|  |  |
| --- | --- |
| **Grant Establishment Form**  This form must be used for the establishment of all research grant funding administered via Research Grants. | *UoN_logo_square* |

**Section A: Project Information**

|  |  |
| --- | --- |
| Project Title |  |
| Institution Number (G#) |  |
| Funding Body Reference Number |  |
| Funding Body/Scheme |  |
| Total contract value (total funding including cash and in-kind contributions) |  |
| Cash awarded to UON |  |
| Total UON cash commitment |  |
| Total UON in-kind commitment |  |
| Anticipated Start Date |  |
| Anticipated End Date |  |
| CI approval for grant to appear on UON web profile | **Yes** or  **No** |

**Section B: Personnel**

**University of Newcastle Chief Investigator(s)** (please insert additional lines if required)

|  |  |  |  |
| --- | --- | --- | --- |
| **CI#** | **Name of CI** | **CI’s School** | **Input % Weighting\*** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Must total | | | 100% |
| \*Refers to % weighting for the input of each University of Newcastle staff investigator to this project and must total 100%. Prior to completing this table the lead CI should confirm these values with each UON CI. This weighting is being collected for statistical purposes, particularly where CIs are located in more than one School or Faculty, as a reflection of the research load of staff. It is also used in the workload calculations for research income in the PRD Report (Academic) and for allocation of block funding. | | | |

**External Chief Investigator(s)** (please insert additional lines if required)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **CI#** | **Title and Name of CI** | **CI's Institution** | **Country** | **Email address** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

**Scholarship Holder** (If offer stipulates HDR scholarship and person known)

|  |  |  |
| --- | --- | --- |
| **Title and Name of Student** | **Student ID** | **Email address** |
|  |  |  |
|  |  |  |

**View Access in Research Financial System (RFS)**

If you require a UON staff member who is not listed as a CI to have access to view the account in RFS please add their details below. The staff member needs to be a registered TechnologyOne User.

|  |  |  |
| --- | --- | --- |
| **Name of UON Staff Member** | **School** | **Email address** |
|  |  |  |

**Section C: Budget**

1. **Indirect Cost Recovery (Overheads)**

The University’s [Indirect Cost Recover Procedure](https://policies.newcastle.edu.au/document/view-current.php?id=136) applies on *all externally funded research*. Please select one option below:

At least the minimum Indirect Costs have been included in the budget in accordance with the [Schedule – Indirect Cost Recovery Rates and Distribution](https://policies.newcastle.edu.au/download.php?id=833&version=1&associated):

**15% Indigenous Funding Body**

20% Not-for-Profit Non-Government

30% Corporate and Government

Rate included is higher than the minimum stated in the Schedule. Rate applied = \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Grant is exempt from Indirect Cost Recovery as it falls into category:

research funding which is classified as Higher Education Research Data Collection (HERDC) Category 1, Australian competitive grant research and development (R&D) income;

research partner funding which is required and listed on an awarded application for funding under a scheme classified as HERDC Category 1 Australian competitive grant R&D income (e.g. Australian Research Council Linkage Project partner funds).

Grant has not been approved for exemption or reduction in Indirect Cost Recovery and the Funding Body is a not-for-profit organisation or competitive international research scheme with a **publicly available policy** stating they:

* do not pay indirect costs, or
* pay at a rate lower than the University rate.

Details of the published policy, e.g. weblink, published guidelines, etc must be provided otherwise full Indirect Costs will be applied.

|  |
| --- |
|  |

Application was submitted via the University of Newcastle Research Grants and approved at submission for exemption or reduction in Indirect Cost Recovery as the Funding Body is a not-for-profit organisation or competitive international research scheme with a **publicly available policy** stating they:

* do not pay indirect costs, or
* pay at a rate lower than the University rate.

