**UNE Research Services: Project Approval Form (PAF)**

***To be used for research funding applications such as grants, tenders, contracts etc., whether or not UNE is the lead organisation. This form and the submission-ready application are due 5 working days (unless otherwise advised by Research Services) before the funding body submission date. Applications cannot be submitted without the approval of Research Services and the Faculty.***

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| **1. PROJECT DETAILS** |
| **1.1** | **Project Title** |  |
| **1.2** | **Funding Source**  |  |
| **1.3** | **Application submitter:** | [ ]  **UNE project leader** (with Faculty & Research Services approval)[ ]  **UNE Research Services**[ ]  **External institution** |
| **1.4** | **Project Type** | [ ]  **Research Funding (Research Grant or Research Consultancy)**  |
| [ ]  **Fee-for-Service (non-research Consultancies)**  |
| [ ]  **Travel Grant** *(Funding for travel expenses ONLY – not subject to 20% DVCR fee)* |
| [ ]  **Scholarship or Student Project** *(Directly related to PhD/degree – not subject to 20% DVCR fee)* |
| **1.5** | **Institutional Leadership** | [ ]  **UNE-led project** (UNE is sole lead and controls the Final Report)  |
| [ ]  **Jointly-led project** (UNE and other institution **share** control of the Final Report) *Other institution is:*  |
| [ ]  **Other institution-led project** (UNE named on the application)*Lead institution is:*  |
| [ ]  **Other institution-led project** (UNE is a subcontractor; NOT named on the application)*Lead institution is:*  |
| **1.6** | **International Collaboration?** | [ ]  **If so, list country/ies and names of international organisations involved in this project:** Researchers engaging in international collaboration should be aware of UNE’s obligation to comply with the [Foreign Influence Transparency Scheme Act 2018](https://compliance.une.edu.au/overview.php?id=101). See also DESE [Guidelines to Counter Foreign Interference in the Australian University Sector](https://www.dese.gov.au/guidelines-counter-foreign-interference-australian-university-sector/resources/guidelines-counter-foreign-interference-australian-university-sector). Any concerns should be directed to the Faculty Dean. |
| **1.7** | **Project Duration** | **Proposed Start Date** |  | **Proposed End Date** |  |

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| **2. PROJECT PERSONNEL** |
| **2.1** | **UNE Project team members** *(add rows as required)* |
| **Staff name** | **School/Directorate** | **Email** |
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| **2.2** | **UNE Student Project team members** *(add rows as required)* |
| **Student name** | **School/Directorate** | **Student ID** | **Email** |
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| **2.3** | **Non-UNE Project team members, including subcontractors** *(add rows as required)* |
| **Name & Title** | **Organisation** | **Email** | **Role** **e.g. co-investigator, casual, independent contractor**[[1]](#endnote-1)**.** | **Cost to UNE[[2]](#endnote-2)** |
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| **3. RESEARCH CLASSIFICATION***(Government reporting - research projects only)* |
| **3.1** | **Download the 2020 6-digit FOR and SEO Codes on the** [ABS website](https://www.abs.gov.au/statistics/classifications/australian-and-new-zealand-standard-research-classification-anzsrc/2020#data-downloads) |
| **6 digit FOR Code (up to 3 Codes)** | **%** | **6 digit SEO Code (up to 3 Codes)** | **%** |
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| **TOTAL** | **100%** | **TOTAL** | **100%** |
| **3.2** | **Percentage of Research type** |
| **Oriented basic research** | Carried out with the expectation that it will produce a broad base of knowledge likely to form the basis of the solution to recognised or expected current or future problems or possibilities. | **%** |
| **Experimental development** | Systematic work, drawing on knowledge gained from research and practical experience and producing additional knowledge, which is directed to producing new products or processes or to improving existing products or processes. | **%** |
| **Pure basic research** | Advancement of knowledge, without seeking economic or social benefits or making an active effort to apply the results to practical problems or to transfer the results to sectors responsible for their application. | **%** |
| **Applied research** | Original investigation undertaken in order to acquire new knowledge. It is, however, directed primarily towards a specific, practical aim or objective (including a client-driven purpose). | **%** |
| **TOTAL** | **100%** |

