Flagship Program** is the program of work in meta-optics that includes research projects with high translational impact in alignment with one or more Flagships. The Program will nurture the development of Outcomes (specifically new companies including start-ups, joint ventures, commercial products, licenses) and Benefits (specifically economic, health, environmental, national security, and quality of life) in alignment with the ARC Research Impact Pathway<sup>13</sup>, for the benefit of Australia, wherever practicable.

The Flagship Program is to be resourced by ARC research funds, university cash, Centre Strategic Funds, and through partnership with industry, all of which should aim to attract other funding sources as work moves towards commercialisation (note that commercialisation activities are beyond the scope of the Centre).

**Flagships** are foci of application-driven research projects on either Advanced Quantum Technologies, Meta Health Sensors, or Enhanced Infrared Vision. The flagships may contain multiple projects with contributions from one or more nodes or research themes. Flagships are to drive and coordinate projects as work moves beyond applied research to ensure that Centre research has impact beyond academia.

**Fundamental Research Program** is the program of work in meta-optics that is focussed on discrete and blue sky technologies at lower technology readiness levels, in alignment with one or more Research Themes, which are aimed at focusing efforts and resources toward completing the Centre's Objectives.

<sup>13</sup> [https://www.arc.gov.au/sites/default/files/media-assets/policy\\_research\\_impact\\_pathway\\_table.pdf](https://www.arc.gov.au/sites/default/files/media-assets/policy_research_impact_pathway_table.pdf)

The Fundamental Research Program is to be resourced by the substantial Australian Research Council allocations to Chief Investigators via their universities, including university cash, infrastructure, and equipment.

**Research Themes** are the foci of research projects on either Generating (RT1), Manipulating (RT2), or Detecting (RT3) light with meta-optics.

**Research Sub-Theme/Program** are the defined high-level objectives that group research projects under each Research Theme.

**Projects** are discrete and time-bound bodies of work with clear actions and aims, which typically conclude at the acceptance of a research publication or other Output (as defined by the ARC). The undertaking and completion of a project contributes to the Centre Objectives, and KPIs.

## Roles and Responsibilities

**Centre Advisory Board** - approve strategic funding, and provide advice for Centre impact.

**International Scientific Advisory Board** - advocating for TMOS in the international scientific networks. Provide benchmarking for scientific development.

**Centre Executive Committee - Research:** The CEC will provide overall oversight and endorsement of the Research Strategic and Implementation Plan for the Centre.

**Industry Liaison Committee:** The ILC will assess the transition of projects from the research stream to the flagship programs. It will further provide guidance to the Flagships and help develop metrics/KPI, alert to potentially relevant Industry links and collaborations, and will provide advice on the progress of Flagships. The ILC could also provide guidance in terms of translational programs such as CRC-P, ARC Industry Training Hubs, or Defence related programs that could be spun out of TMOS for successful Flagships.

**Centre Directorate:** The Centre Directorate is the Centre Director, Deputy Director, and Chief Operations Officer. They have the highest level of responsibility for governance, compliance and the relationships between the organisations involved in the Centre and the Australian Research Council.

The **Centre Director** is the highest delegated authority of the Centre and operates through the decision-making process of the Centre Executive Committee.

*Clause 6.3.6: The Directorate team shall be responsible for setting and implementing the strategic direction of the Centre and overseeing the Centre's operations in accordance with the Centre Proposal and the Grant Agreement.*

**Flagship Program Managers (FPMs)** are experienced postdoctoral researchers who have responsibility for leading the delivery of a Flagship within the Translational Research Strategy and Implementation Plan and are members of the Industry Liaison Committee, and provide updates on the status of Flagship projects. They report to the Directorate and inform the ILC Co-Chairs.

**Research Theme Co-Leaders** are the Chief Investigators jointly responsible for leading the progress toward the Centre Objectives that fall within the Research Themes and are described in the Research Strategic and Implementation Plan.

**Research Program Managers (RPMs)** are experienced postdoctoral researchers who have responsibility for leading the delivery of a research Sub-Program (i.e., a “Sub-Theme”) within the Research Strategy and report to the Theme Co-Leaders on the status of the individual projects within their program and are members of the Centre Executive Committee (Research).

**Chief Investigators** are employed by an Australian university that is a participant of the Centre and are recorded as such by the Australian Research Council. They are responsible for the delivery of the Centre Objectives and for undertaking the research in accordance with the proposal. They are expected to make original and independent intellectual contributions to the work of the Centre.

## Decision Making

The Centre Executive Committee (CEC) makes decisions that affect the whole Centre. These decisions require consensus, however if this cannot be achieved after two CEC meetings, the Centre Director will call for a vote, which is passed on a majority basis.

Decisions regarding the Translation Flagship Program and individual Flagships require endorsement from the Industry Liaison Committee and may include advice from the Centre Advisory Board. Final approval is required by the Centre Executive Committee (Research).

Decisions regarding the Fundamental Research Program require endorsement from the Research Theme Co-Leaders and may include advice from the International Scientific Advisory Committee. Final approval is required by the Centre Executive Committee (Research).

*Clause 6.4.5: All decisions of the Centre Executive Committee shall be on a consensus basis, and failing consensus, the Centre Director may call for a vote of Centre Executive Committee members, who may then pass resolutions on a simple majority basis. If the Centre Executive Committee cannot reach consensus after discussing a matter at two consecutive Centre Executive Committee meetings, the Centre Director will call for a vote.*

## Management of Projects (including reporting)

The day-to-day undertaking and management of projects will be undertaken by the students, postdoctoral researchers, and other academic staff responsible for achieving the goals and outputs of the project.

The responsible parties will provide information to the nominated Flagship or Research Program Manager for them to coordinate efforts of their whole Flagship or sub-program, and maintain and update the Centre Research Strategy and Implementation Plan on a semi-annual basis.

## Creation of Flagships or Research Sub-Programs

### Creation of Projects

This section outlines the procedure for making decisions related to the inception of new projects within the program. The procedure aims to ensure that all new projects are in line with our program's strategic objectives and adhere to sound decision-making practices.

**Alignment with Program Goals:** Any new project proposal must align with the overarching goals, mission, and vision of the research program.

**Feasibility and Resources:** The program leadership will assess the feasibility of each new project in terms of available resources, including funding, personnel, and infrastructure.

**Strategic Impact:** Projects should demonstrate the potential for significant contributions to the field and be strategically aligned with the program's focus areas.

### **Decision-Making Process**

New projects may be raised by Research Program Managers (RPMs) and Flagship Program Managers (FPMs).

Theme Leaders are responsible for approving new projects and appropriate resources in consultation with relevant Chief Investigators. Consideration will be made with respect to alignment with the Centre objectives and strategic plan.

New Flagship projects will be considered by the ILC in consultation with relevant Chief Investigators.

## **Termination of Flagships or Research Sub-Programs (Performance Management)**

### **Termination of Projects**

This procedure aims to ensure that projects which are underperforming, non-viable, or do not align with the Centre objectives are systematically and fairly evaluated for termination while preserving the lessons and knowledge gained during the project's course.

Projects should be evaluated for their ongoing viability and performance regularly. Projects that no longer align with the program's objectives or do not meet performance standards should be considered for termination.

Regular assessments and monitoring will be conducted to gauge progress and success against project milestones and alignment with program direction.

Projects which deviate significantly from project timelines, persistent budget overspend, a failure to achieve critical milestones, or are incongruent with the program direction will trigger a review of the project's status.

Adjustments to Flagships will be considered under the Industry Liaison Committee.

## **Key Performance Indicators**

The Centre is publicly evaluated on its success by its ability to meet the ARC and Centre Objectives, and its annual Key Performance Indicators (KPIs). The Centre's Strategic Research and Implementation Plan maps the Centre's pathway to achieving the Objectives and is measured by KPIs, as they relate to research.

The Centre's overall quality of research outputs are measures of research success beyond the volume of peer-reviewed publications.

There are two key output measures that quantify the collaboration between the nodes, and international partner investigators, that is the annual number of cross-node publications and the annual number of publications with Partner Investigators.

Another evaluation is on the impact factor of where peer-reviewed articles are published, that is 'high impact' (top 10% in the field) and 'top-impact' (top 3% in the field).

Publications are lagging indicators of the research undertaken in the Centre, so may not reflect the outcomes of the work conducted during that year. To ensure progress toward achieving these four KPIs, the following mechanisms are in place in the Centre.

### Cross-Node Collaboration strategies

TMOS is committed to enhancing cross-node collaborations by implementing the following strategies.

- Cross-Node Supervision of HDR Students (see HDR guidelines <https://drive.google.com/file/d/124aHOrwn43FEepb7XHiggR0dCOgbJN6x/view?usp=sharing>)
- Cross-Node Exchange Award (link to Smartsheet form <https://app.smartsheet.com/b/form/8df19eb4d74048a584d10e0ec7346913>)
- )
- Research Theme Workshops (3 per year?)
- Research Themes meetings: in-person or online
- ECR & Student conference: Annually
- ECR and node meetings (social events organised by the Social Committee at each nodes)

### International Collaboration

- Partner Investigator Student Exchange Award
- Membership to international consortia
- MetaActive
- Joint international grants, e.g. DARPA, Fulbright, EU networks, DAAD, etc.

### High and Top Impact Publications

#### [Centre Affiliation and Acknowledgement Policy](#)

The list of top 3% and high (upper 10%) journals are determined each year based on the Web of Science Journal Citation Indicator (JCI) Percentile, which is a metric that can be compared across disciplines: <https://clarivate.com/blog/introducing-the-journal-citation-indicator-a-new-field-normalized-measurement-of-journal-citation-impact/>  
[https://clarivate.com/wp-content/uploads/dlm\\_uploads/2021/05/Journal-Citation-Indicator-discussion-paper-2.pdf](https://clarivate.com/wp-content/uploads/dlm_uploads/2021/05/Journal-Citation-Indicator-discussion-paper-2.pdf)

TMOS is committed to following the principles of the DORA convention.

TMOS aims to implement an access strategy for TMOS publications based on arXiv servers.

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
20 June 2023	Initial Draft	Mary Gray
30 June 2023	Minor revisions, content added	Mary Gray

<i>4 July 2023</i>	<i>Minor revisions, updated</i>	<i>Mary Gray, Samara Thorn</i>
<i>14 July 2023</i>	<i>Minor revisions</i>	<i>Dragomir Neshev, Mary Gray</i>
<i>26 October 2023</i>	<i>Minor revisions</i>	<i>Dragomir Neshev, Sharyn</i>
<i>10 June 2026</i>	<i>Minor revisions</i>	<i>Olga Bazaka</i>

## Conflict of Interest Policy<sup>14,15</sup>

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>10 June 2026</i>
<i>Date of Approval</i>	<i>16 June 2026</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>Chief Operations Officer</i>
<i>Document location</i>	
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>NA</i>

### Background

This policy has been developed to address conflicts of interest affecting the Centre.

Conflicts of interest are common, and they do not necessarily present a problem if they are openly and effectively managed.

It is the policy of the Centre as well as a responsibility of all investigators, staff, students and other affiliates, that ethical, legal, financial or other conflicts of interest are declared and managed appropriately and that any such conflicts (where they do arise) do not conflict with obligations to the Centre.

The Centre will manage conflicts of interest by requiring its members to:

- avoid conflicts of interest where possible
- identify and disclose any conflicts of interest
- carefully manage any conflicts of interest, and
- follow this policy and respond to any breaches.

### Purpose

The purpose of this policy is to help all members of the ARC Centre of Excellence for Transformative Meta-Optical Systems (TMOS – ‘the Centre’) to effectively identify, disclose and manage any actual, potential or perceived conflicts of interest in order to protect the integrity of the Centre and manage risk.

<sup>14</sup> Adapted from: <https://www.acnc.gov.au/tools/templates/conflict-interest-policy>

<sup>15</sup> Guide accompanying the Australian Code for the Responsible Conduct of Research, 2018 -Disclosure of interests and management of conflicts of interest:  
<https://www.nhmrc.gov.au/file/14503/download?token=lixhoic2>

## Objective

The Centre Executive Committee aims to ensure that all its members are aware of their obligation to disclose any conflicts of interest that they may have, and to comply with this policy to ensure they effectively manage those conflicts of interest as representatives of the Centre.

## Scope

This policy applies to all members of the Centre including Chief and Partner Investigators, other affiliated researchers, research and administrative staff and students.

## Definition of conflicts of interests

A conflict of interest occurs when a person's personal and other professional interests conflict with their responsibility to act in the best interests of the Centre.

Personal interests include direct interests, as well as those of family, friends, or other organisations in which a person may be involved or have an interest in (for example, as a shareholder or employee).

It also includes a conflict between a member's responsibilities to the Centre and another responsibility that the member has (for example, to another organisation). A conflict of interest may be actual, potential, or perceived and may be financial or non-financial.

These situations present the risk that a person will make a decision based on, or be influenced by, these other involvements, rather than in the best interests of the Centre. These situations, therefore, must be identified and managed accordingly.

## Responsibility of the Executive

The Centre Executive is responsible for:

- establishing a system for identifying, disclosing, and managing conflicts of interest across the Centre
- monitoring compliance with this policy, and
- reviewing this policy on an annual basis to ensure that the policy is operating effectively.

The Centre must ensure that its members are aware of the relevant standards, including policies of their home institutions, and that they disclose any actual or perceived material conflicts of interests.

## Identification and disclosure of conflicts of interest

A conflict of interest exists in a situation where an independent observer might reasonably conclude that the professional actions of a person are or may be unduly influenced by other interests. The perception that a conflict of interest exists is a serious matter and can raise concerns about the integrity of individuals or the management practices of the Centre, potentially undermining community trust in the research and other activities of the Centre.

Once an actual, potential, or perceived conflict of interest is identified, it must be entered into the Centre's register of interests, as well as being raised with the Executive. Where required, relevant interests may also need to be disclosed to funding bodies, research participants, publishers and journal editors, collaborators and/or the public. Participating organisations and partners may also

have interests that are relevant to individual research projects or research programs that may merit disclosure to researchers, funding bodies, research participants, publishers, and journal editors, collaborating institutions or the public.

Financial interests are most prominent in the public mind, but other interests may also be relevant, including personal, familial, professional, and organisational. Financial interests requiring disclosure include, but are not limited to:

- direct payments to the researcher, such as salary, consultancy payments, speaking fees, panel memberships
- indirect payments to the researcher, for example funding of travel, accommodation, professional development, hospitality
- payments to support research, such as funding from an industry or interest group
- company shares or options
- royalties
- directorships
- some scholarships
- operational or infrastructure support.

Disclosure may also be required when a financial interest of the kind listed above is held by a member of the researcher's immediate family. Financial interests also exist where there is a future expectation of a benefit, for example, proceeds from the sale of intellectual property arising from a project or the promise of shares in a spin-off company. When disclosing financial interests, researchers and institutions should consider the significance of the financial interest, including:

- the monetary value of the payment, gift, or interest
- the significance that a reasonable, independent observer would attach to the payment, gift or interest
- the circumstances under which a gift or payment is made, for example, if the gift or payment is a regular payment or a single instance.

Non-financial interests that require disclosure include, but are not limited to:

- board membership (even if unpaid) or other affiliation with an organisation that could stand to benefit from or be affected by the research
- personal or social relationships and current and past professional relationships, where relevant
- recent employment with, or role in, organisations with financial links or affiliations with industry groups that could stand to benefit from or be affected by the research.

If a Centre member is unsure whether they have a conflict of interest, they are encouraged, in the first instance, to discuss this with their supervisor, Node Director or other mentor.

The register of interests must be maintained by the Chief Operating Officer (Chief Operations Officer). Any conflicts relevant to the Chief Operations Officer should be reported to the Director. The register must record information related to a conflict of interest (including the nature and extent of the conflict of interest and any steps taken to address it).