1. **Allocation to Budget Categories**

Please indicate funding year and record total funds to be invoiced per calendar year (GST exclusive)

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | **Please insert Year (Calendar)** | yyyy | yyyy | yyyy | yyyy | yyyy |
| **BLI** | **Budget Category** | **Amount $** | **Amount $** | **Amount $** | **Amount $** | **Amount $** |
| 001 | **Personnel** (excluding fellowships and HDR scholarships) |  |  |  |  |  |
| 002 | **Fellowship(s)** |  |  |  |  |  |
| 003 | **HDR Scholarship(s)** |  |  |  |  |  |
| 005 | **Capital Equipment** (individual items >$5000 including specialised computers – Account Code 6707) |  |  |  |  |  |
| 013 | **Computers** (<$5000 – Account Code 6703)**/ Peripherals / Mobiles** |  |  |  |  |  |
| 006 | **Maintenance / Consumables** |  |  |  |  |  |
| 007 | **Travel Domestic** |  |  |  |  |  |
| 007 | **Travel International** |  |  |  |  |  |
| 014 | **Fieldwork** |  |  |  |  |  |
| 008 | **Teaching Relief** |  |  |  |  |  |
| 009 | **Restricted Project Costs** |  |  |  |  |  |
| 011 | **Payment/Transfer to Australian university^** |  |  |  |  |  |
| 012 | **Payment/Transfer to other organisation^** |  |  |  |  |  |
|  | **Subtotal** |  |  |  |  |  |
|  | **Indirect Cost** |  |  |  |  |  |
|  | **TOTAL FUNDING PER YEAR** |  |  |  |  |  |

^ RFS requires the identification of funding paid to other organisations who are conducting part of the research project. This does not include payments for the supply of equipment or consumables. Please note: payments to other Australian Universities are deducted from the UON HERDC research income return and should include the indirect costs charged by that University.

1. **UON Cash Contribution**

Cash contributions are defined as new costs provided as a direct result of the grant. UON funding commitments (Central / Faculty / School / Centre) require evidence of undertaking from applicable authorised delegate (DVCRI / PVC / HOS / Director).

There is a UON cash commitment  **Yes** or  **No**

If yes: Approval was provided by a UON application coversheet  **Yes** or  **No**

Commitments have changed  **Yes** or  **No**

If a coversheet was previously provided and there are no changes to the commitment please go to Section D.

If a coversheet was not previously provided or there are changes to the commitment please indicate UON cash commitments in the table below and insert additional lines if required:

|  |  |  |
| --- | --- | --- |
| **School/Faculty/Central/HMRI/Other** | **Budget Category:** Personnel, Fellowship, Scholarship, Equipment/Capex, Consumables, Travel, Teaching Relief, Fieldwork, Restricted Project Costs | **Cash** |
|  |  | $ |
|  |  | $ |
| **Total UON Contribution** | | **$** |

Please attach evidence that the relevant authorised delegate(s) has approved UON cash commitments in table above.

|  |  |
| --- | --- |
| **Asset Management Implications:** will this grant require physical infrastructure changes and support such as additional space, additional power requirements and alarms on fridges or located in a specific location?  **If yes**, you are required to download and complete the [Grant Application Asset Management Implications](http://www.newcastle.edu.au/research-and-innovation/resources/grants/apply) form to discuss with your Head of School prior to submission to Infrastructure and Facilities Services. | **Yes**  **No** |

**Section D: Financial Management**

1. **View Access to Research Financial System** *(TechnologyOne User Registration required)*

All UON CIs have access to view the research account in the [Research Financial System (RFS)](http://www.newcastle.edu.au/research-and-innovation/resources/grants/manage/financial-reporting). Lead CIs **must** be a registered TechnologyOne user to access RFS, for the G Number account to be created and invoices to be raised.

CIs not already registered as a TechnologyOne user, are required to complete an online registration request using the [ServiceUON](https://uonau.service-now.com/UON/home.do) portal. Under the heading *Request a Service* in the Portal, select *Categories / Business Applications* > *Technology One Access.*

1. **Effective Financial Management of Research workshop**

From 1 January 2016 this workshop is mandatory training for all researchers who hold research funds.

I have previously attended a workshop

I have registered in [Discover](https://discover.newcastle.edu.au/course/view.php?id=107) (Find Learning > Research Advantage) to attend a workshop on Click here to enter a date.