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| **4. STUDENT INVOLVEMENT** |
| **4.1** | Will a student be accessing confidential information on this project? | **Yes** [ ]  | **No** [ ]  |
| If yes, will a student be accessing confidential information about children? | **Yes** [ ]  | **No** [ ]  |
| **4.2** | Will a student be creating Intellectual Property in this project? | **Yes** [ ]  | **No** [ ]  |
| **4.3** | Will a student be employed via the UNE recruitment process to work on the project? | **Yes** [ ]  | **No** [ ]  |
| **4.4** | Will a student under 18 years be involved in the project? | **Yes** [ ]  | **No** [ ]  |
| **4.5** | Will the project include an advertised, competitive student scholarship? | **Yes** [ ]  | **No** [ ]  |

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| **5. ETHICS APPROVAL –***if the project involves research on animals or humans and/or human data sets* |
| **5.1** | Is [animal ethics approval](https://www.une.edu.au/research/ethics-and-grants/animal-research-ethics) required? | **Yes** [ ]  | **No** [ ]  | Is [human ethics approval](https://www.une.edu.au/research/ethics-and-grants/human-research-ethics) required? | **Yes** [ ]  | **No** [ ]  |
| **5.2** | If ‘yes’, and not applying for ethics approval through UNE, which institution?  |
| **5.3** | Will you, or any other team members (including volunteer, student, contractor, sub-contractor, affiliate), be working with **children or other vulnerable\* people**?*\*A vulnerable person can be an individual aged 18 years and above who is, or may be, unable to take care of themselves, or is unable to protect themselves against harm or exploitation for any reason, including age, physical or mental illness, trauma or disability, pregnancy, the influence, or past or existing use, of alcohol, drugs or substances or any other reason.* If yes, please contact People and Culture for current compliance advice. | **Yes** [ ]  | **No** [ ]  |
| Will the project involve **volunteers** under the age of 18? If yes, please contact People and Culture for current compliance advice. | **Yes** [ ]  | **No** [ ]  |

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| **6. RESEARCH DATA MANAGEMENT**[*http://www.une.edu.au/research/digital-research-support/research-data-management*](http://www.une.edu.au/research/digital-research-support/research-data-management) |
| **6.1** | All active project research data must be stored on [Cloud.UNE](http://www.une.edu.au/research/digital-research-support/research-data-management/cloud.une-classes), UNE’s data storage platform.  |
| **6.2** | Researchers are encouraged to create a Research Data Management Plan ([RDMP](https://une.au.libguides.com/RDM)) and update it throughout the project. RDMPs should be stored in Cloud.UNE with active research data. |
| **6.3** | **Retention and disposal:** Researchers should be aware of and adhere to the minimum retention period applicable to their research as imposed by the NSW Government State Archives and Records (see Education: Higher & further education and research records (GA47), section [3.5.0 Research data](https://aus01.safelinks.protection.outlook.com/?url=https%3A%2F%2Fwww.records.nsw.gov.au%2Frecordkeeping%2Feducation%253A-higher-%2526-further-education-and-research-records-%2528ga47%2529&data=04%7C01%7Ckjacques%40une.edu.au%7C30881ec3656e45673f6d08d885e36070%7C3e104c4f8ef24d1483d8bd7d3b46b8db%7C0%7C0%7C637406558904693727%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C1000&sdata=ukgBaNiLrbCGT8T3iL%2BnQ5QM%2Bp4mJr3wjhFHf8XUe34%3D&reserved=0)) and UNE’s [Management and Storage of Research Data and Materials Procedures](https://policies.une.edu.au/view.current.php?id=00375).  Disposal of research data must considered in accordance with UNE’s [Management and Storage of Research Data and Materials Procedures](https://policies.une.edu.au/view.current.php?id=00375).  |
| **6.4** | **Archiving research data:** UNE Researchers are encouraged to archive their research data in UNE’s institutional repository, [Research UNE (RUNE)](https://rune.une.edu.au/web/index.jsp), or an appropriate external repository in accordance with UNE’s [Management and Storage of Research Data and Materials Procedures](https://policies.une.edu.au/view.current.php?id=00375).  Research data can be submitted to RUNE via the completion of the online submission form.  For assistance, please contact the Library via librarians@une.edu.au.  If research data are stored at another institution, also see UNE’s [Collaborative Research Rule](https://policies.une.edu.au/view.current.php?id=00030). |

