Acceptance Form - Research Funding

Please return this form to the Grants Management Office - email operations.gmo@unsw.edu.au.

Your Project Information: *(Please amend any incorrect details)*

- Lead UNSW CI Name:
- Faculty:
- Project Title:
- Sponsor Reference Number:
- Sponsor / Scheme:
- Awarded Start Date:
- Awarded End Date:
- InfoEd Reference Number:
- Estimated Start Date:

1. Research Account Details

Please confirm the Department ID for the project account where funds will be deposited. In addition to allowing you access to your funds, the Dept. ID is used in the HERDC process. Your School/Centre Administrator or Finance Manager can assist with confirming the Department ID is correct.

- Your Fund Code / Department ID / Project ID (FDP) is: (insert code)

Please provide your Department ID if incorrect above:

2. Type of Research and Classification Codes:

(Click the links to go to the Australian Bureau of Statistics (ABS) website for research classification codes and types of research)

<table>
<thead>
<tr>
<th>Fields of Research (FOR)</th>
<th>Socio Economic Objective (SEO)</th>
<th>Types of Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Max: 4 codes</td>
<td>Max: 4 codes</td>
<td>Indicate the type of research</td>
</tr>
<tr>
<td>6 digit Code</td>
<td>%</td>
<td>6 digit Code</td>
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<tr>
<td>Pure Basic</td>
<td>Strategic Basic</td>
<td>Applied</td>
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<tr>
<td>TOTAL 100%</td>
<td>TOTAL 100%</td>
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</table>
3. Employment status of Lead CI

- UNSW Employee (receive salary via UNSW HR payroll)
- UNSW Visiting or Honorary Fellow
- UNSW Emeritus
- UNSW Conjoint – indicate your main employer below:
  - Black Dog Institute
  - NeuRA
  - South Eastern Sydney Local Health District (SESLHD)
  - Children’s Cancer Institute Australia (CCIA)
  - Garvan
  - Other - provide details:

4. Nominate an Alternative Contact for your Grant

Please list an alternative contact who you also wish to receive information about your grant. This could include a Research or School Administrator, Executive Assistant, Finance Officer or similar. Your alternate contact will automatically receive copies of all research grant communications sent to you including: announcement advice; reminder notices for the submission of University forms; reminders about progress or milestone reports due; and information on financial aspects of your grant such as invoicing and account balances.

You can change the details of your alternative contact at any time by contacting your Grants Team. The inclusion of an alternative contact is optional.

5. Is this funding to be shared with other UNSW investigators outside your School/Centre?  ☐ YES  ☐ NO

If YES, please provide the other investigator names (do NOT include the lead investigator or other researchers from your School/Centre in the table), percentage of funding per year, and school/centre in the table below. Do not complete the table for distribution of funds outside UNSW (e.g. to another University). If relevant this will be done via a separate process.

**Note:** If funding is to be shared with a UNSW co-investigator, this amount will be used for HERDC recognition purposes. If you do not indicate shared funding arrangements at this stage, HERDC will be allocated to the lead investigator only. It is the responsibility of the lead investigator to ensure they have spoken to and reached agreement with other named UNSW investigators if sharing of funds will be required.

<table>
<thead>
<tr>
<th>Investigator Name</th>
<th>Staff ID</th>
<th>School/ Centre</th>
<th>% of funding to be distributed</th>
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<tr>
<td></td>
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<td>Year 1</td>
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If there is not sufficient space above to record all distributions, please attach a separate page when returning your acceptance form.

Please be aware that the above distribution will be used for projects connected to the main record, for example, industry records that are part of ARC Linkage Projects or NHMRC Partnership Projects.
6. Declaration of Research Component

Please enter the Research component of your project as a percentage in the box. Refer to the definition of research below.