**Section E: Conflicts of Interest Management**

Conflicts of interest can arise in many situations. It is not unusual or wrong to have a conflict of interest. Actual, potential or reasonably perceived conflicts of interest may arise in decision making or in actions, and need to be managed. Conflicts of interest in the research area are common and it is important that they are disclosed and dealt with properly. Further information is available in the [Conflicts of Interest Policy](http://www.newcastle.edu.au/about-uon/governance-and-leadership/policy-library/document-record?RecordNumber=D12/113355P) in the [UON Policy Library](https://www.newcastle.edu.au/about-uon/governance-and-leadership/policy-library/policy#governance).

* Conflict (or actual conflict) of interest arises when a person’s private-capacity interests could adversely affect the proper performance of their official function or duty. A conflict of interest can arise from avoiding personal losses as well as gaining personal advantage – whether financial or otherwise.
* Perceived (or apparent) conflict of interest exists where it could be reasonably perceived by a disinterested third party that a person’s private interests could improperly influence the performance of their duties – whether or not this is in fact the case.
* Potential conflict of interest arises where a person has private interests that could conflict with their official duties in the future.

Failure to declare a conflict of interest may impact eligibility and may be a breach of the Australian Code for the Responsible Conduct of Research.

|  |  |
| --- | --- |
| E.1 Do all Investigators listed in Section B understand that the obligation to disclose actual, potential or perceived conflicts of interest is ongoing and that individuals are required to inform Research Grants of that information as soon as possible if any significant changes occur to their or their immediate family/partner’s interests. | **Yes**  **No** |
| E.2 Do any of the investigators listed in Section B (Internal or External) have an actual, potential or perceived conflict of interest by participating in this research project?  If yes, please provide details on the conflict\*\* (including any previously disclosed Conflicts of Interest): | **Yes**  **No** |
| E.3 Have all Investigators listed in Section B declared in Section E.2 all actual, potential or perceived Conflicts of Interest (as defined above) relating to parties involved in or associated with this project, and, agreed to manage all Conflicts of Interest relating to this proposal in accordance with the [Australian Code for the Responsible Conduct of Research (2018)](https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018)? | **Yes**  **No** |

\*\* While all conflicts of interest must be disclosed, on rare occasions, there may be an ethically acceptable reason for not disclosing the specific nature of the conflict. If you believe this to be the case please contact [Research-Grants@newcastle.edu.au](mailto:%20research-grants@newcastle.edu.au?subject=Conflict%20of%20interest%20issue) with the following details: Subject = Confidential COI; Body of email = CI email and telephone details.

Research Grants staff will assist in the avoidance of conflicts of interest where possible, and to provide measures which may be used for the appropriate management of issues or situations where conflicts of interest arise.

**Section F — Classifications and Research Component**

1. **Classifications**

Please code this project according to Australian Bureau of Statistics (ABS) classifications.

[**Fields of Research (FOR) codes**](https://www.abs.gov.au/statistics/classifications/australian-and-new-zealand-standard-research-classification-anzsrc/2020#data-downloads)

This classification allows research activity to be categorised according to the field of research. In this respect, it is the methodology used in the research that is being considered. **Note:** the lowest level six digit classification possible must be selected (e.g. 160810), the code must not end in 00.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| ***FOR 6 digit Code*** | | | | | | ***%*** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| must total | | | | | | 100% |

[**Socio-Economic Objective (SEO) codes**](https://www.abs.gov.au/statistics/classifications/australian-and-new-zealand-standard-research-classification-anzsrc/2020#data-downloadshttp://www.newcastle.edu.au/research-and-innovation/resources/grants/forms-and-codes/seo-codes)

This classification allows research to be categorised according to the purpose or outcome of the research as perceived by the data provider (researcher). **Note:** the lowest level six digit classification possible must be selected (e.g. 820101), the code must not end in 00.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| ***SEO 6 digit Code*** | | | | | | ***%*** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| must total | | | | | | 100% |

[**Type of Research**](https://www.abs.gov.au/statistics/classifications/australian-and-new-zealand-standard-research-classification-anzsrc/2020#data-downloads)

