

RESEARCH INFORMATION FORM

PURPOSE AND INSTRUCTIONS

The purpose of this form is to provide key information to the University and the Government for the administration of research conducted by UTS staff and postgraduate research students. This form must be completed for all proposed research projects and programs (including grant applications, contract research proposals, tenders, commercial agreements and collaborations, postgraduate student research and unfunded research).

DEFINITIONS

Research

Projects and Programs must meet the definition of research stipulated by DIISR in the current Higher Education Research Data Collection Specifications (refer to www.uts.edu.au/research/funding/resources.html).

Funds received by the University from outside organisations for research are included in the reported research income total for which the University receives Institutional Grants Scheme (IGS) funds from DIISR. It is therefore important that all eligible research income is included, and that income from activities which do not qualify as research, is excluded. The University is audited on its submission of research income data.

Research Program

A group of research projects having similar goals and using the same techniques and presenting the same risks.

On completion of this form, please forward it to the area in your Faculty or Unit with responsibility for research, together with any additional documentation e.g. funding application, project brief, tender documents.

Sections 1 & 2 must be completed for all research projects/programs, including unfunded and postgraduate student research.

SECTION 1: Certifications

The purpose of this Section is to provide certification that appropriate University officers are aware of the research proposal and that, to the best of their knowledge, all legislative and other requirements have been, or will be met, prior to the commencement of the research.

SECTION 2: Risk Assessment

The purpose of this Section is to ensure that prior to the commencement of the research, risks to the University are identified, assessed and managed.

The following Sections must be completed for all research projects/programs for which funding is sought from any source. The purpose of these Sections is to provide information to the University for the administration of research funds.

SECTION 3.1: Funding Details

The purpose of this Section is to provide information about funding sources, fund sharing arrangements, and research codes.

SECTION 3.2: Research Infrastructure Costing and Income (If applicable)

The purpose of this Section is to provide information for the calculation and distribution of University research infrastructure income.



RESEARCH INFORMATION FORM

SECTION 1. CERTIFICATIONS

Project/Program Title:

First Named Investigator: Contact Phone No.

Faculty/Institute/Unit

Estimated project start date: Estimated project completion date:

Commercial considerations (for all research)

Does this research have potential commercial value? Yes No Unsure

If yes, has this aspect been disclosed to the Research & Innovation Office? Yes No

Has a Disclosure form been submitted? www.uts.edu.au/research/funding/resources.html Yes No If yes, when?

Is this work the subject of a patent application? Yes No

If you are unsure of the commercial relevance of the research or require further information, please contact a member of the RIO Technology Transfer Team.

Before commencement of this research work, I agree to:

- obtain any necessary Human Ethics, Animal Ethics and Biosafety approvals,
- ensure that a risk assessment is conducted to identify sources of risk associated with the research,
- ensure that the research complies with the Australian Code for the Responsible Conduct of Research <http://www.nhmrc.gov.au/publications/synopses/r39syn.htm>,
- ensure that appropriate controls are in place to manage any risks associated with the research,
- consult with the laboratory/workshop managers involved about any risks presented by the research, where applicable,
- contact the EHS Branch (ext 1063, 1062 or 1326) if the level of risk is determined to be high or extreme.

I will notify the relevant laboratory/workshop manager and/or ethics and safety committees, of any changes to this research work in the duration of this research that may increase the level of risk.

In addition, if an application for funding is involved:

- I confirm that the project is in accordance with the **definition of research** stipulated in the current DIISR Higher Education Research Data Collection specifications,
- I agree that if funds are awarded, I will observe the conditions stipulated by the funding body, including all Reporting requirements,
- I will ensure that the relevant approvals either have been or are being obtained and will be forwarded to the Research & Innovation Office; and understand that access to research funds will not be available before any necessary ethics/safety approvals have been obtained,
- I confirm that an in-principle agreement on the workload of the researchers involved has been negotiated and will be confirmed if the application is successful.

First Chief Investigator (Print Name)	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>

Head of academic unit/supervisor (Print Name)	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>

DEAN OF FACULTY, OR EQUIVALENT, OR NOMINEE

Only to be completed for research involving funding.