## Confidentiality of disclosures

Unless otherwise specified, all disclosures should be treated as confidential, and information should be made only to the Chief Operations Officer and relevant members of the Executive who are not affected by the interest. In the case of information deemed highly sensitive, this should, in the first instance, be restricted to the Chief Operations Officer and Director (or delegates in the case where they are affected) who will then decide which members of the Executive will be involved in managing the conflict.

## Action required to manage conflicts of interest

### Conflicts of interest of Centre members

After an individual discloses their interests, the Chief Operations Officer must determine whether a conflict of interest exists.

Once the conflict of interest has been appropriately disclosed, the Executive (excluding any member who has made the disclosure, as well as any other conflicted members) must decide whether those conflicted members of Executive should:

- vote on the matter (this is a minimum),
- participate in any debate, or
- be present in the room during the debate and the voting.

In exceptional circumstances, such as where a conflict is very significant or likely to prevent a member of the Executive from regularly participating in discussions, it may be worth the Executive considering if it is appropriate for the person conflicted to resign from the Executive. Where every other member of the Executive shares a conflict, the Executive should co-opt other Chief Investigators to form an ad-hoc committee consisting of at least four unconflicted members to develop a management plan to address the conflict.

If a conflict of interest is identified, the Centre Executive must determine what measures, if any, are most appropriate to manage that conflict of interest.

These measures should be tailored to the individual circumstances and could include one or more of the following:

- requiring the public disclosure of the interests, for example when presenting or publishing the research
- involving an appropriate individual to oversee some or all of the research activity
- requiring the member to absent themselves from any deliberative decision making regarding relevant matters
- requiring the individual to play a different or reduced role in some or all of the research requiring the researcher to relinquish financial or other interests.

### Considerations when deciding what action to take

In deciding what approach to take, the Executive will consider:

- whether the conflict needs to be avoided or simply documented

- whether the conflict will realistically impair the disclosing person’s capacity to impartially participate in research activities, decision-making and the other work of the Centre
- alternative options to avoid the conflict
- the Centre’s objectives, values, and resources, and
- the possibility of creating an appearance of improper conduct that might impair confidence in, or the reputation of, the Centre.

The approval of any action requires the agreement of at least a majority of the Executive (excluding any conflicted member/s of Executive) who are present and voting at the meeting.

The action and result of the voting will be recorded in the minutes of the meeting and in the register of interests.

### Compliance with this policy

If the Executive has a reason to believe that a person subject to the policy has failed to comply with it, it will investigate the circumstances.

If it is found that this person has failed to disclose a conflict of interest, the Executive may take action against them. This may include seeking to terminate their relationship with the Centre and reporting the breach to the member’s supervisor and/or institution through the relevant Deputy Vice-Chancellor (Research).

If a person suspects that a member of the Centre has failed to disclose a conflict of interest, they must discuss this with the person in question, and, if appropriate, notify the Chief Operations Officer or Centre Director.

### Contacts

For questions about this policy, contact the Chief Operations Officer.

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>January 16, 2020</i>	<i>Draft for consideration</i>	<i>Ann Roberts</i>
<i>January 23 2020</i>	<i>Revisions</i>	<i>Ann Roberts</i>
<i>February 17 2020</i>	<i>Minor revisions</i>	<i>Ann Roberts, Mary Gray</i>
<i>10 June 2026</i>	<i>Minor revisions</i>	<i>Olga Bazaka</i>

## Centre Acknowledgement and Affiliation Policy

Status	Approved
Date of Last Revision	10 June 2026
Date of Approval	16 June 2026
Policy Approver	Centre Executive Committee
Policy Owner	Chief Operating Officer
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Next review date	[biennially]
Superseded document	NA

### Overview

The purpose of this policy is to provide consistency, in alignment with the Collaboration Agreement, to the Centre's approach to acknowledgment of the Australian Research Council and the Centre in all outputs.

### Scope

The policy applies to all Centre members and outputs that are attributable to Centre funding and/or the use of Centre resources.

### Acknowledgement of the Australian Research Council (ARC) and the Centre

The Collaboration Agreement specifies the acknowledgment requirements as follows:

#### 15.2 Acknowledgement

*15.2.1 Each Party agrees that it will acknowledge the contribution of other Parties in any publication or public disclosure made in respect of the Activities.*

*15.2.2 All publications must acknowledge the role of the ARC as a major provider of funding for the Centre as follows: "This research was supported by the Australian Research Council Centre of Excellence for Transformative Meta-Optical Systems (Project ID CE200100010)", or words to a similar effect.*

*15.2.3 The ARC's contribution and support of the Centre must be acknowledged (wherever possible) by the Parties at any time during, when the Parties or the researchers or any other party publishes, produces or is involved in promotional material, such as books, articles, television or radio programs, electronic media, social media, newsletters or other literary or artistic works which relate to the Centre itself, or the Activities.*

*15.2.4 Such acknowledgement must be in a prominent place and an appropriate form acceptable to the ARC. Similar efforts should be made when publicly speaking about a Centre. Advice on acceptable forms of acknowledgement and use of the logo is provided on the ARC's website.*

In practice, all Centre members will acknowledge the ARC and the Centre in all outputs resulting from Centre funding and resources.

## Affiliations

All Centre members, including CIs, all staff and students employed or enrolled through Centre funds or working on projects sponsored by Centre funds, will use the Centre as one of their affiliations in addition to their institution affiliation in their outputs.

The Centre affiliation is *ARC Centre of Excellence for Transformative Meta-Optical Systems (TMOS)*.

## Variations

Variations to the acknowledgement are allowable by the ARC (*'or words to a similar effect'*). It is important to ensure that the grant number is correct, and the Centre name is spelled correctly.

Centre members must aim to use both the acknowledgment and affiliation where possible.

## Logos and Branding

Acknowledgement and affiliation that requires the use of logos will adhere to the Centre brand (available upon request from the local Centre Administrator or [tmos@anu.edu.au](mailto:tmos@anu.edu.au)), ARC logo use guidelines (available online), and institutional guidelines, balanced as appropriate for the specific output.

## Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>16 Nov 2020</i>	<i>Draft for consideration</i>	<i>Chennupati Jagadish, Mary Gray</i>
<i>1 August 2023</i>	<i>Minor revision</i>	<i>Mary Gray</i>
<i>10 June 2026</i>	<i>Minor revision</i>	<i>Olga Bazaka</i>

## Partner Organisation and Investigator Policy and Procedure

Status	Approved
Date of Last Revision	10 June 2026
Date of Approval	16 June 2026
Policy Approver	Centre Executive Committee
Policy Owner	Chief Operating Officer
Document location	
Next review date	[biennially]
Superseded document	NA

### Overview

The purpose of this policy is to provide consistency in the Centre's approach to Partner Investigators (PIs) and Partner Organisations (POs). Specifically, this policy will guide appointment of new PIs and POs and outline the required steps to ratify such additions.

Additionally, this policy provides guidance for the removal of PIs and POs from the Centre.

### Scope

This policy applies to the addition and removal of Centre PIs and POs.

### Policy Principles: Criteria for a New PI

1. A significant track record relative to opportunity, regardless of career stage, that supports the Centre Objectives.
2. Improves the diversity of the existing network of PIs in alignment with the **IDEA Framework** with at least 35% of PIs being women, and an aspiration of 50%.
3. Can demonstrate their readiness to provide intellectual contributions to the work of the Centre, actively engage in Centre activities (including events), can support the exchange of students, development of postdoctoral researchers or otherwise add value to the Centre beyond the level of an AI.

### Policy Principles: Criteria for a New PO

1. Aligns with the research program and/or objectives of the Centre.
2. Provides significant in-kind and/or cash support that enables the Centre to reach its objectives, enhances the capability and direction of the Centre's research program, and builds greater capacity for the Centre's research program.
3. Demonstrated, genuine and active engagement and collaboration interest, e.g., engagement in research activity, participation on funding applications, proposal for entering a contractual arrangement.
4. The addition will not compromise the values of the Centre.
5. The addition will not compromise existing Intellectual Property arrangements and interactions with existing POs.
6. The addition will have an overall positive benefit to the Centre and its network of POs.

## New Partner Investigators

Before including an additional PI in the Centre, the consideration must include the collaboration, commitment, and benefit to the Centre beyond the level of an Associate Investigator (AI).

Including a new PI in the Centre requires a significant administrative, and usually a contractual process, so the evidence presented by the nominating Chief Investigator must provide a compelling case against the criteria.

A new PI will also require that their employer (Partner Organisation) enter a contract with the Administering Organisation if they have not already done so as part of the Centre (see New Partner Organisation).

A new PI cannot be added (unless they are a replacement PI or additional PI from an already contracted Partner Organisation) unless their employer is included as a Partner Organisation so the New PI Procedure and New PO Procedure will need to occur simultaneously.

## New PI Procedure:

1. In all cases, the nominating Chief Investigator must discuss the proposal with the Centre Directorate.
2. If the proposed PI's employer is already included in the Centre, and the Directorate endorse proceeding, provide to the Directorate:
  - a. A current CV of the applicant as appropriate to the area of expertise. For research appointments include a detailed description of the recent (5 years) research performance, including publications, grant successes, commercialisation activities, evidence of collaborative research and other information that demonstrates the research track record of the proposed PI.
  - b. A case from the nominating Chief Investigator regarding how the nominated PI improves the diversity of the existing PI network.
3. A summary of any existing engagement with the Centre, plans and intentions for enhanced engagement such as co-authored publications or co-hosted events, and an overview of the intellectual and other contributions to the Centre beyond the level of an AI. *If the proposed PI's employer is not part of the Centre, follow the procedure for the New PO below and provide the documentation at (2) above for the PI.*
4. The Directorate will review the evidence provided at (2) above to qualify suitability. The Centre Executive Committee (CEC) will be consulted for approval or rejection, including in the circumstance of a replacement PI at an existing PO.
5. University and ARC requirements will be completed in full cooperation with the Administering Organisation.
6. The New PI will be inducted into the Centre.

## New Partner Organisations

A new PO may be added to the Centre if a compelling case for inclusion is made, as per the criteria. Special attention must be given to the context of the exiting network of POs and foreign interference legislation.

A PO may be included without a PI. However, a contact person within the organisation must be established and a plan of how the relationship will be maintained needs to be outlined.

A new PO may be added when a PI moves institution, so long as this PI has a demonstrable track record of active engagement with the Centre; otherwise see 'Criteria for the Removal of Partners'.

The inclusion of a new PO must consider the following points:

- Intellectual Property (IP) ownership – shared IP arrangements is in alignment with the Centre.
- Activities with IP wholly owned by the proposed is a service arrangement, and therefore is best handled outside the Centre.
- Leverage – does including the PO in the Centre limit or enhance leveraging of cash from the PO?
- E.g., a Linkage Project or CRC-P may be more suitable for the proposed work that is being performed within the Centre, particularly if the research is not within the Centre's research program.
- Additional considerations include, social and ethical reputation, ranking (for academic institutions), university policy such as foreign interference, and legal issues.

## New PO Procedure

1. In all cases, the nominating Chief Investigator must discuss the proposal with the Centre Directorate.
2. If the Directorate agrees to proceed based on the discussion, the Chief Investigator must compile the case against the new PO criteria, with consideration for the points outlined above. If a PI is to be included, the New PI Procedure is also to be undertaken.
3. The Directorate will review the evidence provided at (2), in consultation with the Administering Organisation. The Centre Executive Committee (CEC) will be consulted for approval or rejection, including in the circumstance of a PI moving to a new PO.
4. University and ARC requirements will be completed in full cooperation with the Administering Organisation.
5. The New PO will be inducted into the Centre, via their relevant contact person.

## PI Benefits and Expectations

PIs will receive invitations to attend and/or apply to attend Centre events.

PIs will be covered by Centre funding to attend Centre events at the discretion of the Chief Investigator(s) they work with, or via Strategic Funds on a case-by-case basis.

PIs may be eligible to apply for project funding, in collaboration with CIs or their postdoctoral researchers or students, when calls are made for Strategic Fund projects.

PIs receiving Centre funding and/or other resources **must** use the Centre affiliation on all relevant publications and acknowledge the Centre on conference talks and public lectures.

PIs not receiving funding and/or Centre resources are encouraged to use the Centre affiliation and acknowledge their relationship to the Centre where appropriate.

PIs are expected to behave in a manner that exemplifies Centre values and culture, particularly when conducting Centre work and representing themselves as Centre members.

### Criteria for the Removal of Partners

1. Misconduct or breach of contractual arrangements are grounds for immediate removal from the Centre.
2. A PI leaving a PO may require removal of the PI, PO, or both from the Centre, depending on the relationship and engagement with both the PI and PO.
3. A PO may withdraw at any point per their contractual arrangements with the Administering Organisation.
4. A lack of engagement without justification e.g., no joint publications with Centre members, non-attendance to Centre events (where these are applicable), lack of engagement in Centre activities.
5. Conflict of interest, new risk, or legal matter, where the agreed management plan is to remove the partner.

Removal of partners is a relationship management, reputational management, administrative and contractual process so will not be undertaken lightly.

In the case of a PI moving to a new organisation, we must first consider replacement of the PI at the existing PO.

The Directorate and CEC must consider the level of engagement of partners annually, from year two of the Centre. If a partner is not meeting Centre expectations, then a remedy must be considered before proceeding to removal.

### Partner Removal Procedure

1. In the case of a conflict of interest/risk/legal matter/misconduct/breach of contract/PO request for withdrawal the Centre Directorate will discuss with the appropriate parties and resolve the matter in full cooperation with the Administering Organisation
2. In the case of PI movement or lack of engagement/poor performance the Centre Directorate will make a case to the CEC for decision and approval
3. Following the outcome of the CEC the Centre Directorate will initiate appropriate action via the Chief Investigator with the relationship with the PI/PO (in the case where a remedy is sought), and Administering Organisation when removal is the approved outcome.

### Document Versions

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## Associate Investigator Policy and Procedure

Status	Approved
Date of Last Revision	10 June 2026
Date of Approval	16 June 2026
Policy Approver	Centre Executive Committee
Policy Owner	Chief Operating Officer
Document location	
Next review date	[biennially]
Superseded document	NA

### Overview

The purpose of this policy is to provide consistency in the Centre's approach to Associate Investigators (AIs). Specifically, this policy will guide appointment of new AIs, and outline the required steps to ratify such additions.

Additionally, this policy provides guidance for the assessment and removal of AIs from the Centre.

### Scope

This policy applies to the addition and removal of Centre AIs and the benefits of Centre membership for AIs.

### Policy Principles: Criteria for a New AI

1. A significant track record relative to opportunity, regardless of career stage, that supports the Centre Objectives.
2. Improves the diversity of the existing network of AIs in alignment with **the IDEA Framework** with at least 35% of AIs being women, and an aspiration of 50%.
3. AIs are to bring specialised expertise to the Centre, including research but not exclusively.

### Application Procedures

1. Email submissions for a proposed AI may be made by CIs at any time to the Centre Directorate via [tmos@anu.edu.au](mailto:tmos@anu.edu.au) (ad hoc requests), in addition to a twice yearly call, and will be reviewed on a continuous basis.
2. Applications must contain:
  - a. A current CV of the applicant, including a detailed description of the recent (5 years) research performance, including publications, grant successes, commercialisation activities, evidence of collaborative research and other information that demonstrates the track record of the proposed AI

- b. A case from the nominating Chief Investigator regarding how the nominated AI improves the diversity of the existing AI network in alignment with the Policy Principles.
- c. A summary of any existing engagement with the Centre, plans and intentions for enhanced engagement, and an overview of the specialised expertise to be contributed to the Centre.

### Assessment Procedure

1. Every six months (approximately March and October) the Directorate will make a call via the CEC for AI nominations
2. The Directorate will review individual cases, including ad hoc requests, based on the Policy Principles as outlined above to qualify the applicant's suitability.
3. The Directorate will discuss nominations with the Centre Executive Committee at least twice-yearly and seek further expert advice or approval/rejection as required.
4. The new AI(s) will be inducted into the Centre.