The definition of research used by the Commonwealth Government to calculate research income for the annual Higher Education Research Data Collection (HERDC) is:

*Research is defined as the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. This could include synthesis and analysis of previous research to the extent that it leads to new and creative outcomes.*

*This definition of research is consistent with a broad notion of research and experimental development (R&D) as comprising of creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications.*

*This definition of research encompasses pure and strategic basic research, applied research and experimental development. Applied research is original investigation undertaken to acquire new knowledge but directed towards a specific, practical aim or objective (including a client-driven purpose).*

For assistance, email research.partnerships@unsw.edu.au

7. University Paid Outside Work

*Paid Outside Work* is any activity undertaken by an academic staff member for a person or entity other than UNSW and for which the staff member is remunerated. University Paid Outside Work (UPOW) is managed by UNSW and may involve the use of University resources. Any UPOW undertaken as part of a project that is >50% research is not deducted from the academic’s annual POW allowance of 52 days.

**Does this project include University Paid Outside Work?** □ YES □ NO

*If YES, please complete the University Paid Outside Work details below:*

Please provide the following details for any staff member undertaking University Paid Outside Work as part of this project:

<table>
<thead>
<tr>
<th>Name</th>
<th>UPOW Days</th>
<th>UPOW Hours</th>
<th>Calendar Year</th>
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Provide brief details of proposed use of University facilities or resources in relation to this activity

_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________

If there is any potential or actual *conflict of interest* relating to this work, you must complete and submit a Conflict of Interest Disclosure Form.

In submitting this form I acknowledge and agree that:

- I am responsible for any taxation liabilities incurred in relation to University Paid Outside Work and I have obtained such professional advice as I require;
- I will inform the University of any change to the circumstances set out in this form;
• any approval is subject to my continued satisfactory performance of my duties with the University and to my complying with the policy on Paid Outside Work by Academic Staff and other relevant University policies;
• I understand that if I have not met the University's expectation of being research active I must provide the Head of School (or equivalent) with an explanation of the special circumstances under which I wish this application to be approved.

For assistance, email research.partnerships@unsw.edu.au

8. Intellectual Property

Will this project lead to the creation/development of Intellectual Property with the potential for commercial exploitation?
☐ YES ☐ NO

Will any third party intellectual property be used in the project? (E.g. have you signed related agreements with funders or third parties in the past?)
☐ YES* ☐ NO
*If YES, please provide details:

Does your project contain confidential information that should not be displayed in the public domain (e.g. UNSW's Research@UNSW Gateway website or magazine)? Examples include contracts with the Department of Defence and any projects where you or any member of your project team has signed a Non Disclosure Agreement (NDA) or similar document with an external party.
☐ YES ☐ NO

Applicable to research grant funding only: I agree for my full grant application (this includes – proposal, assessor’s reports and rebuttals) to be included in the library of successful research applications maintained by the UNSW Grants Management Office for the use of intending UNSW grant applicants to assist in the framing, formatting and layout of their grant proposals and rebuttals. Applications are maintained securely, in digital format, can only be viewed on the premises and are not permitted to be copied.
☐ YES ☐ NO

Does your project involve UNSW students AND third parties with a claim over or rights regarding Project IP? For example, ARC Linkage Partners, NHMRC Partnership Grant partners, contract research partners (industry and/or government) where the partner owns Project IP or has a licence to use Project IP owned by UNSW.
☐ YES ☐ NO
*If YES, please action as per the instructions below:

The UNSW Intellectual Property policy provides that special conditions apply where UNSW students agree to be involved in research activities that could lead to the development of IP over which the University or a third party (e.g. company, government or other grant/contract research sponsor, or collaborator) may claim ownership or other rights.

This includes a formal assignment to the University, in advance, of all right, title and interest the student may have in any IP – other than copyright in the thesis which is retained by the student. This
assignment must be in writing and is required to be in place **BEFORE** the student engages in any such research.

If yes, prior to your student being involved in the project, please arrange for the student to complete the Student IP Deed Poll available at:


Students should be advised to seek independent legal advice about the nature and effect of the Deed Poll before signing. The independent legal advisor may act as the witness. UNSW Students can access free legal advice via the Arc. Contact (02) 9385 7700 or email advise@arc.unsw.edu.au.