I certify that the research can be accommodated within the space and physical facilities of the Faculty/Unit concerned. I certify commitment of any amounts indicated from the Faculty/Unit. Workload of the researchers involved will be negotiated on the success of the application.

Approved by

Dean of Faculty, or equivalent, or nominee (Print Name)	Signature	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>

CHECKLIST

1) RESEARCHER USE

- Copy of funding application attached (if applicable)
- Signature of Immediate Supervisor obtained
- Signature of Dean of Faculty, or equivalent, or nominee (if applicable)
- Submitted to Faculty/Unit Office (Date: __/__/__)

2) FACULTY/UNIT USE

- Original retained at Faculty/Unit (unfunded research)
- Original forwarded to UTS Research and Innovation Office (research involving funding) (Date: __/__/__)
- (copy retained by Faculty/Unit).

3) UTS RESEARCH & INNOVATION

OFFICE USE

Entered in Database

(Date: __/__/__)

Corporate File

RESEARCH INFORMATION FORM

SECTION 2: RISK ASSESSMENT

Identify all sources of risk

- Tick any hazards/sources of risk presented by the research.
- Take note of the actions required to satisfy specific legal obligations.

Sources of Risk / Hazards	Actions to be taken*
<p><input type="checkbox"/> HUMAN ETHICS</p> <p>– Research involving human subjects/participants – including questionnaires, interviews, access to identified data, or any other situation that may be subject to privacy legislation etc</p>	<ul style="list-style-type: none"> • Obtain UTS Human Ethics approval (Please confirm with Research Ethics Manager) http://www.uts.edu.au/research/policies/restricted/human.html or email research.ethics@uts.edu.au <input type="checkbox"/> Have you applied for ethics approval? <input style="width: 100px;" type="text" value="*HREC No."/> <input type="checkbox"/> Has ethics approval been granted?*
<p><input type="checkbox"/> ANIMAL ETHICS</p> <p>– Use of animals for experimentation.</p>	<ul style="list-style-type: none"> • Obtain UTS Animal Ethics approval http://www.uts.edu.au/research/policies/restricted/accec.html or email research.ethics@uts.edu.au <input type="checkbox"/> Have you applied for ethics approval? <input style="width: 100px;" type="text" value="*ACEC No."/> <input type="checkbox"/> Has ethics approval been granted?*
<p><input type="checkbox"/> GENETICALLY MODIFIED ORGANISMS</p> <p>– Any dealings with GMO's, genetic manipulation.</p>	<ul style="list-style-type: none"> • Obtain UTS Biosafety approval http://www.uts.edu.au/research/policies/restricted/biosafety.html or email research.ethics@uts.edu.au <input type="checkbox"/> Have you applied for Biosafety approval? <input type="checkbox"/> Has Biosafety approval been granted?* <input style="width: 100px;" type="text" value="*Approval No."/>
<p><input type="checkbox"/> PATHOGENIC MICROORGANISMS</p> <p>– e.g. pathogenic bacteria, parasites, fungi or viruses, human blood or bodily fluids.</p>	
<p><input type="checkbox"/> IMPORTED BIOLOGICAL MATERIAL</p> <p>– e.g. imported cell lines, culture media, laboratory animals, microorganisms, reagents of biological origin, animal serum, animal tissue extracts.</p>	
<p><input type="checkbox"/> IONISING RADIATION</p> <p>– e.g. radioactive substances</p>	
<p><input type="checkbox"/> CYTOTOXINS</p> <p>– e.g. carcinogens, mutagens or teratogens</p>	
<p><input type="checkbox"/> CHEMICAL</p> <p>– e.g. hazardous substances or dangerous goods, dust, fumes, vapours and gases</p>	
<p><input type="checkbox"/> PHYSICAL</p> <p>– e.g. noise, vibration, hazardous plant/equipment, lasers, ionising radiation apparatus, non-ionising radiation, extreme temperatures, compressed gasses, pressure vessels/boilers, lifts/hoists/cranes, electrical equipment, lifting or moving awkward or heavy objects, repetitive or awkward movements</p>	<ul style="list-style-type: none"> • Document a risk assessment for working with these hazards. • Implement appropriate controls in consultation with staff/ students, laboratory/workshop managers and/or technical staff.
<p><input type="checkbox"/> WORK ENVIRONMENT</p> <p>– work in a location remote from the campus, outdoor work, work in confined space, work in isolation, work at a height, potentially volatile or violent clients/interviewees</p>	
<p><input type="checkbox"/> ENVIRONMENT</p> <p>– emissions to atmosphere, discharge to soil and water bodies (including stormwater run-off), nuisance noise and odour.</p>	

*If ethics/Biosafety approval has already been obtained for this project, please attach copy of committee approval letter.