### AI Benefits and Expectations

- AIs will receive invitations to attend and/or apply to attend Centre events.
- AIs may be covered by Centre funding to attend Centre events at the discretion of the Chief Investigator(s) they work with.
- AIs may be eligible to apply for project funding, in collaboration with CIs or their postdoctoral researchers or students, when calls are made for Strategic Fund projects.
- AIs receiving Centre funding and/or other resources **must** use the Centre affiliation on all relevant publications and acknowledge the Centre on conference talks and public lectures when describing work supported by the Centre.
- AIs not receiving funding and/or Centre resources are encouraged to use the Centre affiliation and acknowledge their relationship to the Centre where appropriate.
- AIs are expected to behave in a manner that exemplifies Centre values and culture, particularly when conducting Centre work and representing themselves as Centre members.

### Tenure and Review Process

1. The Centre will award AI status for two years.
2. At the end of tenure, the Centre Directorate will review AIs in consultation with the Centre Executive Committee and determine if the AI tenure is to be renewed or terminated. Grounds for termination include failing to use the Centre affiliation where funding has been provided, lack of engagement in Centre activities and projects, and behaviour not aligned to Centre values.
3. AIs will be notified of the outcome by the Centre Director, following the decision of the Directorate.
4. Databases and registers will be updated to reflect the changes.

### Document Versions

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## Recruitment Policy

<i>Status</i>	<i>Approved</i>
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<i>Date of Approval</i>	<i>16 June 2026</i>
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<i>Policy Owner</i>	<i>Chief Operating Officer; IDEA Committee Chair</i>
<i>Document location</i>	<i>IDEA Governance</i>
<i>Next review date</i>	<i>[biennially]</i>

### Purpose

This policy details how the Centre interacts with university recruitment policies. If there is any doubt or conflict, policies and procedures should defer to the relevant university policy.

The purpose of this policy is to ensure that we hire the best people for a vibrant Centre, filled with innovative team members; with everyone aligned to achieve the Centre vision.

We value a safe and inclusive environment where team members can thrive as we embark on our ambitious mission, and this begins with selecting the right people to be part of our team.

The recruitment policy and related procedure includes touch points with the Centre Directorate and the IDEA Committee for discussion, supportive resources, and endorsement. These touch points are intended to ensure that we operate as a Centre, consider multiple perspectives, share and build experience, and meet our Centre Objectives and KPIs, which includes 40% women postdoctoral researchers by 2026.

We aim to support the careers and success of our team through equitable and inclusive recruitment practices.

### Scope

The Recruitment Policy applies to all positions of employment funded by the Centre, including professionals, academics, and students.

This policy details how the Centre interacts with university recruitment policies. Where there is any doubt, the process defers to the relevant University's recruitment policy.

### Recruitment Methods

#### Capability-based Selection

The Centre is committed to **capability-based** selection. This is where candidates are evaluated on their professional potential directly relative to opportunity, with the goal to support hiring managers to select the right people for the Centre team.

We positively consider:

- Personal circumstances, career histories, and working arrangements.
- Time working in industry or the professions;
- Carer responsibilities;
- Impairment, psychological or medical conditions, whether temporary, episodic or permanent;
- Workplace health and safety (WHS) considerations that limited access for people conceiving or pregnant, or limited access due to impairment or injury;
- Part-time or flexible working arrangements; and/or
- Career interruptions of any description;
- Opportunities for success.

Personal circumstances and working arrangements may affect career performance and progression because they affect the overall time available for employment-related activities and the capacity to undertake certain types of activity. These, in turn, may affect productivity over time.

All of these factors contribute to our perceived accumulation of merit. Merit cannot be measured objectively as we have unconscious cognitive biases that affect how we view merit and what it means to us individually.

Therefore, Selection Committee members should evaluate and consider a holistic perspective when assessing a candidate's suitability for a role.

The impact of candidate's personal circumstances is part of a holistic assessment of the recruitment case.

This includes consideration of the following:

- Quality and impact of achievements, rather than just the quantity, rate or breadth;
- Commitment, purpose, and drive to be engaged in the advertised role;
- Stage of the applicant's career and their career trajectory;
- Impact of personal circumstances over the period of assessment; and
- Ongoing effects on productivity and achievement beyond the period directly impacted by the staff member's personal circumstances.

The Centre will consider diversity issues and may implement special recruitment measures when advertising and recruiting positions. Special measures include recruitment that is open only to certain groups inclusive of women, gender-diverse or Indigenous people.

Centre positions will be advertised with an explicit reference to equity policy and workplace flexibility, consistent with the advertising policy of the university associated with the specific position.

The Centre will implement *fit-for-purpose* induction, equipping new starters to succeed in their role and the organisation, including career planning.

The following principles apply to advertisement and recruitment for positions:

- Targeted and/or gender-neutral recruitment advertising to attract women and those from other under-represented groups will occur;
- All positions should be available at a part-time, job sharing or other flexible appointment basis, with due consideration WHS and project requirements;
- The Centre is committed to creating a family-friendly and inclusive environment designed to support all members to achieve a work-life balance;
- Recruitment statistics concerning gender equity and diversity (number of applications, interviews and offers) at each Node are to be reported to the IDEA (Inclusion Diversity Equity and Access) Committee following the completion of a recruitment cycle;
- The Centre is committed to building a pipeline of professional and research talent.

### **General and Identified Recruitment**

The CEC (Management) on 13 June 2023 announced that all recruitment of postdoctoral fellows will be advertised as identified positions (women-only) in the first instance.

*“All externally advertised TMOS postdoctoral positions are to be women-only advertisements in the first instance, and then general thereafter.”*

The identified positions may be made inclusive of all women and other gender minorities.

The University of Western Australia must use the language ‘prioritised’, in alignment with Western Australian law and university policy.

The TMOS Business Team (team@tmos.org.au) should be contacted two weeks in advance about advertising on social media and/or paid advertisements beyond the scope of the university node.

If the initial advertisement is unsuccessful then the position may be re-advertised generally.

1. Recruitment costs such as relocation and visa/immigration are to be borne by the node. ARC funds cannot be used towards these items according to the Grant Guidelines.
2. All positions should be available at a part-time (with acceptable FTE range stated in the ad), job sharing or other flexible appointment basis (e.g., compressed work week, varied hours around care duties, working from home day(s) etc.), with due consideration for WHS and project requirements. If a role cannot be offered flexibility and/or part-time it cannot be advertised as such.
3. Applicants are not to be asked about their requirements for flexible work arrangements (or FTE if a range is described in the ad) until an offer of employment is made, at which time their job offer will be adjusted if required, noting any visa requirements that may have to be met. If in doubt about such a request, the hiring manager is to consult with the IDEA Committee and their university HR team.
4. The Selection Committee must demonstrate an appropriate gender balance. Gender balance can be reached by requesting non-Centre members to participate on the Selection Committee.
5. The Selection Committee must include at least one external member from one of the nodes outside the employing university for all research appointments and for senior professional appointments HEW8 and above.

6. The Selection Committee should aim at an appropriate gender ratio when short-listing applicants. If no gender balance is achieved in the shortlist (excluding special measures) a brief report (as per your university HR requirement) will need to be provided to the IDEA Committee.
7. The Selection Committee should identify the qualities that would make for a suitable employee at the outset of shortlisting, prior to the commencement of interviews
8. The Centre is to focus on recruiting for excellence and to mitigate against the influence of both conscious and unconscious bias.
9. To retain women and those from other under-represented groups, the Centre will fund and provide a wide range of professional development and leadership opportunities as well as inclusion and diversity training.
10. To support Early Career Researcher (ECR) employment stability, postdoctoral researchers will be hired for a minimum of three years or two years extendable by one year (full time equivalent). The extension is granted following a satisfactory probation period of not more than 12 months.

### **Identified Positions (Special Measures)**

Targeted and gender-neutral recruitment advertising to attract women and those from will be undertaken for all postdoctoral positions in the first instance of advertising the role per the CEC Management Decision made on 13 June 2023. Other under-represented groups, such as Indigenous Australians and gender minorities, may be included in such an advertisement.

The Centre is committed to improving inclusion, diversity, equity and access and the promotion and retention of women and other under-represented groups.

*Where a targeted recruitment round does not result in a successful appointment, this does not preclude the Centre from advertising subsequent or other positions through an open and inclusive recruitment process available to all eligible applicants. The use and outcome of targeted recruitment rounds must be appropriately documented.*

### **Short-term appointments**

Short term or casual appointments might be unavoidable at times to meet the needs of projects in a complex world. *As the Centre is entering its final stage of operation (2026–2027), short-term appointments (12 months or less) may become more prevalent option to support continuity of critical activities, retain or recruit high-performing personnel, and meet time-limited project needs. Short-term or casual appointments may also be used to engage undergraduate students as interns for Centre-related activities.*

However, all cases for a short-term appointment (excluding undergraduate students), including the renewal of short term/casual contracts, must be discussed with the Centre Directorate for the Centre perspective and endorsement.

Nodes are responsible for their budgets, including the payment of costs incurred in hiring a staff member, such as increases in salary due to increments or promotion. Nodes are also responsible for severance pay as per their university procedures. It is the responsibility of the hiring manager to identify if the hire will incur severance at the end of their contract, and budget for this accordingly. ARC funds do not cover severance and each university has its own procedures for severance.

### **Internal Transfer**

The Centre is based on a collaboration of several universities and partners. Each participating organisation will need to recruit specialised personnel to perform the tasks associated with the research and strategic plans. Occasionally, staff or students may seek transfer between nodes for various reasons.

The Centre Directorate needs to ensure that such situations are handled fairly and transparently, in collaboration with the relevant CI(s), staff or student, and their university administration.

Affected personnel are to contact [tmos@anu.edu.au](mailto:tmos@anu.edu.au) in the first instance.

### **Direct Appointments**

This pertains to long term (12 month or longer contracts) direct appointments, otherwise see the section on short term appointments.

Prior to initiating the university process for direct appointments, the hiring manager must present the Centre Directorate with the candidate's CV and a brief message explaining the requirement for a direct appointment, including consideration of the IDEA Framework.

After discussion and endorsement by the Directorate, the hiring manager can follow their university-based process for the appointment. If an interview is required for the direct appointment there should be a Chief Investigator from a node external to the hiring institution on the interview panel.

### **Student Recruitment**

Research students are an integral part of the Centre's success. Each node will recruit candidates to undertake PhD degrees through the life of the Centre, some of whom will be awarded stipends from the Centre.

Like other recruitment, these will be capability-based appointments, particularly where Centre funded-stipends are concerned.

Diversity must also be firmly in mind as HDR students create the pipeline for future research, industry, and other professional workforces.

### **Recruitment Costs**

Nodes are responsible for their budgets, including the payment of costs incurred in hiring a staff member, such as increases in salary due to increments or promotion. Nodes are also responsible for severance pay as per their university procedures. It is the responsibility of the hiring manager to identify if the hire will incur severance at the end of their contract, and budget for this accordingly. ARC funds do not cover severance and each university has its own procedures for severance.

## Glossary

**Bias:** Favourable or unfavourable attitudes, or beliefs about a group that informs how we perceive, interact, behave toward the group that are automatically activated.

**Conscious bias:** or Cognitive bias is a type of bias that we are aware of and can be assessed.

**Flexible work arrangements:** Alternate arrangements or schedules from the traditional working day and week. An example is starting work at 10AM and finishing at 6PM

**Gender diverse:** An inclusive umbrella term that describe people whose gender is different to what was presumed for them at birth.

**Gender neutral:** Something is not associated with either women or men.

**Gender equity:** Provision of fairness and justice in the distribution of benefits and responsibilities between all genders.

**IDEA committee:** A subcommittee in TMOS that reports to the CEC with recommendations on how to make the centre more Inclusive, Diverse, Equitable, and Accessible.

**Postdoctoral researchers:** Someone conducting research after the completion of their doctoral studies.

**Recruitment cycle:** A full cycle recruitment process involves six main stages: preparing, sourcing, screening, selecting, hiring, and onboarding.

**Selection committee:** A group of people who will be on the interview panel assessing the candidate.

**Unconscious bias:** or Unconscious cognitive bias operate outside your awareness and control. They can be difficult to assess and be aware of.

**Visa requirements:** every visa in Australia comes with it, conditions that have to be adhered to, these can include how long they can work for a company, how many hours they can work or how long they can be in the country for.

## Document Versions

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## Recruitment Procedure

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### Purpose

This procedure details how the Centre interacts with university recruitment procedure. If there is any doubt or conflict, policies and procedures should defer to the relevant university policy and procedure.

All recruitment activity in the Centre must abide by this procedure.

### Analyse Need

#### Appointment identified

- The need for appointment is identified from the strategic plan or the budget, or on nomination due to a target of opportunity.
- The hiring manager is to contact [tmos@anu.edu.au](mailto:tmos@anu.edu.au) when they first become aware of their hiring need. The Centre can deploy appropriate resources to support recruitment activities when given notification.
- The Centre Directorate (Director, Deputy Director and Chief Operations Officer) must also be informed of recruitment outcomes.

#### Position description

- The research position description is developed by the hiring manager, in consultation with the relevant Theme Co-Leader(s) following the University's procedures and templates.
- For professional staff, the position description must be developed by the hiring manager and Chief Operations Officer following the University's procedures and templates.
- The Centre Directorate (Director, Deputy Director and Chief Operations Officer) must be informed of recruitment ([tmos@anu.edu.au](mailto:tmos@anu.edu.au)).
- The IDEA Officer will be available to provide feedback, in addition to the employing university process – especially on avoiding gendered language for key selection criteria.

## Attract

### Advertising

- All postdoctoral positions must be advertised as women-only or women-prioritised (Western Australia) in the first instance. Women-only (otherwise known as special measures or identified recruitment) can be inclusive of other gender minorities, and/or Indigenous Australians, in alignment with university policy. Support from the Business Team for broadcasting these advertisements may be requested in writing, with two weeks' notice, to team@tmos.org.au.
- Node Directors and hiring managers are responsible for internal HR procedures involving hiring approval, grading, and advertising within their own University.
- All positions are to be advertised as being available flexibly, either part time or full time (with acceptable FTE range stated in the ad), job sharing or other flexible appointment basis (e.g., compressed work week, varied hours around care duties, working from home day(s) etc., unless there are WHS requirements or **strict** project delivery requirements. If a project cannot be offered on a part-time or flexible basis, do not advertise it as such.
- Hiring managers commit to working with their institutional equity, diversity, and inclusion representatives at their employing universities and via the IDEA Committee to explore recruitment avenues under-represented groups, including Indigenous HDR students and staff.
- The hiring manager is to send a link to the published ad(s) to the Centre Directorate and Chief Investigators to distribute through their networks and to share on social media accounts.
- Either of the following **standard wording** must be used in all Centre job adverts:

*1) The ARC Centre of Excellence for Transformative Meta-Optical Systems (TMOS) brings together five Australian and 13 leading international universities as well as Australian and global companies to create entirely new optics-based technologies with enormous market potential.*

*TMOS will develop the next generation of miniaturised optical systems with functionalities beyond what is conceivable today. By harnessing the disruptive concept of meta-optics, the Centre will overcome complex challenges in light generation, manipulation and detection at the nanoscale.*

*The Centre brings together a trans-disciplinary team of world-leaders in science, technology and engineering to deliver scientific innovations in optical systems for the Fourth Industrial Revolution.*

*As a Centre, we strongly believe that diversity improves ideas and innovation and leads to better outcomes and productivity. Diversity and fostering a culture of inclusiveness will be a key contributor to the scientific excellence of TMOS. Along with other initiatives, we will provide carer grants to support our centre members with caring / family responsibilities to participate in professional activities.*

*TMOS aims to develop a multidisciplinary, dynamic, interactive and collaborative culture fostering future research leaders who thrive in academic excellence and are equipped with strong transferable skills. The Centre will also offer a mentoring program for early career researchers*

*while providing opportunities to hone other skills such as outreach, industry engagement, and building international networks.*

**OR**

*2) TMOS, the ARC Centre of Excellence for Transformative Meta-Optical Systems, unites five Australian and 13 leading international universities along with global companies to pioneer innovative optics-based technologies with vast market potential.*

*Leveraging meta-optics, TMOS will create miniaturized optical systems surpassing current capabilities, addressing nanoscale challenges in light generation, manipulation, and detection.*

*We firmly believe in the power of diversity to enhance creativity, innovation, and productivity. Fostering an inclusive culture is integral to achieving scientific excellence. Which is why we continually strive for gender equality and equity – read more [here](#)*

## Assess and Select

### Selection Committees

- Selection Committees must include members from a diversity of backgrounds and experience and reflect gender balance and include a representative from another node.
- The Selection Committee for research recruitment must include a Theme Co-Leader or their delegate as a member.
- Selection Committee members are required to complete the unconscious bias awareness training that is available at their node, or have attended a Centre training session, within the last two years.
- Where possible, when multiple roles are being simultaneously advertised at different nodes, there should be independence of the selection committees to prevent a conflict of interest.

