



UNSW
SYDNEY

Australia's
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University

Office of the Pro-Vice-Chancellor
(Research Infrastructure)

UNSW 3Rs Grant Scheme

Supporting UNSW's commitment to
ethical animal research

UNSW 3Rs Grant (U3G)

Guidelines for Funding in 2020



1 OVERVIEW AND OBJECTIVES

The principles of the 3Rs are central to the ethical conduct of research involving animals and are defined in the Governing Principles in Australia's animal research [Code](#)¹ as:

- the Replacement of animals with other methods;
- the Reduction in the number of animals used; and
- the Refinement of techniques used to minimise the adverse impact on animals.

To highlight our commitment to these principles, the UNSW 3Rs Grant (U3Rs) Scheme has been developed to support science-based projects with a primary goal of replacing, reducing or refining the use of animals in biomedical research.

Strategies that show the greatest promise for *replacing* the use of animals will be given priority although the Scheme will also recognise strategies likely to make a significant contribution to reducing animal numbers, refining research procedures or advancing evidence-based best practice in animal welfare.

Aligning with the UNSW 2025 Strategy, it is anticipated that recipients of U3Rs funding will strive for excellence by challenging traditional thinking, working across boundaries and drawing on the foundation provided by UNSW as a leading research-intensive university.

Ultimately, the U3Rs Scheme should be seen both nationally and internationally as a leading and successful initiative in advancing the 3Rs.

2 ELIGIBILITY

At least one leading member of the research team named on the application must be a member of the academic staff of UNSW, and on the payroll of UNSW or have been formally appointed to UNSW according to established processes for Conjoint or clinical appointments for Area Health Services or associated research institutions.

Conjoint and clinical staff must have all their research productivity (e.g. grant applications, postgraduate research student supervision, UNSW affiliation on publications) submitted through and administered by UNSW to be eligible to apply for support under this scheme.

Emeritus and honorary staff are eligible to apply for support from this scheme provided another senior member of the project team meets the above criteria.

Applicants may be named on a maximum of two proposals in the same funding round.

Projects involving animals must meet all requirements for Animal Ethics and other regulatory approvals.

¹ The Australian Code for the Care and Use of Animals for Scientific Purposes ('the Code'), 8th edition (2013). <https://www.nhmrc.gov.au/about-us/publications/australian-code-care-and-use-animals-scientific-purposes>

3 FUNDING ARRANGEMENTS

3.1 Source and limits on funding

The UNSW 3Rs Grant Scheme is supported by the University's 2025 Strategy funding.

The total sum available for the 2020 round is \$150,000. While applications up to this amount will be considered, preference may be given to funding two or more smaller projects to support broader participation.

There is no lower limit set on the level of funding requested. However, proposals must be significant in terms of scientific merit and potential contribution to advancing the 3Rs.

Funding is usually to be available for one year, but an extended funding period may be considered in exceptional circumstances. If funds are not expended within the budgeted timeframe due to unforeseen circumstances, funding may be carried forward for a maximum of one more year. Requests for an extension for project expenditure should be submitted prior to the final report.

Funding will be released to successful applicants in late 2019. Funds not awarded or distributed in the 2019 round cannot be carried forward.

For all matters in relation to this Scheme, the term 'animal' refers to any live non-human vertebrate (that is, fish, amphibians, reptiles, birds and mammals encompassing domestic animals, purpose-bred animals, livestock and wildlife) as well as cephalopods and decapod crustaceans.

3.2 Items supported

Any costs that would be incurred directly in pursuing the aims of the project may be supported by funds from the U3Rs Scheme. These could include, for example:

- Support services or materials such as IT resources, animal facility charges, consultancies, regulatory fees, access to specialist services and publication costs to help disseminate findings;
- Purchase of animals and consumables;
- Equipment purchase, installation, maintenance and upgrades;
- Salaries (whole or in part) of technical or research support staff; and
- Travel if essential for the project's key research objectives.

Salary levels (where applicable) must be justified in the application.

Funding for this initiative will be allocated centrally. All project expenditure will be managed by the relevant School/Faculty from an approved account on presentation of an appropriate invoice or order.

If funding through the U3Rs Scheme is offered in subsequent years, successful applicants are free to apply for new grants under the Scheme whether to build on a previously funded project or to initiate a new project.

3.3 Items not supported

The following items are not supported by the U3Rs Scheme:

- The provision of regular office or laboratory infrastructure or equipment which would normally be supplied to members of staff.
- 'Grant-in-aid' or contributions to equipment that will become assets of other institutions. Any items purchased through this initiative must be listed as assets of UNSW. If they are

purchased and installed 'off-site', they still need to be recorded on the University's Assets Register with a fractional ownership if the equipment is jointly owned.