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| **7. BUDGET** |
| **7.1** | For **auditing purposes**, is the Funding Scheme [Category 1](https://www.dese.gov.au/research-block-grants/higher-education-research-data-collection-herdc) funding? ‘Yes’ must meet these 5 criteria:1. The funds are provided on a nationally competitive basis;
2. The funds are for research;
3. The scheme is nationally advertised and available to all Australian universities;
4. The scheme has a well-defined mechanism for competition & selection by a qualified panel;
5. The funds are provided through direct payment to the University.
 | **Yes** [ ]  | **No** [ ]  |
| **7.2** | Is the funding being sourced via/by/from **Poultry Hub Australia (PHA)**, UNE’s **AGBU** OR **NSW Department of Planning and Environment**? *(not subject to 20% DVCR fee)* | **Yes** [ ]  | **No** [ ]  |
| **7.3** | Is the funding from a **Commonwealth-funded Research Centre (CRC)** in which UNE is a participant? | **Yes** [ ]  | **No** [ ]  |
| **7.4** | If none of the above, has UNE’s [20% DVCR Research Sustainability fee](https://policies.une.edu.au/document/view-current.php?id=435) been built into the budget? Note: The 20% fee will come off the total amount of funding UNE receives. *(****NB*** *- If you would like to* ***request a waiver of the 20% DVCR Research Sustainability Fee****, please email your justification to* *grants**.)* | **Yes** [ ]  | **No** [ ]  |
| **7.4.1** | If ‘no’, please clarify: |

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| **7.5** | **Year** | **2022** | **2023** | **2024** | **2025** | **2026** | **TOTAL** |
| **FUNDING BODY** | **Cash Requested in AU$** (ex-GST) | $ | $ | $ | $ | $ | **$** |
| **UNE** | **Cash Contribution** | $ | $ | $ | $ | $ | **$** |
| **Source** (e.g. DVCR/Faculty) |  |  |  |  |  |  |
| **In-Kind Contribution** | $ | $ | $ | $ | $ | **$** |
| **Staff surname& % FTE** |  | % |  | % |  | % |  | % |  | % |  |
|  | % |  | % |  | % |  | % |  | % |
|  | % |  | % |  | % |  | % |  | % |
| **Externally-funded Scholarship/Student Projects** | **Stipend** | $ | $ | $ | $ | $ | **$** |
| **Operating Expenses** | $ | $ | $ | $ | $ | **$** |