### Candidate interviews

- If panel members have any conflict of interest that prevents them reviewing the candidates, then the conflicted party should be removed from discussions and decision-making where the conflict occurs. Advice can be sought from the Chief Operations Officer and the IDEA Committee.
- Shortlisting, interviews and ranking of candidates proceeds as per internal university policy. It is strongly recommended that longlisting and shortlisting is done individually by panel members *before* the selection panel discussion to avoid group bias.
- The Selection Committee should aim at a gender balance when short-listing candidates. If the shortlist gender balance is not achievable (excluding special measures) a report will need to be provided as described in the **Data Collection** section. This report may be a copy of any similar report required by HR at the recruiting node.

### Making an offer

- When a preferred candidate has been identified and agreed to by the panel members an offer can be made according to the employing university policies. At this time, candidates must be notified of their flexible work options.

- The IDEA Committee will be available for any advice required on negotiations, level of appointment and length of term.
- Once a candidate is satisfied with the terms of employment a formal offer of employment should be prepared for their consideration as per host university procedures.
- If a candidate formally accepts the position, the hiring manager notifies the Centre Directorate Team (Director, Deputy Director and Chief Operations Officer) of their acceptance and start date. The hiring manager will also keep the Node Director and Theme Leader informed on this.
- If a candidate has applied to multiple positions and an offer is made to this candidate for multiple positions, they will have the option to decide the position they accept. The various selection committees must not collude to make one offer per person, nor share information during negotiation, as this is a conflict of interest.

### **Flexible Terms**

The terms of employment must be confirmed at the time the job offer is made, and it is to be included in the employment contract.

### **Amendments to terms**

Applications to amend the terms of employment from part-time to full-time or full-time to part-time will be actively considered on an individual basis and subject to budget considerations and University policies.

### **Position not filled**

- If a preferred candidate declines an offer, reserve candidates should be approached as per university policy.
- If there is no suitable candidate, the hiring manager must contact the IDEA Officer.

## **Onboard and Evaluate**

### **Onboarding and Induction**

When an offer has been accepted, the onboarding can commence. Node admins are to send out the welcome email which includes a number of forms to be completed, we also use this opportunity to capture useful data that allow us to measure diversity.

Following this, the node admin will send an email to the Centre Directorate welcoming the new starter to the centre.

In the new starters first week, they will be sent an induction workbook which provides an in-depth overview of the centre, how we operate and the ways in which we aim for a diverse and inclusive environment.

### **Data Collection**

For the purposes of continuous improvement and evaluation of policies, hiring managers are expected to supply the following information:

- Notice of hire, including selection panel membership to the Directorate
- Outcome of recruitment process, recorded via the Recruitment Data Collection Form
- If you were unable to shortlist gender balance (excluding special measures), send a report to the IDEA Officer.

## Glossary

**Gender minority:** a demographic whose sexual identity, orientation or practices differ from the majority of the surrounding society.

**Group bias:** is the tendency for people to give preferential treatment to others who belong to the same group that they do.

**Job advert:** External content used to attract talent to an organisation, its aim is to provide an overview of the role and the organisation the role sits within

**Position description:** an internal document used by those involved in the recruitment process, it outlines the role and responsibilities as well as they key selection criteria

**Selection committee:** A group of people who will be on the interview panel assessing the candidate.

**Unconscious bias:** or Unconscious cognitive bias operates outside your awareness and control. They can be difficult to assess and be aware of.

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<i>Aug 8 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>Aug 1 2020</i>	<i>Revisions</i>	<i>Madhu Bhaskaran</i>
<i>July 29 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>

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<i>July 12 2020</i>	<i>Revisions</i>	<i>Madhu Bhaskaran</i>
<i>July XX 2020</i>	<i>Revisions</i>	<i>IDEA@RMIT Helen Boyd</i>
<i>May XX 2020</i>	<i>Draft for consideration</i>	<i>Derived from CAASTRO by Mary Gray, Melissa Drum</i>

## Participation and Inclusion Policy

Status	Approved
Date of Last Revision	20 April 2026
Date of Approval	19 May 2026
Policy Approver	Sharyn McFarlane (Chief Operations Officer) & <a href="#">Madhu Bhaskaran</a> (CI & IDEA Committee Director)
Policy Owner	Chief Operations Officer
Document location	IDEA Governance
Next review date	[biennially]
Superseded document	NA

### Purpose

The purpose of this policy is to provide expectations and guidance for Centre leadership and Centre members on the minimum standards for ensuring that we reduce the barriers to workplace participation and inclusion and build community in alignment with the Centre IDEA Framework.

### Objective

To create and maintain an inclusive workplace where all Centre members can participate to the full – as STEMM is for everyone!

### Scope

This Centre policy applies to all Centre members, activities, events, and places of work.

Where a conflict arises between this policy and University policy, the University policy has precedence.

### Where and how does this policy apply?

#### Planning

- When scheduling an activity reasonable consideration must be made for Australian school holidays, university teaching periods, Federal, State and Territory public holidays, and major cultural observations.
- Reasonable considerations must be made for accessibility including geographic location, visual impairment, hearing impairment, neurodiversity, and physical disability.

#### Meetings

- Acknowledgement of Country must be made in all minuted meetings. If comfortable, Acknowledgement of Country can be made in native language/mother tongue.
- Local meetings must be scheduled within reasonable business hours and accommodate carer activities of meeting attendees.

- Centre meetings, team meetings, and local events should be held between 10:00am and 4:00pm.
- Online meetings should remain an option.
- If the meeting organiser is unsure about the availability of attendees and their carers activities, they should ask rather than assume
- Centre-wide online meetings should be held with respect to Australian time zones to ensure that members from Western and Eastern Australia can fully participate.
- Members participating in meetings are to be provided meeting documents in advance of the meeting and read these.
- Meeting Chairs are expected to take reasonable steps to ensure that all attendees have their say, and that fair expectations about meetings are set in advance (such as no interruptions).
- Centre meetings from all sub-Committees must be minuted.

### **Seminars**

- Centre seminars, including Colloquia, must be monitored for diversity to ensure a range of speakers and role models are visible to Centre members.
- Seminars that are presented on Australian land, whether in-person or remote, must Acknowledge Country.
- Seminars must be scheduled within reasonable business hours, ideally with respect to Western and Eastern time zones. Where this is not possible, recordings will be made available with the speaker's permission, and the meeting host should offer to take any questions from those unable to attend.
- In-person seminars will usually be available in hybrid mode so that Centre members across Australia can attend.
- Seminars will be recorded and can be accessed upon request

### **Events – Internal Conferences and Workshops**

- The Welcome to Country ceremony must be performed. When budget is not available, an Acknowledgment of Country is sufficient
- All efforts must be made to ensure a diverse range of speakers are presenting.
- Programs are to be endorsed by the IDEA Officer.
- All efforts must be made to ensure a diverse range of members are volunteering to contribute their time, where this is required.
- Centre-run events will be held at locations that allow Centre members to fully participate in their role. This means:
  - Centre members, if required, can bring a Support Person or their dependents (Dependent Child and/or Dependent Adult) and caregiver(s) (Primary Carer or Person with Care) and be allocated suitable family accommodation, including those that are Sole Carers.
  - The additional financial costs of support person or dependent attendance at the event will normally be borne by the Centre member unless:
    - The member is awarded a Centre Carers Grant, or
    - The node university pays for expenses within their university policy and ATO regulations, such as through a node Carers Scholarship.

- The additional financial costs, such as childcare, of the Centre member's attendance at the event without their dependents may be supported via:
- The award of a Centre Carers Grant, or
- The node university pays for expenses within their university policy and ATO regulations, such as through a node Carers Grant.
- The Centre will offer online tickets to conferences and workshops.
- Nodes are encouraged to host local 'watch parties' and provide appropriate local social opportunities.

### **Events – External Conferences and Workshops**

Established and senior career researchers as public figures, have a role to play in ensuring that diversity, including gender, ethnicity, and geography, are considered in speaking roles at events. Another aspect of this to also consider the personal and organisational reputational risk of presenting at events that are not sufficiently diverse.

To this end:

Chief Investigators and senior researchers are to conditionally accept speaking invitations. For example:

*"I accept this invitation, conditional on there being a diverse range of speakers represented at this event."*

or

*"I accept this invitation upon seeing the diversity policy of the event."*

If diverse representation becomes an issue at this event, you can request that the organiser rectify this immediately while it is in the organisational stage or request that pledge to do so for the next conference, for example

*"I have become aware that the confirmed speakers at this event do not represent the diversity of our discipline. What actions are you taking to prevent this from happening next time (or is there time to address this now?), as beyond fairness and equity we must consider both the reputational risk to speakers, such as myself, and to this event if nothing changes."*

The Centre does not wish to limit opportunities for emerging researchers based on diversity. The Centre member may notify the IDEA Officer with their concerns for appropriate follow up.

All nodes must support their Centre members to engage in professional development activities, including conferences and events that require travel.

This support includes node-based Carers Grants, or any other university policy supported process, to enable students and staff to travel in support of undertaking their role.

If a Centre member does not feel supported to undertake their role, they may contact the IDEA Officer or the Chief Operating Officer.

## Events – Local

- All nodes are expected to regularly schedule social events between 9:30 am -3:30 pm during weekdays and must include a regular student and researcher community meeting.
- All nodes are expected to schedule additional local events during the year with sufficient notice given to Centre members, and an opportunity to include family members in at least one event annually.
- These events may require financial contributions from Centre members and guests to attend, with waivers on a hardship basis.

## Carer/Travel Scholarship

The Centre recognises that caring responsibilities present major barriers in the undertaking of a Centre member's role and participation in professional development.

The TMOS Carer scholarship aims to remove the extraordinary financial barriers that members (particularly sole carers, primary carers, and persons from minoritised and underrepresented groups) face when participating in professional development events, such as external training and conferences. It also aims to support center members who incur additional financial costs due to caring responsibilities to undertake their role.

To read more on the guidelines for the grant please refer to TMOS [Carer Scholarship Policy](#) or to apply click [here](#).

## Glossary

**Inclusion** – The act of creating an environment in which any individual or group will be welcomed, respected, supported and valued as a fully participating member. An inclusive and welcoming climate embraces and respects differences.

**Participation** – At the most basic level, participation means people being involved in decisions that affect their lives. Through participation people can identify opportunities and strategies for action, and build solidarity to effect change.

**Support Person** - means any person whether a paid professional, volunteer, family member, friend who accompanies a dependant in order to help with communications, personal care or medical needs or with access to goods or services.

**Dependent Child** – is a person under 16 years of age

**Dependent Adult** – is a person over 16 years of age that requires assistance from another adult as they are unable to protect their own interests and/or unable to adequately meet their own essential needs.

**Primary Carer** - the person with the most responsibility for as a function of time spent on supporting daily living activities and meeting the essential needs of a dependent child or adult..

**Person with Care** – the person with equal shared or lesser time commitment on supporting daily living activities and meeting the essential needs of a dependent child or adult.

**Sole Carer** – a person with sole responsibility for supporting daily living activities and meeting the essential needs of a dependent child or adult.

### Contact

For questions about this policy or other related support please contact [team@tmos.org.au](mailto:team@tmos.org.au) addressed to the current IDEA Officer.

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>14 October 2022</i>	<i>Initial Draft</i>	<i>Mary Gray</i>
<i>18 October 2022</i>	<i>Minor Revisions</i>	<i>Madhu Bhaskaran, Mary Gray</i>
<i>20 October 2022</i>	<i>Minor Revisions, examples</i>	<i>Mary Gray</i>
<i>15th April 2024</i>	<i>Minor Revisions</i>	<i>Eleanor Luond</i>
<i>24 April 2026</i>	<i>Minor Revisions</i>	<i>Eleanor Bowels</i>

## TMOS Carer Scholarship Policy and Procedure

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>30 May 2024</i>
<i>Date of Approval</i>	<i>4/06/2024</i>
<i>Policy Approver</i>	<i>CEC Management</i>
<i>Policy Owner</i>	<i>Chief Operating Officer</i>
<i>Document location</i>	<i>IDEA Governance</i>
<i>Next review date</i>	<i>4/06/2026</i>

### Purpose

The Centre is dedicated to the implementation of the IDEA Framework and its associated policies and procedures, and the appropriate, transparent, and impactful expenditure of the IDEA annual budget.

The Centre recognises that caring responsibilities can present major barriers in the undertaking of a Centre member's participation in TMOS related professional development.

This policy, referenced in the Participation and Inclusion Policy, is in support of Centre members who incur additional financial costs when undertaking TMOS professional development events due to their own carer needs or the care needs of their dependents.

### Objective

To remove the extraordinary financial barriers that members (particularly sole carers, primary carers, and persons from minority and underrepresented groups) face when participating in professional development events, such as TMOS related external training and conferences.

### Scope

The scholarship can be used for activities organized by the centre for its members. It operates within Australian Tax Office (ATO) regulations and rulings, adheres to university policy, and only supports expenditure that would meet the 'reasonable person test'.

### Definitions we use for this policy

- **Sole Carer** – a person with sole responsibility for supporting daily living activities and meeting the essential needs of a dependent child or adult.
- **Primary Carer** - the person with more responsibility as a function of time spent on supporting daily living activities and meeting the essential needs of a dependent child or adult.
- **Person with Care** – the person with equal shared or lesser time commitment on supporting daily living activities and meeting the essential needs of a dependent child or adult.
- **Dependent Child** – is a person under 16 years of age

- **Dependent Adult** – is a person over 16 years of age that requires assistance from another adult as they are unable to protect their own interests and/or unable to adequately meet their own essential needs.
- **Minority and underrepresented groups** –Women, Indigenous Australians, LGBTQIA+ persons, and disabled persons.

## Carer Scholarship Guidelines

- The Centre commits to \$10,000 per annum over the life of the Centre (\$70,000) to fund Scholarships for Centre members. This allocation will be reviewed annually.
- Scholarships will normally be open for applications approximately 12 weeks before a Centre conference or 2 weeks before a workshop.
- Scholarships will not be more than \$1,000 (2023).
- Applicants do not need to request permission from their supervisor to apply for the Scholarship.
- All Centre members (excluding AIs, PIs) can apply to the Scholarship.
- Applications will be reviewed by the IDEA Committee.
- Scholarships will be prioritised for funding based on need and the role to be performed at the event.

When we talk about the **need** (which is weighted at 80%) we prioritise this as the following:

- A. Sole carers of Dependent Children or Dependent Adults
- B. Students, interns, those in casual roles
- C. Early Career Researchers (Academic A-B), those on part-time (less than 0.8 FTE) appointments, professional staff below HEW8/ANU08
- D. Mid-career and senior researchers (Academic C-E), including Chief Investigators and professional staff HEW8/ANU08 or above
- E. Primary Carers are prioritised over Persons with Care, and persons from minority and underrepresented groups are prioritised above other demographic groups.