There are four types of activity applicable to research and development which are recognised by the Australian Standard Research Classifications:

|  |  |
| --- | --- |
| **Pure Basic** activity is experimental and theoretical work undertaken to acquire new knowledge without looking for long term benefits other than the advancement of knowledge. | % |
| **Basic** activity is experimental and theoretical work undertaken to acquire new knowledge directed into specified broad areas in the expectation of useful discoveries. It provides the broad base of knowledge necessary for the solution of recognised practical problems. | % |
| **Applied** activity is original work undertaken primarily to acquire new knowledge with a specific application in view. It is undertaken either to determine possible uses for the findings of basic research or to determine new ways of achieving some specific and predetermined objectives. | % |
| **Experimental Development** activity is systematic work, using existing knowledge gained from research or practical experience that is directed to producing new materials, products or devices, to installing new processes, systems and services, or to improving substantially those already produced or installed. | % |
| must total | 100% |

1. **Research Component**

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

*‘R&D is defined as creative and systematic work undertaken in order to increase the stock of knowledge – including knowledge of humankind, culture and society – and to devise new applications of available knowledge.’*

For an activity to be a HERDC R&D activity it must satisfy all five core criteria:

1. to be aimed at new findings (novel),
2. to be based on original, not obvious, concepts and hypotheses (creative),
3. to be uncertain about the final outcomes (uncertain),
4. to be planned and budgeted (systemic), and
5. to lead to results that could be possibly reproduced (transferable and/or reproducible).

Grant meets HERDC definition of research  **Yes** or  **No**

|  |  |
| --- | --- |
| In some instances a project might involve a component which is not part of the research project such as teaching. **If your project is not 100% research** please indicate theResearch component of your project as a percentage. | % |

**Section G — Central Research Facilities Use**

The funded research project will make use of the following central research infrastructure:

Animal Support Unit

Central Analytical Facilities – Electron Microscope and X-Ray Unit

Central Analytical Facilities – Analytical and Biomolecular Research Facility

Further information on these facilities and the services that they offer can be viewed on:

Animal Services Unit - <https://www.newcastle.edu.au/research-and-innovation/resources/animal-services/about-us>

Central Analytical Facilities - Central Analytical Facilities https://www.newcastle.edu.au/research-and-innovation/resources/central-scientific-services/about-us

**Section H — Ethics and Safety Approvals**

The University is bound by legislation to ensure research does not commence without appropriate ethics and safety approvals. If you answer “yes” to questions 1, 2 or 3 within this section you must obtain the relevant approvals before commencing the research project. The GNumber *will not* be made active until Research Grants has received confirmation of this approval(s).

***Note:*** *Periodic audits to check the match between ethics applications and funding applications are conducted.*

1. ***Animal Ethics Approvals***

Does this Research involve the use of Animals?  **Yes** or  **No**

**If ‘Yes’** please answer questions 1.1 and 1.2 below:

* 1. Has approval been obtained?  **Yes** or  **No**

**If ‘Yes’**, please provide:

|  |  |
| --- | --- |
| *Approval Number* | *Chief Investigator* |
|  |  |

**If ‘No’:** Information on obtaining Animal Ethics approval can be found at: <http://www.newcastle.edu.au/research-and-innovation/resources/animal-ethics/approval-for-carrying-out-animal-research>

* 1. Is all of the animal based research funded by the grant included in the approved animal ethics protocol?

**Yes** or  **No**

**If ‘No’:** Has a variation been submitted and approved by the ACEC and if so what was the date the variation was approved?  **Yes** dd/mm/yy or  **No**

**OR:** You must submit a Variation Application to the ACEC via RIMS to cover work that is not included in the protocol approved by the ACEC.

1. ***Human Ethics Approvals***

Does this Research involve Human Participants?  **Yes** or  **No**

For example: observations of humans, use of human tissue or body fluids, access to personal information or records, or use of an unpublished source of human research data or database etc, will require approval by the Human Research Ethics Committee (HREC)

**If ‘Yes’** please answer questions 2.1 and 2.2 below:

* 1. Has approval been obtained from the University of Newcastle HREC?  **Yes** or  **No**

*Please note:* If approved by HNEHREC, please submit a ‘[Registration of Approval](http://www.newcastle.edu.au/research-and-innovation/resources/human-ethics/application-procedures/human-research-involving-university-of-newcastle-and-hunter-new-england-health-procedures)’

**If ‘Yes’**, please provide:

|  |  |
| --- | --- |
| *UON Approval Number* | *Chief Investigator* |
|  |  |

**If ‘No’,** Information on obtaining Human Ethics approval can be found at: <http://www.newcastle.edu.au/research-and-innovation/resources/human-ethics/application-procedures>