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| **7.6** | Cost Centre Code for the UNE Project leader (forms part of the project account number):  |
| **7.7** | Will any UNE personnel take any payment into an APF account? | **Yes** [ ]  | **No** [ ]  |
| **7.8** | If ‘yes’, provide full disclosure here, including APF account number: |
| **7.9** | Will any UNE personnel receive any payment in addition to their normal UNE salary as a result of their involvement in this Project? | **Yes** [ ]  | **No** [ ]  |
| **7.10** | If ‘yes’, provide brief details. You will also need to contact People and Culture. |
| **7.11** | Does the project income fully cover the budgeted costs? | **Yes** [ ]  | **No** [ ]  |
| **7.12** | If the budget **does not** fully cover the costs, please explain: |
| **7.13** | (SABL Only) Do you require Technical Assistance Support i.e. Technical Officer support  | **Yes** [ ]  | **No** [ ]  |
| **7.14** | If ’yes’, have the costings been included in the project budget? | **Yes** [ ]  | **No** [ ]  |
| **7.15** | (SABL Only) Will you be employing people using grant funding, including staff on current fixed-term appointments? Refer also 5.3.  | **Yes** [ ]  | **No** [ ]  |
| **7.16** | If ‘yes’, has severance pay (of up to 8 weeks) been costed into the budget for existing fixed-term staff who require an extension to their contract? | **Yes** [ ]  | **No** [ ]  |
| **7.17** | (SABL Only) Do you require access to UNE facilities e.g. Glasshouse, CART, Herbarium, SMART Farms, Analytical equipment, or the services of the SMART Farm Telemetry Hub?  | **Yes** [ ]  | **No** [ ]  |
| **7.18** | If ‘yes’, have you discussed your needs with the facility manager and used current fees and charges in your budget for the usage? Please provide details. Access to UNE CART approved by the Director CART (or delegate) and access to UNE SMART Farms approved by the Director SMART Farms (or delegate). CART charges can be downloaded [here](https://www.une.edu.au/about-une/faculty-of-science-agriculture-business-and-law/school-of-environmental-and-rural-science/research/facilities/animal-house-complex). | **Yes** [ ]  | **No** [ ]  |
| **7.19** | (SABL Only) If this grant is successful will you be applying for teaching relief?  | **Yes** [ ]  | **No** [ ]  |
| **7.20** | If ‘yes’, has this been costed into your budget? | **Yes** [ ]  | **No** [ ]  |

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| **8. RISK ASSESSMENT** |
| UNE researchers must be familiar with relevant [policies and guidelines](http://www.une.edu.au/research/ethics-and-grants/research-integrity), including: [University of New England Code of Conduct for Research Rule (UNECCR)](http://policies.une.edu.au/view.current.php?id=00106), the [*Australian Code for the Responsible Conduct of Research, 2018* and associated *Collaborative Research* guide](https://www.nhmrc.gov.au/guidelines-publications/r41), and [UNE’s Collaborative Research Rule](https://policies.une.edu.au/document/view-current.php?id=30). Research projects should be risk-assessed prior to commencement and risk-managed throughout the project’s duration.  |
| **8.1** | Are there **material risks**\*associated with the project? If there are material risks relevant to the project, beyond the everyday risks within the University, these should be discussed with the Faculty Dean or delegate before applying for the project and risk management actions agreed upon. The Research Grant Risk Assessment form will also need to be completed, signed and retained by the Faculty before commencing the project: <http://www.une.edu.au/about-une/leadership/executive/une-legal-and-governance/audit-and-risk>. | **Yes** [ ]  | **No** [ ]  |
| ***\*****A risk is considered ‘material’ if it threatens the success of any significant part of the University in any pertinent way. Material risks may include employing contractors, financial risk, Intellectual Property restrictions, contract liabilities, project management risk & travel to dangerous places.* |
| **For work off-campus** refer to [UNESAFE Risk Management Tools](https://www.une.edu.au/safety/whs-forms/risk-management-forms) |
| **8.2** | Does the research relate to goods, services or technologies that are controlled under the[**Defence and Strategic Goods List (DSGL)**](https://dsgl.defence.gov.au/Pages/Search.aspx)**?** Go to the user-friendly [online DSGL tool](https://dsgl.defence.gov.au/Pages/Home.aspx) to check if your project is one which could have a potential military use. See also: UNE’s compliance with *Defence Trade Controls Act 2012*: <https://compliance.une.edu.au/overview.php?id=68> If ‘Yes’, researchers are obliged to obtain the necessary permit/s, in consultation with Research Services. The [Export Controls Decision-Making Tree](https://www.une.edu.au/research/ethics-and-grants/grants/forms/?a=414887) illustrates the process at UNE in determining whether or not the research activity is subject to export control and requiring a permit. | **Yes** [ ]  | **No** [ ]  |
| **8.3** | Does your project include a technology initiative or procurement that will have an impact on **IT operations**?If ‘yes’, and your project is funded, you will need to arrange for the [Technology Architecture Group (TAG)](https://staff.une.edu.au/wiki/pages/viewpage.action?spaceKey=EA&title=Technology+Architecture+Group) in UNE’s Technology and Digital Services (TDS) to review and approve the agreement before it reaches the Legal Office. Contact: servicedesk@une.edu.au  | **Yes** [ ]  | **No** [ ]  |
| **8.4** | Is the project team aware that they should choose/support partners, goods suppliers and service providers who can demonstrate that they are not directly or indirectly supporting **modern slavery** practices? [More information](https://compliance.une.edu.au/overview.php?id=100) | **Yes** [ ]  | **No** [ ]  |
| **8.5** | **BIOSAFETY**: Does the project involve: importation of experimental organisms? deposition of biological materials? genetic manipulation? Ionising radiation? | **Yes** [ ]  | **No** [ ]  |
| *If Yes, give details:*  |