When we talk about the **role** (which is weighted at 20%) we prioritise this as the following:

- A. Service such as organisation and management of the event
  - B. Speaking at the event, including workshops
  - C. Presenting a poster at the event
  - D. Attending the event
- Applicants are required to answer honestly to the best of their knowledge, their demographic details, their caring situation, their carer stage, role in the Centre, their anticipated role at the event, and agree to complete a short survey following the event to assess the merit of this Carers Scholarship program
  - Applicants understand that the information they provide will be used for the purposes of assessing scholarships, and for no other purpose.
  - Applicants have the option of sharing their application with their Node Director should they be unsuccessful through this program.

- Applications will be reviewed and selected by a sub-group of the IDEA Committee using the criteria set out above.
- Successful applicants are awarded a Scholarship, which may or may not occur income tax. It is the recipient's personal responsibility to report their Scholarship to the ATO, if required, and seek independent advice from a registered tax agent if needed.
- Unsuccessful applicants will have the option to be referred to their Node Directors for support within their university policies, in alignment with the Centre's Participation and Inclusion Policy.
- There is no limit on the number of times a person applies, or the number of successful Carers Scholarships a Centre member can be awarded.
- Applicants will be informed of the decision 2-4 weeks from the date of application.
- The funds will be delivered to you by direct bank transfer
- By accepting this scholarship, you agree to using the scholarship appropriately
- If there is a change in circumstances after approval of the funding, meaning that the funding is no longer required for the proposed activity, the applicant must immediately notify TMOS. Applicants will be advised if they are still eligible for the Travel Scholarship.

#### **Type of costs covered may include:**

Scholarships are available for reasonable costs relating to care of dependants where existing care arrangements are not available. These may include:

- Travel costs and expenses for the dependant
- Additional care costs:
  - Travel costs for a relative or other person to accompany the applicant and care for the dependent while the applicant is working
  - Hire of a carer at the location of the work commitment
  - Hire of a nurse or carer while the applicant is traveling for work

For questions about this policy or other related support please contact [team@tmos.org.au](mailto:team@tmos.org.au) addressed to the current IDEA Officer.

#### **Document Versions**

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
30 May 2024	Policy created	Eleanor Luond

## Centre Strategic Fund Policy

<i>Status</i>	<b>Approved</b>
<i>Date of Last Revision</i>	21/11/2025
<i>Date of Approval</i>	02/12/2025
<i>Policy Approver</i>	Centre Executive Committee
<i>Policy Owner</i>	Centre Directorate
<i>Document location</i>	
<i>Next review date</i>	30 June 2027
<i>Superseded document</i>	NA

### Purpose

The purpose of the Centre Strategic Fund is to support Centre mission-critical initiatives that achieve the Centre objectives and approved activities in the Centre Legacy Impact Roadmap.

The Strategic Fund Falls into these categories:

- **Collaboration Funding:** The Fund will support the Cross Node Exchange Program and the Partner Investigator Travel Award. The Cross-Node Program will be allocated \$35,000 per annum in 2026, 2027. The Partner Investigator Award will be allocated \$25,000 per annum in 2026, 2027.
- **Researcher Professional Development Program:** \$10,000 per annum in 2026, 2027 to be allocated to a competitive scheme that awards five grants per year to TMOS-funded researchers for their professional development, excluding academic conferences.
- **Sponsorship Funding:** Up to \$10,000 per annum to be used by Directorate approval for Sponsorships
- **Board Member Travel:** Up to \$20,000 per annum to be used by Directorate approval for ISAC or CAB members for travel to TMOS conferences and meetings
- **Legacy Roadmap Funding:** All other funding will be utilised to enhance the impact of the Centre per the recommendations from the Impact Legacy Roadmap. Changes require endorsement by the Centre Advisory Board, followed by CEC – Research Approval.

### Funding

The Centre Strategic Fund is funded by a \$100,000 per annum contribution from the Centre operational budget.

**Additional contributions will be made from:**

- Australian Research Council Indexation Funds.
  - Indexation Funds are the funds remaining after allocating budget toward operational expenses

- Chief Investigator Professor Francesca Iacopi's remaining funding allocation.
- Unallocated funding from Collaboration, Researcher Professional Development, Board Member Travel, and Sponsorship funding.

### **Distribution of Funds (See collaboration agreement)**

- ***Funding unallocated as of 30 June 2027 will be evenly distributed to each Chief Investigator by 30 Aug 2027.***
- **From the Collaboration Agreement**

#### **From the Collaboration Agreement**

##### *Strategic Funded Projects*

***Centre Strategic Fund Allocation*** means an allocation of discretionary funding held by the Administering Organisation for future strategic Activities.

***Strategic Funded Project*** means a project forming part of the Activities that has not been included in the Centre Proposal but will be funded from the Strategic Fund.

***Strategic Fund*** means funds made available to the Centre as a result of indexation, plus any introduced funds.

*Clause 2.5.2: Projects not specified in the Centre Proposal that will be funded from the Strategic Fund must be:*

- approved by the Centre Executive Committee;*
- the agreed terms specified in a Project Agreement (substantially in the form of Schedule 3);*
- the Project Agreement approved by the Administering Organisation; and*
- be undertaken in accordance with the Project Agreement.*

*Clause 4.1.12 If the Administering Organisation receives any additional ARC Funds from the ARC over and above the total amount specified in Schedule 2 on account of indexation (Indexed Funds), the Centre Executive Committee will determine how those funds will be used.*

*Clause 4.1.13 Strategic Funds will be comprised of any introduced funds contributed by a Party(s), Partner Organisation(s) or other sources, and will be allocated by the Centre Executive Committee as it sees fit.*

*Clause 4.1.14 The Centre Executive Committee may decide that a proportion of the funds should be used to fund strategic initiatives of the Centre or to fund Strategic Funded Projects (Centre Strategic Fund Allocation).*

*Clause 4.1.15 The Administering Organisation will advise the Centre Executive Committee of the size of the Strategic Funds upon the reasonable request of the Chief Operations Officer.*

### **Reporting:**

Eligible Organisations receiving Strategic Funds are required to provide a separate financial statement to the Administering Organisation regarding the expenditure of the funding.

## Termination

The Strategic Funding will be maintained until the end of the Centre.

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>18 May 2020</i>	<i>Draft for consideration</i>	<i>Mary Gray</i>
<i>22 May 2020</i>	<i>Revision</i>	<i>Mary Gray</i>
<i>25 May 2020</i>	<i>Revision</i>	<i>Dragomir Neshev and Ken Crozier</i>
<i>22 June 2020</i>	<i>Revision</i>	<i>Mary Gray</i>
<i>29 June 2020</i>	<i>Revision</i>	<i>Mary Gray</i>
<i>7 July 2020</i>	<i>Revision</i>	<i>Dragomir Neshev</i>
<i>8 July 2020</i>	<i>Revision</i>	<i>Mary Gray</i>
<i>13 July 2020</i>	<i>Revision</i>	<i>Laurie Faraone and Dragomir Neshev</i>
<i>12 Nov 2020</i>	<i>Minor Revision</i>	<i>Mary Gray</i>
<i>4 July 2023</i>	<i>Revision</i>	<i>Mary Gray</i>
<i>4 June 2024</i>	<i>Revisions</i>	<i>Sharyn McFarlane</i>
<i>25 Sep 2025</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>21 Nov 2025</i>	<i>Minor revisions to guidelines</i>	<i>Hoe Tan, Ann Roberts, Mary Gray</i>

## Guideline: Centre Research Program Manager

- Owner: Chief Operations Officer
- Approved: CEC 26/10/2021
- Review Date: 26/10/2023

### Eligibility and Summary

All TMOS Postdoctoral Fellows/Researchers are welcome to apply to become formally recognised at TMOS Research Program Managers.

Research Program Managers lead, coordinate, and implement project management of the research programs in each of the three scientific themes of TMOS under the guidance and mentorship of the Theme Leaders.

### Context

TMOS has three Research Themes – Generate, Manipulate and Detect. Each Research Theme has two co-leaders, called Theme Leaders, who are Chief Investigators.

Each of the three Research Themes has two or three programs, aimed at meeting the overall scientific objectives of TMOS. The eight programs have several goals and milestones that need leadership and oversight for implementation.

The Theme Leaders will work closely with the Research Program Managers.

### Duties and Expectations

- Report to the Theme Leaders quarterly on progress of assigned programs
- Plan and coordinate with relevant researchers, including students, on activities under the assigned sub-theme
- Plan, organise and lead sub-program workshops and internal seminars
- Participate in the community of practice formed by peer Program Managers
- Use the Smartsheets project management tool to develop, report on, and update strategy routinely
- Present on the sub-theme at the TMOS conference and once per annum during a Science Meeting
- Identify opportunities for further collaboration in alignment with achieving overall Theme goals
- Identify potential risks and problems and escalate matters appropriately to Theme Leaders
- Remain informed on matters regarding IP and commercialisation
- Demonstrate leadership in IDEA matters by supporting participation and inclusion for all team members

### Term

Two years, with possibility of extension.

## Support

Supervisors of Research Program Managers will:

- Enable 10% FTE to be dedicated to program leadership activities
- Pay for professional development to the value of up to \$2,000 (50% by Node and 50% Centrally) over two years to support development and growth (e.g., Agile project management education)
- Ensure that the Research Program Managers has an active and meaningful career plan in place and discuss with Theme Leaders to enable opportunities identified therein.

Theme Leaders are to select and recommend up to eight Research Program Managers, following an EOI process. They will be approved by the Centre Executive Committee (CEC). The Theme Leaders may select Deputy Research Program Managers to allow for succession planning and up-skilling. Deputy Research Program Managers will also be approved by the CEC.

## Guideline: Centre HDR Program

**Owner:** Professor Lan Fu, Director Education

**Approved:** CEC 26/10/2021

**Review Date:** 12 June 2026

### Definitions

*Centre supported HDR Students (HDR students or Centre students)* are inclusive of Masters (MPhil) and PhD students that are paid directly from Centre funds (e.g., stipend and/or top up) and those that are working on projects that are supported by Centre funds.

*Centre funds* include ARC cash, university cash and university in-kind funds.

### Scope

TMOS supported HDR supervisors and students are expected to follow each enrolling university's HDR policies.

Additionally, the supervisors of Centre supported students are required to follow the Centre guidelines to implement and promote our multidisciplinary, interactive, and collaborative culture.

### Administrative Requirements

HDR students are to be recorded in the Centre member database, website, and HDR student register, including IP assignment, enrolment date, supervisor, external supervisor, and project details for approval by the Centre Executive Committee. Details will be collected quarterly by Node Administrators. Supervisors and students are to respond in a timely manner.

HDR students' milestone seminars, such as confirmation, mid-term and final seminars, must be announced and open to all Centre members. The supervisor must announce seminar details on Slack and/or announce these in a Science Tuesday. The Node Administrator can email the details to Centre members broadly or in a targeted manner at the request of the supervisor and/or student.

### Supervisory Requirements

The supervisory panel should have at least one supervisor from an external node for students enrolled in 2021 onward. The *external supervisor* can be a CI, AI, PI, Centre research staff, or other suitable collaborator (directly and actively involved in the student's research).

All panel members, in particular the external node supervisor, must make a conscious effort to meet and discuss the student's progress at least twice a year, including to attend all key milestone reviews of the student.

All HDR students are expected to attend and actively contribute to the Centre organised activities and events, research seminars, colloquia, conferences, academic and career related skill training workshops. Their participation in the Centre beyond research will be reviewed during the panel meetings.

## COMMITTEE TERMS OF REFERENCE

## Centre Advisory Board – Terms of Reference

<i>Status</i>	<b>Approved</b>
<i>Date of Last Revision</i>	7 July 2021
<i>Date of Approval</i>	15 July 2024
<i>Policy Approver</i>	Centre Executive Committee
<i>Policy Owner</i>	Centre Directorate
<i>Document location</i>	TMOS Drive\1 TMOS Governance\ CAB
<i>Next review date</i>	[biennially]
<i>Superseded document</i>	NA

### Background

The ARC Centre of Excellence for Transformative Meta-Optical Systems (TMOS) is a \$35 million research initiative of the Australian Government. The Centre aims to develop the next generation of miniaturised optical systems with functionalities beyond what is conceivable today. By harnessing the disruptive concept of meta-optics, the Centre will overcome complex challenges in light generation, manipulation and detection at the nanoscale. The Centre brings together a trans-disciplinary team to deliver scientific innovations in optical systems for the Fourth Industrial Revolution. The research outcomes of the Centre will underpin future technologies, including real-time holographic displays, artificial vision for autonomous systems to see the invisible, wearable sensing devices and ultra-fast light-based WiFi.

### Purpose

The purpose of the Advisory Board is to assist Centre management by contributing to the development of strategies and vision for the future relative to the proposed goals and objectives of the Centre, and by serving as a vehicle for creating better linkages between academia, industry and government.

The Advisory Board must offer advice to the Centre Director, senior leadership of the Centre, and the Administering Organisation regarding the strategic research focus of the Centre, the structure and general operating principles of the Centre, and intellectual property and commercialisation management.

From the Collaboration Agreement

#### 6.5 Centre Advisory Board

*6.5.5 As soon as possible after the Commencement Date, the Parties will establish the Centre Advisory Board in accordance with the Centre Proposal, the Grant Agreement, this Agreement and the Governance Framework.*

*6.5.6 The Centre Advisory Board will comprise:*

- a) The Centre Director;*
- b) The Chief Operating Officer (acting as secretary);*

- c) *A Chair who is not a Party; and*
- d) *Additional external members with expertise in areas such as training and education, defence-related research, commercial research activities, media and communications and skills relevant to the needs of the Centre, as appointed by the Centre Executive Committee.*

6.5.7 *The Advisory Board will be responsible for:*

- a) *providing strategic advice to the Centre Executive Committee regarding the research focus of the Centre, the structure and general operating principles of the Centre, and intellectual property and commercialisation management;*
- b) *overseeing and commenting on matters of strategic direction in the conduct of research and other Activities of the Centre as may be relevant and as requested by the Centre Executive Committee or the Directorate Team;*
- c) *reviewing the performance of the Centre;*
- d) *identifying opportunities for further collaboration and innovation; creating linkages with and between academia, industry and government; and*
- e) *any other matters as directed by the Centre Executive Committee and Directorate Team.*

6.5.8 *The Centre Advisory Board's Committee's function is advisory and resolutions will not be binding on the Centre Executive Committee.*

6.5.9 *Unless otherwise specified in the Governance Framework, a decision or resolution of the Centre Advisory Board requires a simple majority vote of all members present at a meeting. In the event of a tied vote, the chairperson of the meeting will have the casting vote.*

## Term

This Terms of Reference is effective from the date of approval and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be formally reviewed by the Committee every two years.

## Scope

Recommendations and resolutions of the Advisory Board are, by their nature, advisory and will not be binding on the Centre Director or Executive Management Committee.

The Advisory Board will provide advice to the Centre Director and the Executive Management Committee regarding the Centre's strategic plans, research focus and plans, and industry engagement. The Advisory Board is not required to review in detail the science being undertaken other than to provide comment and feedback on the Centre performance against its research goals and key performance indicator targets as described below.

## Membership

The Advisory Board will have up to 6 members and its membership will be in alignment with the Centre [IDEA Framework](#).