Once signed, the Deed should be returned to mygrants.gmo@unsw.edu.au. Please contact the Research Partnerships Unit on research.partnerships@unsw.edu.au if you need any assistance or clarification.

9. Research Ethics and Compliance Approvals

Does this project require ethics and compliance approval in the following area(s)?

- Human Research Ethics □ YES □ NO
- Animal Research Ethics □ YES □ NO
- Gene Technology & Biosafety □ YES □ NO
- Radiation Safety □ YES □ NO
- Controlled Goods & Technologies* □ YES □ NO

If YES to any of the above, please complete the Supplementary Form “**Research Ethics & Compliance Approvals**”, located at the end of this document. Information on approval requirements can be found on the Research Ethics & Compliance Support webpage.

*If the project will involve either (a) the transfer outside of Australia of controlled goods or technology, or (b) publications relating to controlled goods or technology, a permit or approval may be required from the Defence Export Control Office. Controlled goods and technology are those that are (a) designed or adapted for use by armed forces or are inherently lethal, or (b) dual-use goods and technologies developed to meet commercial needs but which may be used either as military components or for the development or production of military systems or weapons of mass destruction.

10. Connection with UNSW

Are you aware of any existing or prior connection that your sponsor/or your sponsor contact has with UNSW? □ YES □ NO □ I don’t know

If YES, what is the known connection? (select all that apply)

- □ Sponsor contact is an Undergraduate Alumni
- □ Sponsor contact is a Postgraduate Alumni
- □ I have previously received funding from this Sponsor at UNSW
- □ The Sponsor has previously partnered on a research project
- □ Other _________________________________
11. High Risk Research

Will significant operational capabilities (post-award) be required to deliver the project?

☐ YES  ☐ NO

If YES, please detail how these will be met:
___________________________________________________________________
___________________________________________________________________

Is there a potential or perceived conflict of interest between funder, industry partners and/or investigators on the project?

☐ YES  ☐ NO

If YES, has a conflict of interest declaration been submitted by the relevant party(s)?

☐ YES  ☐ NO

Does this project have any interdependencies with other projects? For example, is the project reliant on completion of other funded research projects, particularly by the same Sponsor?

☐ YES  ☐ NO

If YES, what is the impact if the work of the other project is not completed?
___________________________________________________________________
___________________________________________________________________

Is the research in an area that would be considered high-risk or unsafe or that is likely to produce a high WHS risk?

☐ YES  ☐ NO

If YES, please provide details:
___________________________________________________________________
___________________________________________________________________

Is significant UNSW infrastructure required to undertake the project? Are there aspects of the infrastructure that would make it unavailable at some stage during the project (routine upgrades, end of life issues, decommissioning, relocation, etc.)

☐ YES  ☐ NO

If YES, please provide details:
___________________________________________________________________
___________________________________________________________________

12. Confirmation of Acceptance

Please confirm your acceptance of research funding by signing off on the statements below.

I hereby accept the offer of the grant and concur with the arrangements made for its management as detailed above and agree to comply with the terms of award and with broader UNSW policy for the management of research. I acknowledge that Chief Investigators have responsibility for the research grants awarded to them and must ensure that expenditure remains within the limitations of the research amounts awarded by the granting body. Where expenditure for a particular research project
exceeds the amount awarded, the excess will be charged to the relevant School and/or Faculty operating account.