* 1. **If the response at 2.1 is ‘Yes’** please confirm whether all of the human based research funded by the grant is included in the approved human ethics protocol.  **Yes** or  **No**

**If ‘No’**: Please outline which components of the project are covered by this ethics approval and provide an undertaking as to what future action will be taken to ensure ethical approval is in place prior to commencing the activities not yet approved

|  |
| --- |
|  |

1. ***Safety Approvals***

*Note: Periodic audits to check the match between safety applications and funding applications are conducted.*

**There are statutory requirements for the control of risks arising from workplace hazards which both the University and the Chief Investigator are obliged to meet. Accurate identification of the hazards associated with the research project is vital to meet these obligations.**

***Please Answer “Yes” or “No” to ALL Questions***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **3** | **Does this project involve any of the following risk categories:** | | | | |
| **a** | Genetically modified organism (GMO) |  | **h** | \*  Chemically Hazardous material,  Gas |  |
| **b** | Biologically hazardous micro-organisms |  | **i** | Radioisotopes/unsealed sources |  |
| **c** | Animals including fluids, tissues or cell lines |  | **j** | Ionising radiation/sealed sources |  |
| **d** | Human body fluids, tissue or cell lines |  | **k** | Non-ionising radiation |  |
| **e** | Fieldwork/off-site activity |  | **l** | Off-site radiation work (e.g.ANSTO grants) |  |
| **f** | \*\*  Travel which includes long distance travel to conduct high risk activities, travel to a remote location, international travel to a high risk destination or which involves high risk activities at the destination (see [Travel Procedure](https://policies.newcastle.edu.au/document/view-current.php?id=18)). |  | **m** | Engineering or Technological hazard such as a process (welding, mining, manufacturing, construction, structural modification, high voltage electrical work), high risk location (workshop, factory), furnaces or similar equipment (appliance, plant, tool), or which require a Permit to Work to be issued by IFS or another Agency (such as CASA Approval for commercial use of  Drones / UAV's) |  |
| **g** | Nanotechnology |  | **n** | Other identified hazard(s) of high risk |  |

\*

If you are unsure of the hazardous status of the material(s) all staff and students can access Chemwatch through the University library database access point, or via this [link](https://jr-chemwatch-net.ezproxy.newcastle.edu.au/chemwatch.web/home), which provides access to all SDS’s in the database.

\*\*

All travel for University business must be assessed to determine the level of risk associated with both the travel destination and the activities being undertaken. As per the [Travel Procedure](https://policies.newcastle.edu.au/document/view-current.php?id=18) travel is as either **COMPLEX**, **SIMPLE** or **LOCAL**. For any travel classified as **COMPLEX,**a [Health and Safety Travel Risk Assessment](https://www.newcastle.edu.au/__data/assets/word_doc/0010/868645/HS-travel-risk-assessment.docx) must be completed and submitted to the Health, Safety and Wellbeing Team at [local-safety-review@newcastle.edu.au](mailto:local-safety-review@newcastle.edu.au)

***If you answered ‘Yes’ to ANY of the previous risk categories, move to question 3.1, otherwise go to Section I.***

3.1 Based on the [d](https://uonstaff.sharepoint.com/:w:/s/HealthandSafetyTeam/EZlvYKNz4tpNmPs1Kp8Lr-gBpL3cxoQiqp-V1Vc8edSapA?e=bE1gki)[efined safety and compliance risk review categories](https://uonstaff.sharepoint.com/:w:/s/HealthandSafetyTeam/EZlvYKNz4tpNmPs1Kp8Lr-gBpL3cxoQiqp-V1Vc8edSapA?e=bE1gki) do the hazards that relate to your research meet the criteria for:

**Local level review or  Escalated review**

3.2 Is this a continuation of funding or a new funding source for a previously approved safety project?

**Yes or  No**

3.3 (a) Has approval been given within the last five years?  **Yes or  No**

|  |  |
| --- | --- |
| **If ‘Yes’**, please provide:   * The Protocol Reference Number |  |

|  |  |
| --- | --- |
| * Name of the CIs on the Safety Protocol. Noting the Grant Recipient is required to be the CI or Co CI on this project |  |