- Funding cannot be used for major capital works or rental of accommodation.
- Salaries of teaching and research staff, including the cost of "buying time" to free such staff to do more research (e.g. through the appointment of administrative staff).
- Salaries of staff supporting research at an institutional level or staff involved in research administration (e.g. Research Grants Officer).
- Overheads not included in the initial application.
- "Rainy day" funds, such as funds for potential future repairs, or funds to purchase equipment on an "ad-hoc" or "as-required" basis.
- Costs associated with networking events and workshops, including venue hire, promotional material (printing etc), catering, gifts, entertainment costs and conference travel.
- Funding will not be provided for projects that have substantial overlap with projects funded through other internal or external sources.
- Costs that can be reasonably funded through other means, such as commercial research contracts or other grant schemes.
- Equipment or services that are reasonably available to the research team as an existing or shared resource or through collaboration.

4 ASSESSMENT PROCESS AND CRITERIA

An Information Session will be offered prior to the opening date for applications. This would aim to address queries raised by prospective applicants on aspects such as project eligibility, scope etc as well as highlighting the key goals of the program.

Applications are to be submitted to the PVCRI and will first be assessed in consultation with Estate Management (EM) and Research Ethics and Compliance Support (RECS) with regard to eligibility, duplication, ethics and other compliance, WHS, space and services risks.

Eligible proposals will then be assessed by a specially constituted U3Rs Panel which will decide which proposals are approved and funded. The Panel will operate under procedures for managing confidentiality and Conflicts of Interest.

Membership of the U3Rs Panel will be comprised of:

- Director of Animal Services (Chair)
- Director of Animal Care
- ADR Faculty of Medicine (or delegate)
- ADR Faculty of Science (or delegate)
- ADR Faculty of Engineering (or delegate)
- Category C (Animal Welfare) from a UNSW Animal Ethics Committee (nominated by the ACEC Chair)
- Category D (Community) from a UNSW Animal Ethics Committee (nominated by the ACEC Chair)

The Panel may co-opt individuals to provide additional expertise when considered necessary. Applicants must clearly specify in the confidentiality section of their application if there are any restrictions they wish to be applied to consultation with parties other than the constitutive members of the Panel.

The Panel will assess proposals based on the following key criteria:

- The quality of the science.

- The potential to advance the 3Rs both within the specific field of research and more broadly.
- The extent to which the project is innovative or novel.
- The feasibility of achieving the stated aims.

5 PROCUREMENT

Any acquisition of items under this scheme MUST, as any procurement activity made on behalf of UNSW Sydney, be in accordance with the University's [procurement policy and procedure](#). Detailed information is available in the "[Buying](#)" section of the Strategic Procurement website.

According to the University's procurement policy and procedure, three written competitive quotes must be obtained for goods/services above AUD50,000 (excl. GST) and one quote for goods/services below AUD50,000 (excl. GST). Quotes are not required for goods/services below AUD3,000 (excl. GST).

When requesting quotes from suppliers for applications to the U3Rs Scheme, please use the "Request for Quotes" (RFQ) template provided by [Strategic Procurement](#).

If funds are awarded for items to be placed at an organisation affiliated with UNSW, then UNSW at all times retains title to goods purchased using these funds. The affiliated organisation is also responsible for: a) maintaining the equipment in good working order, unless the goods have, as reasonably agreed between UNSW and the affiliated organisation, reached the end of their useful life; and b) protecting the goods against theft, loss, damage, or unauthorised use.

It is recommended that you contact the UNSW Strategic Procurement team to discuss your requirements and the support services they offer before commencing any major procurement process.

6 SPACE REQUIREMENTS, RISK ASSESSMENT AND RESOURCE SUPPORT

Applications under the U3Rs Scheme must demonstrate that consideration has been given to:

- The availability of on-going suitable space to house/operate the equipment/staff requested.
- The availability of on-going suitable space to house or otherwise meet the needs of any animals that would be involved in the proposal in accordance with the *Australian Code for the Care and Use of Animals for Scientific Purposes*.
- Installation requirements for equipment must be fully costed in the budget. For this purpose, a Site and Services Checklist must be completed, signed by the Head of School and the applicant, in consultation with EM where necessary, and attached to all applications. In many cases, there will not be any issues regarding installation or space. However, unforeseen issues can lead to major project delays and cost blow outs. The checklist has been designed to pick up any unforeseen circumstances, and as such submission of the completed and signed checklist is mandatory.
- Any need for refurbishment of existing space to accommodate equipment or other requirements of the proposal. These must be covered by the School/Faculty budget. Such applications can only be supported in principle, subject to approval of the refurbishment budget.
- The OHS and risk assessment requirements for the design, manufacture, importation, supply, installation/erection, commissioning, use, alteration, dismantling, storage and disposal of the equipment.