From the ARC Grant Agreement:

*B5.3 The Advisory Board must consist of members with significant reputations and provide broad representation of the research and end-user communities. An Advisory Board may comprise some of the following: senior international researchers, industry or end-user representatives, community groups, academic expertise from other higher education institutions, or senior university staff such as the Pro Vice-Chancellor (Research).*

*B5.4 The membership of the Advisory Board must take into consideration expertise required to address the future challenges and opportunities for the Centre as it develops and matures.*

*Advisory Committee membership must be reviewed at least every two years.*

- The Advisory Board Chair will be independent of the organisations participating in the Centre, and will champion the Centre and provide advice to the Centre Director.
- The Centre Director shall determine the appointment and term of the Advisory Board Chair and members, with advice from the Centre Executive Committee.
- The time commitment of Members is not expected to exceed 21 hours (3 days) per year.
- Membership is not remunerated, however, travel and accommodation costs involved in attending meetings will be reimbursed either through submission of receipts and a tax invoice or with costs being directly met by the Centre.
- Advisory Board Members must act in the interest of the Centre and not in their own interest or in the interest of another person or organisation. In exercising their duty of loyalty, members must act in a manner they believe is in the best interests of the Centre without taking their personal interests into account.
- Advisory Board Members must keep all matters relating to the Centre confidential and not disclose Centre matters, or share Advisory Board materials, outside of the Advisory Board, unless authorised to do so. Similarly, any disclosures made by Advisory Board members must be treated as confidential unless advised otherwise.
- Upon acceptance of an offer to join the Advisory Board, a letter of appointment will be sent to the new Member. This will provide details of the commencement and conclusion dates of the appointment as well as a copy of the Advisory Board Terms of Reference.

## **Roles and responsibilities**

- Identify and provide advice on science and business opportunities and risks that have not been otherwise identified by the Centre Executive Committee, as well as advice on progressing business opportunities and managing associated intellectual property issues.
- Provide the researchers, whether directly or through the Centre Executive Committee, with independent expertise and advice regarding the Research Themes and their progress towards planned goals and outcomes.
- Serve as a body for enhancing linkages between the Centre and stakeholders, including research partners, government, industry, and the broader community, to facilitate the translation, uptake and impact of the Centre research outcomes.
- Champion the role and activities of the Centre through their respective professional and public networks in both Australian and International contexts.
- Undertake an annual review of the Centre's activities, directions and overall performance against its goals and key performance indicator targets and, based on this review, deliver a report of recommendations to the Centre Director and Centre Executive Committee.
- Each member of the Advisory Board must attend at least one meeting annually.

## **Meetings**

- The Advisory Board must meet at least twice per year.

- The meeting frequency and timing will be scheduled by agreement between the Advisory Board Chair and Centre Director.
- Meetings may occur in person, by telephone, audio-visually, or by using any other technology consented to by all members of the Board.
- Any travel and accommodation expenses associated with Advisory Board meetings will be funded by the Centre.
- Prior to these meetings, Advisory Board members will be provided with relevant documentation of the Centre's activities.
- Meetings will be chaired by the Advisory Board Chair or delegate.
- The Centre Director will attend Advisory Board meetings, make reports to the Advisory Board and answer questions. The Centre Director will leave the meeting at the request of the Advisory Board Chair if a closed discussion is to occur.
- Following Advisory Board meetings, a report of the Advisory Board's deliberations and recommendations will be provided to the Centre Director and Centre Executive Committee.
- This report will be coordinated by the Advisory Board Chair.
- Administrative support will be provided by the Centre for this purpose.
- The Advisory Board will seek to work by consensus. If the Board wishes to pass a resolution, this shall be based on a simple majority vote, with the Chair having the casting vote.
- Resolutions of the Advisory Board are by their nature advisory and will not be binding on the Centre Director or Centre Executive Committee.

### **Amendment, Modification or Variation**

This Terms of Reference may be amended, varied or modified in writing after consultation and agreement by Advisory Board members and with approval from the Centre Executive Committee.

#### **Document Versions**

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>January 15, 2020</i>	<i>Draft for consideration</i>	<i>Mary Gray</i>
<i>February 17 2020</i>	<i>Minor revisions</i>	<i>Dragomir Neshev</i>
<i>May 7 2020</i>	<i>Minor revisions</i>	<i>Mary Gray</i>
<i>29 June 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>5 July 2021</i>	<i>Minor revisions</i>	<i>Mary Gray</i>

## Centre Advisory Board Appointment Procedure

<i>Status</i>	<b>Approved</b>
<i>Date of Last Revision</i>	12 February 2026
<i>Date of Approval</i>	19 May 2026
<i>Policy Approver</i>	Centre Executive Committee
<i>Policy Owner</i>	Centre Directorate
<i>Document location</i>	TMOS Drive\1 TMOS Governance\CAB
<i>Next review date</i>	[biennially]
<i>Superseded document</i>	NA

### 1. Identification of Need

The CEC or Directorate identifies a vacancy or a requirement for specific expertise (e.g., commercialisation, policy, or international research) to support the Centre's strategic goals.

### 2. Skills Review

The Directorate reviews the existing Board composition against the Skills Matrix, diversity targets, and the Centre's 2027 legacy priorities.

### 3. Nomination Process

Candidates may be nominated by the Directorate, Chief Investigators (CIs), or existing CAB members.

Nominations must include:

- A brief biography.
- A statement of strategic value to the Centre.
- A preliminary declaration of conflicts of interest.

### 4. Review and Recommendation

The Directorate reviews all nominations and presents a formal recommendation to the CEC.

### 5. Approval and Concurrence

The CEC votes on the appointment.

- Approval: Simple majority vote, recorded in the CEC minutes.
- Concurrence: To ensure the Board's advisory integrity, the CAB Chair should provide formal concurrence on the selection.

### 6. Appointment

The Centre Director and the CAB Chair co-sign the formal Letter of Appointment.

- Term: Valid until 31 December 2027 (the conclusion of the Centre).
- Expectations: Outlines role, meeting frequency, and strategic contributions.
- Provisions: Includes confidentiality, IP, and the Australian Code for the Responsible Conduct of Research.

## 7. Conflict of Interest Considerations

Before the CEC vote, CIs must declare any actual or perceived conflicts (e.g., close collaborator or financial partner).

- Action: Conflicted members must abstain from the vote to ensure the appointment is merit-based and independent.

## 8. Announcement

The appointment is communicated to Centre members and stakeholders and included in the Centre's annual reporting.

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>12 February 2026</i>	<i>Draft for consideration</i>	<i>Galina Shadrivova</i>

## International Scientific Advisory Committee – Terms of Reference

<i>Status</i>	<b>Approved</b>
<i>Date of Last Revision</i>	<i>10 June 2026</i>
<i>Date of Approval</i>	<i>16 June 2026</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>Centre Directorate</i>
<i>Document location</i>	<i>TMOS Drive\1 TMOS Governance\3 ISAC</i>
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>NA</i>

## Background

The ARC Centre of Excellence for Transformative Meta-Optical Systems (TMOS) is a \$35 million research initiative of the Australian Government. The Centre aims to develop the next generation of miniaturised optical systems with functionalities beyond what is conceivable today. By harnessing the disruptive concept of meta-optics, the Centre will overcome complex challenges in light generation, manipulation and detection at the nanoscale. The Centre brings together a trans-

disciplinary team to deliver scientific innovations in optical systems for the Fourth Industrial Revolution. The research outcomes of the Centre will underpin future technologies, including real-time holographic displays, artificial vision for autonomous systems to see the invisible, wearable sensing devices and ultra-fast light-based WiFi.

## **Purpose**

The purpose of the International Scientific Advisory Committee (ISAC) is to:

1. provide an international perspective on the Centre's research field,
2. undertake benchmarking of the Centre's Research Program, and
3. assist Centre management and the Advisory Committee in developing the strategic research direction of the Centre.

ISAC must provide reports and advice to the Centre Director and Centre Advisory Board regarding the international standing of the Centre's Research Program.

### **From the Collaboration Agreement:**

#### *6.6 International Scientific Advisory Committee*

*6.6.1 As soon as possible after the Commencement Date, the Parties will establish the International Scientific Advisory Committee in accordance with the Centre Proposal, the Grant Agreement, this Agreement and the Governance Framework.*

*6.6.2 The purpose of the International Scientific Advisory Committee is to advise the Centre Executive Committee on the effectiveness of the Centre in reaching its international goals and ensure the Centre is known as a world leading scientific research body.*

*6.6.3 The International Scientific Advisory Committee will comprise persons as identified in the Centre Proposal or as otherwise appointed by the Centre Executive Committee and will be internationally recognised scientists.*

*6.6.4 The International Scientific Advisory Committee shall be responsible for:*

- a) providing the Centre Executive Committee, whether directly or through the Centre Director, with independent scientific expertise and advice/experience regarding the research program;*
- b) identify opportunities for international collaboration and innovation;*
- c) provide feedback on the international competitiveness of the Centre;*
- d) provide support in benchmarking against comparative centres around the world;*
- e) contribute to the development of the Centre's strategic direction;*
- f) provide support and advice on strategic management issues; and*
- g) any other matters as directed by the Centre Executive Committee and Directorate Team.*

*6.6.5 The International Scientific Advisory Committee's function is advisory and resolutions will not be binding on the Centre Executive Committee.*

## Term

This Terms of Reference is effective from the approval date and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be formally reviewed by the Centre Executive Committee every two years.

## Roles and Responsibilities:

1. Provide written advice, comments and feedback on the research programs of TMOS to enable it to meet the required quality and standard of research appropriate for a Centre of Excellence.
2. identify and document gaps, needs, opportunities and priorities for meta-optics research, including the research facilities/capabilities of TMOS
3. review and provide advice about the overall aims, direction and strategic plan of TMOS
4. suggest strategies for ongoing training and development of researchers and students of TMOS
5. provide advice on effective delivery of research results to stakeholders
6. provide advice about substantive matters arising in TMOS that are brought to the attention of ISAC by the Centre Executive Committee or Centre Advisory Board
7. enhance the public image of TMOS and represent the Centre through advocacy
8. inform the Centre Executive Committee and Centre Advisory Board about any aspect of concern regarding the Centre.

## Membership

ISAC must consist of members with significant reputations and include senior international researchers who are experts in the field and who are not Partner Investigators in the Centre.

ISAC is expected to meet at least once annually, either in person or via teleconference. Any travel and accommodation expenses associated with the committee meetings will be funded by TMOS.

The committee will comprise of one Chair, and others identified with sufficient related expertise and agreed to by the Centre Executive Committee, in alignment with the Centre [IDEA Framework](#).

Membership of ISAC is for a period of two years. The committee members will elect the chair to serve for a period of two years.

The composition of ISAC is reviewed biennially by the Centre Executive Committee, with strong emphasis on equity and diversity principles. Current members may be retired or new members recruited as needed.

## Meetings

- All meetings will be presided over by the Chair of ISAC.
- A meeting will proceed when there is a quorum of a simple majority of members who can attend meeting
- Meeting agendas and minutes will be provided by the Centre professional team this includes:
  - preparing agendas and supporting papers
  - preparing meeting minutes

## Amendment, Modification or Variation

This Terms of Reference may be amended, varied or modified in writing after consultation and agreement by committee members and with approval from the Executive Committee.

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>January 26, 2020</i>	<i>Draft for consideration</i>	<i>Hoe Tan, Mary Gray</i>
<i>February 18 2020</i>	<i>Minor revisions</i>	<i>Dragomir Neshev</i>
<i>June 29 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>5 July 2021</i>	<i>Minor revisions</i>	<i>Mary Gray</i>

## Centre Executive Committee – Terms of Reference

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>10 June 2026</i>
<i>Date of Approval</i>	<i>16 June 2026</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>Centre Directorate</i>
<i>Document location</i>	
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>NA</i>

### Purpose

The purpose of the Committee will be leading, monitoring and communicating to the Directorate Team on the planning, implementation and progress of the Centre's Activities in areas of designated responsibility including research performance, mentoring, career development and gender equity, outreach, education, and technology translation.

### From the Collaboration Agreement:

#### 6.4 Centre Executive Committee

6.4.1 As soon as possible after the Commencement Date, the Parties will establish the Centre Executive Committee in accordance with the Centre Proposal, the Grant Agreement, this Agreement and the Governance Framework.

6.4.2 The Centre Executive Committee must, at a minimum, include one representative from each Eligible Organisation.

6.4.3 The Centre Executive Committee will comprise:

- a) The Directorate Team;
- b) Theme Co-Leaders (Generate, Manipulate, Detect);
- c) Other non-voting members, as proved by the Directorate Team (such as the Early Career Representative (Chair of the Early Career Academic Committee) and the Postgraduate Representative (Chair of the Higher Degree by Research Committee).

6.4.4 The Centre Executive Committee shall be responsible for:

- a) overseeing the general management and operation of the Activities of the Centre;
- b) offering advice to the Directorate Team on high-level research goals and Centre Activities;
- c) approving Activities and Projects, including any proposed variations;
- d) reviewing any amendments to the budget (including any amendments to Party Contributions);
- e) leading, monitoring and communicating to the Directorate Team on the planning, implementation and progress of the Centre's Activities in areas of designated responsibility

*including research performance, mentoring, career development and gender equity, outreach and education, translation and commercialisation;*

- f) promoting interactions between participants and partners across nodes and institutions;*
- g) financial management, including allocating funds in accordance with the budget, the Centre Activities, this Agreement and the Grant Agreement.*

*6.4.5 All decisions of the Centre Executive Committee shall be on a consensus basis, and failing consensus, the Centre Director may call for a vote of Centre Executive Committee members, who may then pass resolutions on a simple majority basis. If the Centre Executive Committee cannot reach consensus after discussing a matter at two consecutive Centre Executive Committee meetings, the Centre Director will call for a vote.*

### **Additional responsibilities:**

- The delivery of the agreed research program
- Coordination of the research program across nodes
- Implementation of the **Strategic Plan** and monitoring of all other Centre Plans
- Reporting to the Centre Advisory Board and International Scientific Advisory Committee on the progress of the research and activities against the KPIs and objectives
- Identifying and monitoring potential IP generation and engagement opportunities via the Industry Liaison Committee
- Reviewing new research initiatives
- Discussion of appropriate opportunities to supplement the research income of the Centre
- Receive, evaluate, and make decisions on reports from the Centre Research Themes and Reporting Committees
- Monitoring and advising on public engagement of the Centre
- Management of the Centre Budget and Director's Strategic Fund
- Role model Centre Values and culture
- Compliance with the University, Australian Research Council requirements and Centre Ethics Framework

### **Term**

These Terms of Reference is effective from the date of approval and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be formally reviewed by the Committee every two year.

### **Membership**

The Committee will represent all participating Universities and will comprise two sub-groups.

**CEC – Management** will focus on the management of the Centre, including translation, workforce, students and supervision, professional development, outreach, and culture. Meetings will generally be Chaired by the Chief Operations Officer. All Node leaders and sub-committee Chairs are required to attend, all other Chief Investigators are encouraged to attend, Business team members are encouraged to attend.

**CEC – Research** will focus on the research strategy and implementation, research excellence and innovation, cross-node collaboration, infrastructure sub-committee reporting, research funding.

Research Meetings will generally be Chaired by the Deputy Director. All Theme Leaders and Research Program Managers are required to attend, all other Chief Investigators are encouraged to attend.

## Roles and Responsibilities

Name	Role/duties
Centre Director	<p>Draw on their expertise to build and lead the committee</p> <p>Regularly reviewing the Committee's performance</p> <p>Deputise in Chair's absence</p>
Deputy Chair, Deputy Director	<p>Responsible for ensuring that each Research meeting is planned effectively and that matters are dealt with in an orderly, efficient manner</p> <p>Work closely with the Director and Executive Committee members</p>
Chief Operations Officer	<p>Responsible for ensuring that each Management meeting is planned effectively and that matters are dealt with in an orderly, efficient manner</p> <p>Work closely with the Director and Executive Committee members</p> <p>Represent governance and operational matters</p>
Theme Co-Leaders	Represent Generate
Theme Co-Leaders	Represent Manipulate
Theme Co-Leaders	Represent Detect
Node Leaders	Represent their node
Secretariat	<p>Work closely with Chair to set and compile (or coordinate) Agenda, meeting papers, meeting minutes and other reporting as required to the Centre Executive Committee within prescribed timelines</p> <p>Maintaining effective records and administration.</p> <p>Follow up on action items</p> <p>Non-voting member</p>
Research Program Managers, Flagship Managers	<p>To participate and contribute to the Research meeting</p> <p>Non-voting member</p>
Attendees	<p>Business Team members, sub-committee Chairs, and invited presenters as appropriate</p> <p>Non-voting member</p>

The members of the Committee shall be appointed for as long as they hold the position that entitles them to be a member of the Committee, or in accordance with **Responsibilities of Individual Members**.