(b) If your response to **3.3 (a) has been “no**” and the risk category meets the escalated review category you will need to refer to the [tick@lab](https://uon.okta.com/login/login.htm?fromURI=/app/uon_ticklab_1/exkrdx0kctNJoF02E0x7/sso/saml?SAMLRequest%3DhZJPU8IwEMW%252FSid3mrQqaIYyg6AjjiID6MELs00XyZAmNZsKfnsp4L%252BLXpO3v7fvJV2C0lSyX4eVneJrjRSibWksyf1FxmpvpQPSJC2USDIoOevf38k0FrLyLjjlDIv6ROiDdnbgLNUl%252Bhn6N63wcXqXsVUIFUnOg1ZrA3lscaOAgsEYizqGms9WOs%252BdwbCKiRxv%252BCmfPMzmLBruFtIWGvQ3qHY2dusAsXIlh6pqDhZH%252BiLhuF37YivWKoxv3bVIr8S2wxtwE4lFo2HGFu12WwAWgBdnQhTnZ2mS5wUAqCRZniRquZMR1TiyFMCGjKUiTVqJaKXpXJzKk4487TyzaHIs4FLbQtuXv9vKDyKSN%252FP5pHWI94Se9tF2AtbrNgvKvbH%252F8Qp%252FY%252BGzetb7t2j6KrrLf3gdjCs53sFHw4kzWr1HfWPcZuARAmYsYbx3GPn9V3of%26RelayState%3Dss%253Amem%253Ab6998cdfe8aad39559f500c3911801e2783a40a2095b74d19b5dc8e847499a80) Sharepoint site and complete a protocol for consideration by the respective Committee/s, or Senior Health and Safety Specialist.

Note: The University now uses [tick@lab](https://uon.okta.com/login/login.htm?fromURI=/app/uon_ticklab_1/exkrdx0kctNJoF02E0x7/sso/saml?SAMLRequest%3DhZJPU8IwEMW%252FSid3mrQqaIYyg6AjjiID6MELs00XyZAmNZsKfnsp4L%252BLXpO3v7fvJV2C0lSyX4eVneJrjRSibWksyf1FxmpvpQPSJC2USDIoOevf38k0FrLyLjjlDIv6ROiDdnbgLNUl%252Bhn6N63wcXqXsVUIFUnOg1ZrA3lscaOAgsEYizqGms9WOs%252BdwbCKiRxv%252BCmfPMzmLBruFtIWGvQ3qHY2dusAsXIlh6pqDhZH%252BiLhuF37YivWKoxv3bVIr8S2wxtwE4lFo2HGFu12WwAWgBdnQhTnZ2mS5wUAqCRZniRquZMR1TiyFMCGjKUiTVqJaKXpXJzKk4487TyzaHIs4FLbQtuXv9vKDyKSN%252FP5pHWI94Se9tF2AtbrNgvKvbH%252F8Qp%252FY%252BGzetb7t2j6KrrLf3gdjCs53sFHw4kzWr1HfWPcZuARAmYsYbx3GPn9V3of%26RelayState%3Dss%253Amem%253Ab6998cdfe8aad39559f500c3911801e2783a40a2095b74d19b5dc8e847499a80), for the management of safety reviews for research projects, teaching and events protocols that fall under [d](https://uonstaff.sharepoint.com/:w:/s/HealthandSafetyTeam/EZlvYKNz4tpNmPs1Kp8Lr-gBpL3cxoQiqp-V1Vc8edSapA?e=bE1gki" \o "https://uonstaff.sharepoint.com/:w:/s/HealthandSafetyTeam/EZlvYKNz4tpNmPs1Kp8Lr-gBpL3cxoQiqp-V1Vc8edSapA?e=bE1gki)[efined safety and compliance risk review categories](https://uonstaff.sharepoint.com/:w:/s/HealthandSafetyTeam/EZlvYKNz4tpNmPs1Kp8Lr-gBpL3cxoQiqp-V1Vc8edSapA?e=bE1gki).

