|  |  |
| --- | --- |
| **Grant Establishment Form:**  **Small Research Consultancy**  This form must be used for the establishment of small (<$25K) research consultancy. Please answer every question.  *If ethics or safety clearances are required please complete a generic full Grant Establishment Form* | *UoN_logo_square* |

**Section A: Project Information**

|  |  |
| --- | --- |
| Project Title | Research Consultancy |
| 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 |  |
|  |  |

**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. | | | |

**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)**

An Indirect Cost recovery charge of 25% applies on all external research consultancy grants.

1. **Awarded Funding**

|  |  |
| --- | --- |
| Value of the research consultancy (excluding GST) | $ |
| Overheads @ 25% (25% of the value above) | $ |
| **TOTAL value of research consultancy (<$25,000) exc GST** | $ |

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.

**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.

1. **Funding Body Contact Details for Invoicing**

Please complete details below (unless the scheme is listed on the Australian Competitive Grants Register):

|  |  |
| --- | --- |
| Full Trading Name |  |
| ABN (domestic only) |  |
| Purchase Order Number (if applicable) |  |
| **Mailing Address for Invoices** | |
| Address Line 1 |  |
| Address Line 2 |  |
| City |  |
| State |  |
| Postcode |  |
| Country |  |
| Invoice Contact Name |  |
| Telephone |  |
| Fax (if relevant) |  |
| Email |  |

**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 1 understand 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 1 (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 1 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 (2007)](http://www.newcastle.edu.au/research-and-innovation/resources/policies-procedures-and-codes/overview)? | **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 the [Associate Director, Research Grants](mailto:Judy.%20Alexander@newcastle.edu.au?subject=Conflicts%20of%20interest%20issue).

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.**

Click the links to go to the UON website for research classification codes and types of research

**Note:** the lowest level six digit classification possible must be selected (e.g. 160810), the code must not end in 00.

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| [**Type of Research**](http://www.newcastle.edu.au/research-and-innovation/resources/grants/forms-and-codes/types-of-research-definitions) | | [**FOR Code**](http://www.newcastle.edu.au/research-and-innovation/resources/grants/forms-and-codes/for-codes) | | | | | | | [**SEO Code**](http://www.newcastle.edu.au/research-and-innovation/resources/grants/forms-and-codes/seo-codes) | | | | | | |
| *Activity* | % | *6 digit Code* | | | | | | % | *6 digit Code* | | | | | | % |
| Pure Basic |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Strategic Basic |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Applied |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Experimental Development |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| TOTAL | 100% |  | | | | | | 100% |  | | | | | | 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. Please indicate theResearch component of your project as a percentage. | % |

Briefly describe how the project/activity meets the HERDC definition of research

**Section G — Central Research Facilities Use**

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

Animal Support Unit

Research Support Unit – Electron Microscope and X-Ray Unit

Research Support Unit – Analytical and Biomolecular Research Facility

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

Animal Services Unit - [www.newcastle.edu.au/animal-services-unit](file:///C:\Users\njf655\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\OIXXBFB7\www.newcastle.edu.au\animal-services-unit)

Central Scientific Services - [www.newcastle.edu.au/central-scientific-services](file:///C:\Users\njf655\AppData\Local\Microsoft\Windows\INetCache\Content.Outlook\OIXXBFB7\www.newcastle.edu.au\central-scientific-services)

**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 complete a generic full Grant Establishment Form as this will not be treated as a research consultancy. The G Number *will not* be made active until Research Grants has received confirmation of 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 complete a generic full Grant Establishment Form

1. ***Human Ethics Approvals***

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

**If ‘Yes’** please complete a generic full Grant Establishment Form

1. ***Safety Approvals***

Does this Research involve safety risks which are not covered by a current Safety Approval?  **Yes** or  **No**

**If ‘Yes’** please complete a generic full Grant Establishment Form

**Section I — 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 |  |  |  |
| 6 | DVCRI/Director RIS Approval of Indirect Cost Reduction |  |  |  |

**Section J — Declaration and Signatures**

**Lead Chief Investigator (CI) Declaration**

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

2. 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.

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

4. 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.

5. 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.

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

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

\* 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 general facilities of the School
* 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.

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