Members of the Committee can nominate a proxy to attend Committee meetings in their absence on full consensus from the other Committee members.

**Responsibilities of Individual Members:**

Each member of the Committee should attend all meetings as practicable and may not miss any more than one meeting per calendar month, unless on approved leave.

Provide independent, honest and constructive advice and leadership on matters before the Committee to uphold the research and operations direction, and best interests of the Centre.

Disclose any conflict of interest at the first opportunity and recuse themselves from entering any decision-making process in regard to that conflict.

If any member is found to be non-compliant with any of the responsibilities listed above, on the first instance, the member may be given a formal warning by the Directorate.

On a second instance, the Committee will move to reconsider their membership on the Committee. This could result in their dismissal from the Committee and associated role within the Centre.

## Meetings

Meetings will be held fortnightly for 45 minutes as a video conference, with one meeting per month being Management and the other Research. The Committee will meet twice per year in person as a Centre Planning Day. If required, subgroup meetings will be arranged outside of these times at a time convenient to subgroup members.

All Chief Investigators that are not executive members are encouraged to attend and participate in meetings as non-voting members.

The agenda for meetings will be developed by the Centre Director, Deputy Director, the Chief Operating Officer. Calls will be made for agenda items to all attendees prior to the meeting. Agendas and minutes and distributed to the Committee members at least two working days in advance of each meeting. Late agenda items may be distributed after this time.

The Committee may decide to invite non-voting representatives to participate as additional attendees in a given meeting and to discuss a particular issue or issues.

Out-of-session decisions are acceptable. All out-of-session decisions shall be recorded in the minutes of the next scheduled Committee meeting.

A minimum of 5 voting members of the Committee is required for the meeting to be recognised as a formal meeting (quorum) and for the decisions, recommendations, or resolutions to be valid. This means a representative from each node is required for a vote to be valid.

All decisions of the Centre Executive Committee shall be on a consensus basis, and failing consensus, the Centre Director may call for a vote of Centre Executive Committee members, who

may pass resolutions on a simple majority basis. If the Centre Executive Committee cannot reach agreement after discussing a matter at two consecutive Centre Executive Committee meetings, the Centre Director will have a casting vote.

## Minutes

The secretariat is responsible for taking and compiling the minutes of each meeting and providing to each member of the Committee within one week of the meeting.

Minutes will be confirmed at each following meeting and either accepted by the Committee or referred for changes as required.

Resolutions and outcomes decided by the Committee will be made available to Centre Members.

## Committees (node of their Executive Assistant) – Reporting CEC

- Education and Professional Development Committee (ANU) - Management
- IDEA Committee (RMIT) – Management
- Industry Liaison Committee (UWA) - Research
- Infrastructure Committee (UoM) – Research
- Outreach Committee (UTS) – Management

## Amendment, Modification or Variation

This Terms of Reference may be amended, varied or modified in writing after consultation and agreement by Committee members and with approval from the majority of the team consisting of Centre Chief Investigators and Chief Operations Officer.

## Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>January 16, 2020</i>	<i>Draft for consideration</i>	<i>Mary Gray</i>
<i>January 23 2020</i>	<i>Revisions</i>	<i>Dragomir Neshev, CIs, Mary Gray</i>
<i>February 17 2020</i>	<i>Minor revisions</i>	<i>Dragomir Neshev</i>
<i>June 29 2020</i>	<i>Revisions</i>	<i>CIs, Mary Gray</i>
<i>December 9 2020</i>	<i>Minor revisions</i>	<i>Mary Gray</i>
<i>February 12 2021</i>	<i>Minor revisions</i>	<i>Mary Gray</i>
<i>February 16 2021</i>	<i>Minor revisions</i>	<i>CIs, Centre Directorate</i>
<i>April 20 2021</i>	<i>Minor revision to reflect committee changes</i>	<i>Mary Gray</i>
<i>July 4 2023</i>	<i>Revision to reflect practice</i>	<i>Mary Gray</i>
<i>21 May 2024</i>	<i>Revision to reflect practice</i>	<i>Sharyn McFarlane</i>
<i>10 June 2026</i>	<i>Minor revisions</i>	<i>Olga Bazaka</i>

## Education and Professional Development Committee – Terms of Reference

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>10 June 2026</i>
<i>Date of Approval</i>	<i>16 June 2026</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>Education Committee Chair</i>
<i>Document location</i>	
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>NA</i>

### Purpose

The Education and Professional Development Committee (EPD) aims to develop a multidisciplinary, dynamic, interactive, and collaborative culture fostering future leaders who thrive on academic excellence and are equipped with transferable skills to take on any career they choose.

The committee will oversee the mentoring program and support the development of supervisors to provide an outstanding educational experience within the Centre. The committee will promote engagement in activities across all nodes to maximise collaboration and networking between teams. Enhancing the quality and impact of postgraduate research outputs and the development of skills needed in research careers and beyond is a mission of the committee.

### Term

This Terms of Reference is effective from the date of approval and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be formally reviewed by the Committee every two years.

## Membership

The Committee will comprise:

Name	Role/duties
Chair Education	<ul style="list-style-type: none"> <li>Responsible for ensuring that each meeting is planned effectively and that matters are dealt with in an orderly, efficient manner</li> <li>Draw on their expertise to build and lead the committee</li> <li>Regularly reviewing the Committee's performance and identifying and managing the process for renewal of the Committee through recruitment of new members when or if required.</li> </ul>
Chair Colloquia	<ul style="list-style-type: none"> <li>Draw on their expertise to build and lead the committee</li> <li>Focus on implementing the Colloquia program for the Centre</li> <li>Regularly reviewing the Committee's performance and identifying and managing the process for renewal of the Committee through recruitment of new members when or if required.</li> </ul>
Secretary	<ul style="list-style-type: none"> <li>Work closely with Chairs to compile and coordinate the agenda, meeting papers, meeting minutes and other reporting as required within reasonable timelines</li> <li>Maintaining effective records and administration.</li> </ul>
Committee members	<ul style="list-style-type: none"> <li>Students and postdoctoral researchers drawn from all five nodes</li> </ul>

Committee roles will be determined as follows:

- The members will be selected through a call for nominations (self-nominations are acceptable) every year
- The inaugural Chairs will be appointed by the Centre Executive Committee; after serving a two-year term the Chairs have the option of stepping down or continuing.
- The committee will select and appoint working parties for specific projects (such as conferences or events), where their members may be non-committee members.

The **term** for committee members will be:

- The committee members will have up to two-year terms without further extensions
- The committee Secretary's term will be at the discretion of the Chief Operating Officer

## Roles and Responsibilities

1. Monitor and manage risks associated with effective implementation of the Education Strategic and Implementation Plan; including of spending the allocated budget of \$20,000 p.a. to a limit of \$5,000 per activity (25% of the Committee allocated budget for Education; larger amounts for single events require Directorate approval).
2. Monitor the feedback for the mentoring program with the Chief Operations Officer and IDEA Officer as required.
3. Coordinate the delivery of seminars, workshops, events, and training courses that support the goals of collaboration, education, and professional development.
4. Monitor the implementation of guidelines for HDR supervision, including cross-node panels.
5. Coordinate the Centre ECR and Student mid-year conference via a working party.
6. Coordinate the Scientific Programming Committee for Centre Annual Conference (end of year), via a working party, including monitoring expenditure and the design of the conference program.
7. Be a forum to support HDR candidates and postdoctoral researchers
8. Be a forum to support best practice supervision of HDR candidates.

## Meetings

- All meetings will be chaired alternately by the Chairs of the committee
- Meetings will be held 6X per year (approximately) for duration of the Centre.
- A meeting will proceed when 5 members can attend the Committee meeting either in person or online
- Meeting agendas will be provided by the Chairs
- The Secretary will support the preparation of agendas and supporting papers, which should be sent to the committee 1 week before they meet
- The Secretary will prepare meeting minutes and send to the committee for review and record within 1 week after the committee meeting.

## Amendment, Modification or Variation

This Terms of Reference may be amended, varied or modified in writing after consultation and agreement by Committee members and with approval from the Centre Executive Committee.

## Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
2020	<i>Draft for consideration</i>	<i>Mary Gray</i>
9 Dec 2020	<i>Revisions</i>	<i>Mary Gray</i>
15 April 2021	<i>Revisions</i>	<i>Mary Gray</i>
4 July 2023	<i>Revisions</i>	<i>Mary Gray</i>

## Outreach Committee – Terms of Reference

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>9 June 2026</i>
<i>Date of Approval</i>	<i>16 June 2026</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>Outreach Committee Chair</i>
<i>Document location</i>	<i>TMOS Drive\1 TMOS Governance\2 TMOS Committees\TMOS Outreach\Governance</i>
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>5 August 2021 Version</i>

### Purpose:

The Outreach Committee (OC) aims to advocate for the public awareness of science, specifically meta-optics. The committee will organise and undertake outreach activities led by the Centre and aims to influence the national school optics curriculum.

### Term:

This Terms of Reference is effective from the date of approval and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be reviewed by the Committee every two years.

### Roles and Responsibilities:

1. Monitor and manage risks associated with effective implementation of the Outreach and Communications Plan; including of spending in support of implementation to a limit of \$5000 (25% of the Committee allocated budget for Outreach; larger amounts for single events require Directorate approval) and;
2. Raise awareness of Centre research among the public, especially school students and teachers.
3. Encourage students to pursue senior STEM subjects and progress into tertiary STEM study and careers.
4. Provide a platform for HDR and EMCRs to develop science communication skills through developing and delivering outreach material and events.
5. Develop partnership with leading Australian outreach institutions (e.g. Questacon) and promote the Science of Light to the general public

### Membership

The Committee will comprise:

Name	Type of Appointment	Term of Office	Role/duties
Chair	Centre Outreach Director. Elected by CEC.	2-year term. Continuation for a duration of the centre unless another CI volunteers to take over the role.	<p>Responsible for ensuring that each meeting is planned effectively and that matters are dealt with in an orderly, efficient manner</p> <p>Draw on their expertise to build and lead the committee</p> <p>Regularly reviewing the Committee's performance and identifying and managing the process for renewal of the Committee through recruitment of new members when or if required.</p>
Secretariat and Treasurer	Outreach Officer	Standing	<p>Work closely with Chair to compile and coordinate the agenda, meeting papers, meeting minutes and other reporting as required within reasonable timelines</p> <p>Follow up on action items as required.</p> <p>Work closely with Chairs with decisions and reporting on expenditure to the Business Manager</p> <p>Maintaining effective records and administration.</p>
ECR Representative(s)	Nominated	2 years	Duties/action items as prescribed
Student Representative	Nominated	2 years	Duties/action items as prescribed

**Committee roles will be determined as follows:**

- The committee members will be selected through a call for nominations (self-nominations are acceptable) every year.
- The committee will select and appoint working parties for specific projects (such as for major outreach events), where their members may be non-committee members.

The term for committee members will be:

- The Chair will remain the same for the duration of the life of the Centre, unless the Chair wishes to step-down after a minimum duration of two-years. New Chair will be nominated by the CEC or self-nominated from CIs.
- The Outreach Officer is a standing member of the committee and fulfils the duties of the role of Treasurer and Secretary.
- The other members will have two-year terms without further extensions
- Consideration of membership will ensure diversity in gender, discipline, and career stages.

## Meetings

- All meetings will be chaired by the Chair of the committee
- Meetings will be held quarterly for the duration of the centre. If required, working party meetings will be arranged outside of these times at a time convenient to working party members.
- A meeting will proceed when five members can attend the Committee meeting either in person or online
- Meeting agenda topics will be provided by the Chair to the Outreach Officer. The Outreach Officer will support the preparation of agendas and supporting papers, which should be sent to the committee 1 week before the committee meeting
- The Outreach Officer will prepare meeting minutes and send them to the committee for review and record within 1 week after the committee meeting.

## Amendment, Modification or Variation:

These Terms of Reference may be amended, varied, or modified in writing after consultation and agreement by Committee members and with approval from the Centre Executive Committee.

## Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>XXX 2020</i>	<i>Draft for consideration</i>	<i>Mary Gray</i>
<i>9 Dec 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>16 April 2021</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>5 July 2021</i>	<i>Minor Revisions</i>	<i>Mary Gray</i>
<i>5 August 2021</i>	<i>Revisions</i>	<i>Samara Thorn</i>
<i>19 September 2023</i>	<i>Revisions</i>	<i>Igor Aharonovich/Camilla Gazzana</i>
<i>3 November 2023</i>	<i>Minor revisions – for approval</i>	<i>Sharyn McFarlane</i>

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<i>9 June 2026</i>	<i>Minor revisions</i>	<i>Sophia Aharonovich, Igor Aharonovich</i>
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## Inclusion Diversity Equity and Access (IDEA) Committee – Terms of Reference

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>26 June 2023</i>
<i>Date of Approval</i>	<i>25 May 2021</i>
<i>Policy Approver</i>	<i>Chief Executive Committee</i>
<i>Policy Owner</i>	<i>IDEA Chair</i>
<i>Document location</i>	
<i>Next review date</i>	<i>26 June 2025</i>
<i>Superseded document</i>	<i>N/A</i>

### Background

Team diversity improves ideas and innovation and leads to better outcomes and productivity. Diversity of thought will be a key contributor to the scientific excellence of TMOS. Mechanisms that drive inclusion, diversity, equity, and access will be developed to foster a psychologically safe learning and working environment for all Centre members.

### Purpose

The purpose of the TMOS IDEA Committee is to support and advise the Centre Executive Committee (CEC) within the IDEA Framework in making decisions in alignment with Centre values to achieve equity based KPIs, and in compliance with regulations at home institutions. The purpose of this document is to set out the terms of reference, composition, and operating arrangements of the TMOS IDEA Committee.

### Scope

The TMOS IDEA Committee is a subcommittee that reports to the CEC, the decision-making body of the Centre. Recommendations and resolutions of the IDEA Committee are, by their nature, advisory and will not be binding on the Centre Directorate or CEC.

The IDEA Committee will provide advice to the Centre Director and the CEC regarding the Centre's strategic plans, KPIs, recruitment, retention, access to professional development, changes in policies or legislation as it relates to IDEA.

To decide on IDEA education deliverables for the Centre in alignment with the outcomes of the annual culture survey.

**As stated in the Collaboration Agreement:**

### 5.7 Gender Equity

*5.7.1 The Centre, in consultation with the Parties, must develop and implement a Centre Inclusion Diversity Equity and Access (IDEA) Framework that embodies the principles of gender equity and diversity to support recruitment and employment of all Personnel in connection with the Centre.*

*5.7.2 Each Party further agrees that when recruiting Personnel, it will comply with the IDEA Framework to the extent that it is not inconsistent with any binding obligations on a Party.*

*5.7.3 Each Party must consult with the Centre Equity and Diversity Subcommittee\* prior to recruiting and employing Personnel for the Centre.*

\*Noting here that this means the IDEA Committee.

## Term

This Terms of Reference is effective from the date of approval and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be formally reviewed by the CEC, or their representative, every two years.