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| **9. DECLARATION OF CONFLICTS OF INTEREST** *Refer to:*[*Disclosure of interests and management of conflicts of interest guide* supporting the *Australian Code for the Responsible Conduct of Research 2018*](https://www.nhmrc.gov.au/about-us/publications/australian-code-responsible-conduct-research-2018)and [UNE’s *Conflicts of Interest Policy*](https://policies.une.edu.au/document/view-current.php?id=1). |
| **9.1** | Are any of the team members in a financial, business, personal or family relationship with other members of the research team? | **Yes** [ ]  | **No** [ ]  |
| **9.2** | If yes, please list the members here: If the relationship with any of the persons listed would be considered “a Close Personal Relationship” as defined by the [*Employment of Close Relatives and Other Close Associates Policy*](https://policies.une.edu.au/document/view-current.php?id=12&version=1)and [*Procedures*](https://policies.une.edu.au/document/view-current.php?id=11), the Head of Cost Centre must seek approval from People and Culture, before an offer of employment can be made. |
| **9.3** | Will any of the members listed in 9.2 be receiving payment from the project funds (including sub-contractors)? | **Yes** [ ]  | **No** [ ]  |
| **9.4** | Are there any other conflicts of interest as per examples in the [*Conflicts of Interest* *Procedures*](https://policies.une.edu.au/document/view-current.php?id=2)? | **Yes** [ ]  | **No** [ ]  |
| **9.4.1** | If 9.4 is ‘Yes’, please email your Supervisor, explaining the nature of any conflicts of interest, and a proposed solution for managing the conflict/s as per the [*Conflicts of Interest* *Procedures*](https://policies.une.edu.au/document/view-current.php?id=2). Finalised documentation should be emailed to conflictsofinterest@une.edu.au with c.c. to grants@une.edu.au  | **Done** [ ]  |

**10. COMMENTS/REQUESTS (optional) (e.g. special Intellectual Property requirements) :**

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| **11. RATIFICATION & SUBMISSION** |
| **11.1** | **Sign-off by UNE project leader:** |
| I confirm that all of the details provided above are complete and correct to the best of my knowledge, and that I have fully disclosed all relevant material, including any conflicts of interest, to the authorising officer. **I have informed my Head of School about this application and they are supportive.** The Head of School has also confirmed the following: the project can be accommodated within the general facilities in the School; sufficient working and office space is available for any proposed additional staff; and the amount of time that I will be devoting to the project is appropriate to existing workloads.  |
| **Signature** |  | **Date** |  |
| **11.2** | **Sign-off by UNE authorised Business Owner (Dean of Faculty or delegate):** |
| I confirm that I have verified the contents of this form, including conflicts of interest, reviewed the project costing, risk-evaluation and authorise the project as outlined. |
| **Signature** |  | **Date** |  |

***Faculty: please submit the fully signed Project Approval Form (PAF) with a complete copy of the application******to:***

***Research Services’ Grants Team****grants@une.edu.au*

1. **Please note UNE’s research output is only assessed on funding which remains with UNE**. For details, please refer to the ‘Income involving other parties’ section of the latest HERDC Specifications: <https://education.gov.au/higher-education-research-data-collection> [↑](#endnote-ref-1)
2. If the **cost exceeds $10,000 please refer to UNE’s** [Procurement Procedures](https://policies.une.edu.au/document/view-current.php?id=76&version=1) and**/or contact the** Strategic Procurement Directorate**.** [↑](#endnote-ref-2)