- Any other requirements associated with ethics, radiation safety, gene technology or other compliance. In particular, proposals involving animals which would be subject to the Code or other regulations relating to best practice in animal research (whether mandatory or voluntary) can only be supported in principle, subject to approval from the UNSW Animal Care and Ethics Committee and other regulatory requirements.
- The on-going maintenance and technical staff requirements beyond this funding application. These costs must be covered by the School/Faculty budget.

7 APPLICATION PROCESS

7.1 Forms

Applications are to be submitted in Word format using the form developed for the U3Rs Grant Scheme. A preview of the application form can be accessed on the [U3Rs Grant Scheme website](#).

All mandatory sections of the application, including the attachment of any supporting documentation, must be completed. Failure to attach the required supporting documents with your application may result in the application being deemed ineligible for funding.

Equipment funded under the U3Rs Scheme will be expected to undergo a rigorous procurement process to ensure value for money is achieved and probity and risks are managed. This means that the eventual supplier may not be the same as the supplier named in the application. At the same time, it is important that budgets are based on competitive quotes and fully justified.

Applications must be submitted by the deadline listed in the table below.

7.2 Timetable

Key dates for the 2020 U3Rs Scheme are as follows:

Phase	Event/Milestone	Dates
Announcement of Scheme	U3Rs Scheme guidelines published	Wednesday 21 st August 2019
Applications	Information session	Wednesday 4 th September 2019
	Call for applications	Monday 9 th September 2019
	Applications close	Monday 14th October 2019
Review and approval	Review and ranking of applications (completion)	Monday 11 th November 2019
Funding	Announcement of funding outcomes	Mid November 2019
	Distribution of funds	December 2019

8 CONDITIONS AND REPORTING

8.1 Named investigators

All personnel named as investigators on the application are expected to provide direct intellectual and/or practical input into the project. Personnel providing only material support or whose association is only in an indirect *ex officio* capacity should not be listed among the named investigators.

8.2 Post-award variations

The Pro-Vice-Chancellor (Research Infrastructure) must be consulted as soon as possible if a substantial variation from the funded research plan is considered necessary. Any such changes may require approval from the U3Rs Panel before proceeding.

Any proposed changes involving the use of animals are subject to the approval processes and policies of the UNSW Animal Ethics Committee.

8.3 Dissemination of outcomes

In addition to supporting innovative research directed towards advancing the 3Rs, the Scheme seeks to encourage others to explore and implement new opportunities to replace, reduce or refine the use of animals in research. It is therefore important that all recipients of U3Rs funding ensure their findings are disseminated widely including, where appropriate, outside the scientific community.

Recipients may be required to give a presentation of their findings at a meeting of the UNSW ACEC or other event(s) that would help raise awareness of the U3Rs Scheme, its outcomes and the 3Rs more generally.

Whenever presenting their findings, recipients must acknowledge the source of funding as the UNSW 3Rs Grant Scheme.

8.4 Post-award reporting

Recipients of funding from the 2020 U3Rs round must submit a final report by 31st January 2021 (or 31st January in the year immediately following conclusion of funding in the event of a project being funded for more than one year).

Reports should be submitted in the reporting template to be made available on the U3Rs website, and address:

- A description of the research outcomes in lay terms and how the project has contributed to advancing the 3Rs.
- A summary of research outcomes in technical terms if not covered above.
- An account of expenditure of funds.
- A list of presentations or publications resulting from the work.

Reports will be used by the Pro-Vice-Chancellor (Research Infrastructure) to assess project outcomes and guide further development of the U3Rs Scheme.

Failure to comply with reporting requirements may affect approval for carrying funds forward, if required, and may impact eligibility for future rounds of the U3Rs Scheme.

9 CONTACTS

For general enquiries about this scheme, please contact Dr Malcolm France, Director of Animal Services, on m.france@unsw.edu.au. Further information is also available on the [U3Rs Grant Scheme website](#).

For administrative inquiries, please contact the Office of the PVC (Research Infrastructure) via pvcresin@unsw.edu.au.

10 RESOURCES

- U3Rs Grant Scheme Website: <https://research.unsw.edu.au/unsw-3rs-grant-scheme>
- [Strategic Procurement](#) website
- Animal Ethics Infolink (NSW Department of Primary Industries): Three Rs. <https://www.animaethics.org.au/three-rs>