## Membership

The IDEA Committee is comprised of eight members:

Name	Type of Appointment	Term of Office	Role/duties
Chair	Centre Equity and Diversity Director, Elected by CEC	See term	<ul style="list-style-type: none"> <li>• Chair the meetings</li> <li>• Responsible for ensuring that each meeting is planned effectively and that matters are dealt with in an orderly, efficient manner</li> <li>• Draw on their expertise to build and lead the committee</li> </ul>

Secretariat and Treasurer	IDEA Officer	Positional role	<ul style="list-style-type: none"> <li>• Work closely with Chair to coordinate the agenda, meeting papers, meeting minutes and other reporting as required to the Centre Executive Committee within prescribed timelines</li> <li>• Maintaining effective records and administration.</li> <li>• Regularly reviewing the Committee's performance and identifying and managing the process for renewal of the Committee through recruitment of new members when or if required.</li> <li>• Follow up on action items</li> <li>• Work closely with Chair and Executive Committee with decisions and reporting on expenditure to the Business Manager</li> </ul>
Committee members	Four Members	2 years	<ul style="list-style-type: none"> <li>• Centre Director and Chief Operations Officer (or their delegates) are permanent members</li> <li>• Up to two other Chief Investigators from nodes not otherwise represented</li> </ul>
IDEA Events Working Group	Nominated	2 years	<ul style="list-style-type: none"> <li>• student or postdoctoral researcher representatives from each node</li> </ul>

The IDEA Committee will be comprised of the Chair, Secretariat and Treasurer, and up to Four Committee Members. Other people from the Centre may be invited to attend an IDEA Committee meeting to contribute to agenda items or to be involved IDEA activities or initiatives.

The IDEA Events Working Group is led by the IDEA Officer to run events of cultural and IDEA significance that enhance the culture of the Centre.

## Roles and Responsibilities

The IDEA Committee will:

- Internally champion and drive implementation of the IDEA Strategic and Implementation Plan, Framework, and achievement of KPIs;
- Coordinate communications about IDEA initiatives, progress, activities, successes, and innovations; and
- Spending in support of implementation to a limit of \$5000 (25% of the Committee allocated budget; larger amounts for single events require Directorate approval) and;
- Selection and spending in support of carers grants

- Monitor and, where reasonable and practicable, resolve issues arising during the implementation of IDEA priority initiatives
- Monitor and report on IDEA Committee activities to the CEC – Management.

## Meetings

The IDEA Committee will meet at least four times in a calendar year. Requests and approval might be held over email but will be minuted in the next meeting.

The IDEA Committee will be supported the IDEA Officer as the Secretariat. The Secretariat of the Committee is responsible for calling meetings (with minimum 2 weeks' notice), circulating agenda and meeting papers (minimum 5 working days before meeting date), and recording and circulating minutes and actions.

Meetings will be chaired by the IDEA Committee Chair or their alternate.

The Centre Director will attend IDEA Committee meetings, review IDEA Committee reports and provide feedback and answer questions. The Centre Director will leave the meeting at the request of the IDEA Committee Chair if a closed discussion is to occur.

Following IDEA Committee meetings, a report of the Committee's deliberations and recommendations will be provided to the CEC - Management. This report will be coordinated by the secretary and delivered by the Chair

The IDEA Committee will seek to work by consensus. If the Committee wishes to pass a resolution, this shall be based on a simple majority vote, with the Chair having the casting vote.

## Quorum

A minimum of four (4) Committee members is required for the meeting to be recognised as an authorised meeting for the recommendations or resolutions to be valid.

Should a meeting be inquorate, it is recommended that the meeting proceeds, on the understanding that:

- decisions required can be formally voted on by circular motion/or
- discussed at the next meeting

By agreement of the Committee, out-of-session decisions will be deemed acceptable. Where agreed, all out-of-session decisions shall be recorded in the minutes of the next scheduled Committee meeting.

## Reporting

Where practicable, the agenda together with reports and documents that relate to the Committee will be forwarded to members in sufficient time to enable consideration prior to meetings.

Accurate minutes will be kept of each meeting of the Committee. The minutes of a meeting shall be submitted to committee members for ratification as soon as practical following the meeting or via email.

## Amendment, Modification or Variation

This Terms of Reference may be amended, varied or modified in writing after consultation and agreement by IDEA Committee members and with approval from the CEC.

### Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>May 18, 2020</i>	<i>Draft for consideration</i>	<i>Mary Gray</i>
<i>July 09, 2020</i>	<i>Revisions</i>	<i>Melissa Drum</i>
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<i>Dec 09, 2020</i>	<i>Minor revisions</i>	<i>Mary Gray</i>
<i>Dec 12, 2020</i>	<i>Minor revisions</i>	<i>Madhu Bhaskaran</i>
<i>Dec 14, 2020</i>	<i>Minor revisions</i>	<i>Mary Gray</i>
<i>June 26 2023</i>	<i>Revisions</i>	<i>Greg Dennis, Mary Gray</i>

## Infrastructure and Capabilities Committee

<i>Status</i>	<i>Approved</i>
<i>Date of Last Revision</i>	<i>10 June 2026</i>
<i>Date of Approval</i>	<i>16 June 2026</i>
<i>Policy Approver</i>	<i>Centre Executive Committee</i>
<i>Policy Owner</i>	<i>Deputy Director</i>
<i>Document location</i>	<i>TMOS Drive\1 TMOS Governance\2 TMOS Committees\TMOS Infrastructure - ICC\ICC Governance</i>
<i>Next review date</i>	<i>[biennially]</i>
<i>Superseded document</i>	<i>NA</i>

### Purpose

The overarching goal of the Committee is as follows:

- To ensure that TMOS members have access to the experimental and computational infrastructure needed to achieve the research aims of TMOS (as stated in proposal)

The Committee aims to achieve this goal via five mechanisms:

1. The Committee will be responsible for hosting an equipment register that will list the experimental and computational infrastructure available in the laboratories of all TMOS CIs.
2. The Committee will be responsible for coordinating Linkage Infrastructure Equipment Facilities (LIEF) bids to the Australian Research Council. This coordination will mainly consist of the Committee organising meetings at which TMOS CIs interested in proposing a LIEF bid will have the opportunity to interest other TMOS CIs in joining their proposal. The Committee will furthermore endeavour to facilitate TMOS CIs to participate in bids led by non-TMOS CIs for infrastructure that would be beneficial for TMOS activities
3. The Committee will organise regular meetings at which TMOS CIs can discuss their infrastructure needs that are currently unmet. Committee members will endeavour to use their knowledge of infrastructure (both within TMOS and outside TMOS) to assist TMOS CIs in obtaining access to infrastructure that would serve their needs. The Committee will make TMOS members aware that it can be regarded as the first point of contact concerning infrastructure needs and planning.
4. The Committee will also organise meetings to facilitate joint submissions to government - funded capabilities in Australia (e.g. Australian Synchrotron) and overseas
5. To serve as a contact point with ANFF, NCI and Microscopy Australia regarding matters such as acquisition proposals

### Term

This Terms of Reference is effective from the date of approval and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be formally reviewed by the Committee every two years.

## Membership

The voting members of the Committee can comprise of the Chair of the Infrastructure and Capabilities Committee and one Chief Investigator from each of the other participating universities. The Committee can furthermore include one PhD candidate and one early career researcher (ECR) as non-voting members. The latter individuals will be from different nodes. Membership of the Infrastructure and Capabilities Committee will be decided by the TMOS Executive Committee. The membership of the Committee will furthermore reflect the diversity, equity and inclusion goals of TMOS.

## Roles and Responsibilities

### Committee members will commit to:

- advancing the goal of the Committee by working toward the five mechanisms described above (maintaining equipment register, coordinating LIEF bids, assisting TMOS CIs with infrastructure needs, assisting TMOS CIs with submissions for access to Australian and international facilities)
- regarding the equipment register, it is the responsibility of the Committee members is to maintain the register and to ensure (as best they can) that Centre members at their Nodes keep the them informed of register updates
- wholeheartedly championing the Committee
- sharing communications and information across all Committee members
- attending all meetings as practicable, unless on approved leave. Each member must attend at least 75 per cent of meetings annually

### Members of the Committee will expect:

- that TMOS CIs will provide them with the information necessary for the Committee to achieve its aims in a timely manner
- that each member will be provided with complete, accurate and meaningful information
- to be given reasonable time to make key decisions
- to be alert to potential risks and issues that could impact the Committee, as they arise
- open and honest discussions

## Meetings

- All meetings will be chaired by the Chair of the Infrastructure and Capabilities Committee
- A meeting will proceed when at least a simple majority of voting members can attend the Committee
- Meeting agendas and minutes will be provided by the Node Administrator of the node of the Committee Chair. The tasks undertaken by this individual will include
  - preparing agendas and supporting papers
  - preparing meeting minutes

Meetings will be held once per quarter, with meeting duration up to 60 minutes at the discretion of the Chair. The standard meeting duration will be 30 minutes. It is expected that LIEF planning meetings will be longer. It is expected that substantive discussions about LIEF bids occur in the

middle of the year, to allow sufficient preparation time for an Expression of Interest (EOI) submission in January, followed by a full proposal in March.

If required, subgroup meetings will be arranged outside of these times at a time convenient to subgroup members. These will be scheduled at the discretion of the Committee Chair.

### **Amendment, Modification or Variation**

This Terms of Reference may be amended, varied or modified in writing after consultation and agreement by Committee members and with approval from the Centre Executive Committee.

#### **Document Versions**

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>July 14 2021</i>	<i>Infrastructure and Capabilities Committee Approved version</i>	<i>Ken Crozier</i>
<i>Feb 4 2020</i>	<i>Draft for consideration</i>	<i>Ken Crozier, Mary Gray</i>
<i>Dec 9 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>April 14 2023</i>	<i>Minor Revision</i>	<i>Ken Crozier</i>
<i>10 June 2026</i>	<i>Minor Revisions</i>	<i>Ken Crozier, Olga Bazaka</i>

## Industry Liaison Committee

Status	Approved
Date of Last Revision	10 June 2026
Date of Approval	16 June 2026
Policy Approver	Centre Executive Committee
Policy Owner	Chair Industry Liaison
Document location	TMOS Committees\TMOS ILC Governance
Next review date	[biennially]
Superseded document	NA

### Purpose

The purpose of the **Industry Liaison Committee** will be to provide strategic direction and leadership to facilitate opportunities for the Centre's research to have technological impact. These aims will be tracked, among others, against the Centre Objects and KPIs and will be achieved in close collaboration with the technology transfer or commercialisation departments of universities.

An additional aim of this committee, in collaboration with the Education and Professional Development Committee, is to have Centre members with literacy on topics such as Intellectual Property, Technology Transfer, Research & Development, and Innovation.

### From the Collaboration Agreement:

#### 6.7 Industry Liaison Committee

*6.7.1 As soon as possible after the Commencement Date, the Parties will establish the Industry Liaison Committee in accordance with the Centre Proposal, the Grant Agreement, this Agreement and the Governance Framework.*

*6.7.2 The Industry Liaison Committee will comprise:*

- a. a Chair and a Vice- Chair;*
- b. a representative from the Administrating Organisation's Technology Transfer Office;*
- c. the Chief Operating Officer; and/or*
- d. other members as determined by the Centre Executive Committee.*

*6.7.3 The Industry Liaison Committee shall be responsible for:*

- a. reviewing Intellectual Property and other promising research developed in the Centre;*
- b. making recommendations to the Centre Executive Committee and relevant Parties regarding the ownership and use of Intellectual Property in accordance with Intellectual Property protection measures set out in this Agreement;*

- c. making recommendations to the Centre Executive Committee and relevant Parties on any issues relating to disputed or unallocated IP;*
- d. making recommendations to the Centre Executive Committee and relevant participating Parties of any potentially commercialisable technologies;*
- e. making recommendations to manage the commercialisation activities undertaken by the Parties; and*
- f. making recommendations to Parties as to whether a development arising from the Centre Activities warrants protection by registration, and if it does, in which countries protection should be sought. 6.7.4 The Industry Liaison Committee's function is advisory and the resolutions will not be binding on the Centre Executive Committee.*

## **Term**

These Terms of Reference is effective from the Date of Approval and will be ongoing until terminated by agreement between the parties or superseded by other mechanisms. These Terms of Reference will be formally reviewed by the Committee every two years.

## Membership

The Committee will comprise of members as follows:

Name	Type of Appointment	Term of Office	Role/duties
Chair	Nominated		<ul style="list-style-type: none"> <li>Responsible for ensuring that each meeting is planned effectively and that matters are dealt with in an orderly, efficient manner</li> <li>Draw on their expertise to build and lead the committee</li> <li>Regularly reviewing the Committee's performance and identifying and managing the process for renewal of the Committee through recruitment of new members when or if required.</li> </ul>
Vice-Chair	Nominated		<ul style="list-style-type: none"> <li>Responsible for ensuring that each meeting is planned effectively and that matters are dealt with in an orderly, efficient manner</li> <li>Draw on their expertise to build and lead the committee</li> </ul>
Chief Operations Officer			<ul style="list-style-type: none"> <li>Work closely with Chairs to set and compile (or coordinate) Agenda, meeting papers, and other reporting as required to the Centre Executive Committee within prescribed timelines</li> </ul>
Secretary	Appointed by the Chief Operations Officer		<ul style="list-style-type: none"> <li>Work closely with Chairs to set and compile (or coordinate) Agenda, meeting papers, meeting minutes and other reporting as required to the Centre Executive Committee within prescribed timelines</li> <li>Maintaining effective records and administration.</li> </ul>
University Representative	Nominated, inaugural representative from the Admin Org	1 year	<ul style="list-style-type: none"> <li>representing the interests of university Technology Transfer Officers (or equivalent)</li> </ul>

External Committee member	Nominated	2 years	<ul style="list-style-type: none"> <li>External representative or mentor from a relevant institution bound by an NDA</li> </ul>
Committee members	Nominated	2 years	<ul style="list-style-type: none"> <li>Duties/action items as prescribed, ensuring that each university is represented, may include an HDR candidate</li> </ul>

The members of the Committee shall be appointed for as long as they hold the position that entitles them to be a member of the Committee, or in accordance with **Responsibilities of Individual Members**.

Members of the Committee can nominate a proxy to attend Committee meetings in their absence on full consensus from the other Committee members. A minimum of five committee members is required to constitute a meeting.

#### **Responsibilities of Individual Members:**

- Each member of the Committee should attend all meetings, unless on approved leave.
- Provide independent, honest, and constructive advice and leadership on matters relevant to this Committee, and best interests of the Centre.
- Disclose any conflict of interest at the first opportunity and recuse themselves from entering into any decision-making process in regard to that conflict.
- If any member is found to be non-compliant with any of the responsibilities listed above, on the first instance, the member may be given a formal warning by the Co-Chair(s).
- On a second instance, the Committee Co-Chairs will consult with the Centre Executive Committee to reconsider their membership on this Committee. This could result in their dismissal from the Committee and associated role within the Centre.

#### **Members of the Committee will expect:**

- that each member will be provided with accurate and meaningful information
- to be given reasonable time to make key decisions
- open and honest discussions

#### **Meetings**

- A meeting quorum will be 5 members
- Decisions made by consensus

Meeting agendas and minutes will be provided by the Chair one week prior to the meeting, as prepared by the Secretary

**Meetings will be held quarterly for one hour over Zoom (or in person, when possible)** at a minimum. If required, subgroup meetings will be arranged outside of these times at a time convenient to subgroup members.

## Amendment, Modification or Variation

This Terms of Reference may be amended, varied or modified in writing after consultation and agreement by Committee members.

## Definitions for the Committee

Know-How means the body of knowledge, practical, technical, experience, skills, processes and methods and business technical and other information that is not in the public domain related to the Services Material and Services and used by a Party, but excludes any knowledge, skill or experience which a Party's Personnel cannot be legally restrained from using or disclosing.

## Document Versions

<i>Date</i>	<i>Status</i>	<i>Author(s)</i>
<i>2020</i>	<i>Draft for consideration</i>	<i>Mary Gray</i>
<i>29 June 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>9 Dec 2020</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>15 April 2021</i>	<i>Minor revisions</i>	<i>Mary Gray, ILC</i>
<i>7 July 2023</i>	<i>Revisions</i>	<i>Mary Gray</i>
<i>16 July 2024</i>	<i>Revisions</i>	<i>Sharyn McFarlane</i>
<i>10 June 2026</i>	<i>Minor Revisions</i>	<i>Olga Bazaka</i>

We acknowledge the Traditional Owners of country throughout Australia and recognise their continuing connection to land, waters, and culture. We pay our respects to their Elders past and present.



**Australian Government**  

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**Australian Research Council**

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