*I certify on behalf of all investigators named on the application that all details given in the attached application are true and correct.*

<table>
<thead>
<tr>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
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</table>

**Head of School / Centre / Institute:**

*I confirm the project can be supported (infrastructure, space etc) within the School/Centre and the budget is acceptable to the School/Centre, and the ethics approvals are relevant and accurate.*

<table>
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<tr>
<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
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*Note: If you are the first named Chief Investigator on the application, this form must be co-signed by an appropriate supervisor. E.g. Dean, if the Chief Investigator is Head of School.*

**Other named UNSW Researchers involved:**

<table>
<thead>
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<th>Name:</th>
<th>Signature:</th>
<th>Date:</th>
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<td>Name:</td>
<td>Signature:</td>
<td>Date:</td>
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</table>

Further information on **UNSW policies and procedures** relevant to your project is available at: [http://research.unsw.edu.au/policies-and-procedures](http://research.unsw.edu.au/policies-and-procedures)
Supplementary Form - Research Ethics & Compliance Approvals

Please note: You only need to complete this form if you answered YES to “Does this project require ethics and compliance approval in the following area(s)?”

Research involving humans, animals, gene technology and biosafety as well as radiation requires in most cases approval from the relevant committees. UNSW committee approval is sought for work based at UNSW sites or where other committees recognise the approval provided by UNSW. Research conducted overseas needs to be reviewed by the relevant UNSW committees in the first instance. Please ensure that you provide the correct UNSW approval numbers and include the approval letters in your submission of this Acceptance Form.

Research conducted at non-UNSW sites within Australia may be reviewed by external Ethics & Compliance Committees as long as these committees are recognised by the relevant authorities, e.g. NHMRC, DPI, OGTR, or EPA. Approval letters must be included in your submission of this Acceptance Form.

Please provide the relevant information below:

<table>
<thead>
<tr>
<th>Approval Type(s)</th>
<th>Institution</th>
<th>Application Status</th>
<th>Approval Number(s)/ Application Number(s)/ Date Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Research</td>
<td>☐ UNSW</td>
<td>☐ Approved</td>
<td>Approval Number(s)</td>
</tr>
<tr>
<td></td>
<td>☐ External</td>
<td>☐ Pending*</td>
<td>Application Number(s)</td>
</tr>
<tr>
<td></td>
<td>☐ Both</td>
<td>☐ Required at a later date**</td>
<td>Date required by: dd/mm/yy</td>
</tr>
<tr>
<td>Animal Research</td>
<td>☐ UNSW</td>
<td>☐ Approved</td>
<td>Approval Number(s)</td>
</tr>
<tr>
<td></td>
<td>☐ External</td>
<td>☐ Pending*</td>
<td>Application Number(s)</td>
</tr>
<tr>
<td></td>
<td>☐ Both</td>
<td>☐ Required at a later date**</td>
<td>Date required by: dd/mm/yy</td>
</tr>
<tr>
<td>Gene Technology &amp; Biosafety</td>
<td>☐ UNSW</td>
<td>☐ Approved</td>
<td>Approval Number(s)</td>
</tr>
<tr>
<td></td>
<td>☐ External</td>
<td>☐ Pending*</td>
<td>Application Number(s)</td>
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<td></td>
<td>☐ Both</td>
<td>☐ Required at a later date**</td>
<td>Date required by: dd/mm/yy</td>
</tr>
<tr>
<td>Radiation Safety</td>
<td>☐ UNSW</td>
<td>☐ Approved</td>
<td>Approval Number(s)</td>
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<td></td>
<td>☐ External</td>
<td>☐ Pending*</td>
<td>Application Number(s)</td>
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<td>☐ Both</td>
<td>☐ Required at a later date**</td>
<td>Date required by: dd/mm/yy</td>
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<tr>
<td>Controlled Goods &amp; Technologies</td>
<td>☐ External*</td>
<td>☐ Approved</td>
<td>Approval Number(s)</td>
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<td>Application Number(s)</td>
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<td></td>
<td>☐ Required at a later date**</td>
<td>Date required by: dd/mm/yy</td>
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</tbody>
</table>
*you have submitted an application which is currently under review
**you plan to submit an application at a later date and require approval at this date
***applications submitted to the Department of Defence via RECS

To view information on additional areas of research safety, visit the Accepting a Grant resource page.