**Section I — Early Release of Funds**

The University is obliged to ensure that research requiring animal or human ethical clearance or safety clearance does not commence prior to clearance being obtained. Therefore, a G number for a grant will not usually be made active until all of the required clearances have been obtained.

There are however limited circumstances under which grant funds can be released prior to the necessary approvals being in place. This includes, for example, funds required for the commencement of a scholarship or to appoint staff necessary for the development of a clearance application.

Some funding agencies do not allow for the early release of funds unless in exceptional circumstances and then their written approval is required prior to the release of funds. Researchers should read the funding rules prior to requesting early release of funds.

If an agreement is required to establish this grant then early release of funds cannot be approved until the agreement is fully executed*.*

If you require ERF, please complete the following:

|  |  |  |
| --- | --- | --- |
| Outline the components of the Research Activities that will be carried out prior to obtaining the required Institutional Approvals |  | |
| Outline the Research Activities that require Institutional Approval. At what stage or phase of the project will these approvals will be required including approximate timeframe. |  | |
| I expect that ethics / safety approvals, related to this grant, will be obtained by | | dd/mm/yyyy |
| I confirm that no work requiring either animal / human ethics approval and / or safety clearance will be undertaken without the required approvals being in place | | **Yes** or **No** |

Reminder: Please advise [research-grants@newcastle.edu.au](mailto:research-grants@newcastle.edu.au) of the ethics/safety references when approved in order to facilitate linking to the grant.

**Section J — Submission of form and attachments**

Once completed, please submit this form and any attachments from the email address of the lead Chief Investigator to [research-grants@newcastle.edu.au](mailto:research-grants@newcastle.edu.au?subject=Grant%20Establishment%20Form%20Submission)

Research Grants requires written confirmation of the grant from the Funding Body. This can be in the form of an agreement or offer letter. This document at a minimum must include details of the project term, level of funding, purpose of the collaboration, reporting requirements, any special conditions, payment schedule and invoicing details.

**Attachments Checklist:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | *Attached* | *Previously provided* | *Not Applicable* |
| 1 | Application |  |  |  |
| 2 | Evidence of UON cash commitment approval (if no coversheet previously provided or there are changes) | ☐ | ☐ | ☐ |
| 3 | Outcome Letter |  |  |  |
| 4 | Agreement |  |  |  |
| 5 | Request for Indirect Cost Reduction for exceptional circumstances |  |  |  |

**Section K— Declaration and Signatures**

**Lead Chief Investigator (CI) Declaration**

I confirm that the total amount funded under this grant is sufficient to conduct the research as outlined in the application.

I have fully disclosed to my Head of School the complete extent of all cash and in-kind commitments required from the School to conduct the research.

I accept responsibility to seek and obtain all requisite ethics and/or safety clearances prior to commencement of the research.

I accept responsibility for the management and conduct of the research as outlined in both the application, and the Funding Body’s terms and conditions of the grant, and will do nothing that would prejudice the rights and obligations of both the University and the Funding Body.

I agree to adhere to the requirements outlined in the [University Health and Safety Policy](https://www.newcastle.edu.au/__data/assets/pdf_file/0004/273883/Health-and-Safety-Policy.pdf)

I agree to adhere to the [Australian Code for the Responsible Conduct of Research](https://www.newcastle.edu.au/research-and-innovation/resources/policies-procedures-and-codes/overview) and all related University Research policies.

I confirm that the details provided in this form are true and correct.

|  |  |  |  |
| --- | --- | --- | --- |
| **Signature of the UON lead CI** |  | **Date** |  |
| **Name** |  | | |

Note: Electronic submission from the email address of the Chief Investigator does not require a scanned signature. Emailing the form is constituted as an officially “signed” form of communication.

**Confirmation Head of School**

Research Grants will confirm with the Head of School of the UON first named Chief Investigator that:

* the project can be accommodated within the existing and available research facilities of the School, or
* where additional infrastructure is required this has been identified to the University (e.g. IFS) who confirm this will be provided/constructed.(See Section C above)
* sufficient working and office space is available for any proposed additional staff
* the Head of School is prepared to have the project carried out in the School under the circumstances set out by the applicant
* the Head of School has noted the amount of time that the investigators will be devoting to the project and certify that this is compatible with other existing workloads.

*GEF last updated: 3/08/2023*