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SECTION 3.1: FUNDING DETAILS

Name of Funding Agency/Scheme/Organisation

Type of Fund Source sought

Grant Contract Research Consultancy Access UTS contact details: accessuts@uts.edu.au Tel: 9514 1916 Sponsorship/Donation UTS Development Office Tel: 9514 9825

Type of work supported (Mark more than one if applicable)

Project/Program Fellowship Scholarship Infrastructure Travel
 Other Details

Total Amount Sought From Funding Source

YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Other Cash Support for this Research

Is this project receiving cash support from another fund source?

If Yes, please provide name of organisation (and scheme if appropriate) .

Details of Other Cash Contributions (If applicable)

UTS Central Funds Contribution	\$ <input type="text"/>
Faculty/Unit Contribution	\$ <input type="text"/>
Other (eg. Other Uni, Industry Partner)	\$ <input type="text"/>

Grant Sharing Arrangements (if applicable)

Proposed arrangements for the management of the funds between the University of Technology, Sydney (UTS), as administering institution, and each collaborating institution*

Institutions	Year 1	Year 2	Year 3	Year 4	Year 5
UTS	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>
	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>	\$ <input type="text"/>

* If successful, an agreement for the sharing of grant funds will need to be arranged through the R&D Office.

Research Codes

Field of Research (FOR-08) Codes*		Socio Economic Objective (SEO-08) Codes*		ABS Type of Activity Classification*	Percentage (total 100%)
6 digit code	Percentage (total 100%)	6 digit code	Percentage (total 100%)	Pure Basic	
				Strategic	
				Applied	
				Experimental	

* For FOR-08 and SEO-08 Codes, SEO Codes and ABS Type of Activity Classification refer to website: www.uts.edu.au/research/funding/resources.html#codes

Research Infrastructure Costing & Income

Is the funding agency UTS, or listed on the Australian Competitive Grants Register (ACGR)?

Yes No

The University receives research infrastructure funding directly from the Commonwealth for grants funded under schemes listed on the ACGR. For further details of the ACGR and the UTS University Research Infrastructure Costs Policy, refer to www.uts.edu.au/research/funding/resources.html.

If NO, please complete Section 3.2 Research Infrastructure Costing & Income.

A COPY OF THE APPLICATION/PROPOSAL/SUBMISSION/TENDER MUST BE ATTACHED WHEN FORWARDING THIS FORM TO THE RESEARCH & INNOVATION OFFICE.

RESEARCH INFORMATION FORM

SECTION 3.2: RESEARCH INFRASTRUCTURE COSTING & INCOME (If Applicable)

APPROVAL - COMPLETE EITHER A. OR B.

A. The following details must be completed for all research not funded either by UTS or under a scheme listed on the Australian Competitive Grants Register. (The University receives research infrastructure funding directly from the Commonwealth for grants funded under schemes listed on the ACGR, refer to www.uts.edu.au/research/funding/resources.html).

Infrastructure percentage:
(tick appropriate box)

25% Non-laboratory based research or
(19% Faculty/Unit+6% Research &
Innovation Office).

30% Laboratory-based research
(24% Faculty/Unit 6% Research &
Innovation Office).

Account to be used:

Investigator percentage:

% From Faculty/Unit portion, to be determined by Faculty/Unit but at least 1/3 of Faculty/Unit amount.
Investigator must submit acceptable budget to Faculty/Unit.

Account to be used:

I agree that the above percentages are correct.

Dean of Faculty/Unit, or equivalent, or nominee (Print Name)

Signature

Date

OR

B. I recommend waiver of Faculty Infrastructure Income. (Research & Innovation Office Infrastructure Income may not be waived.)

The rationale for this recommendation is:

- Funding source is a registered charitable organization (please attach evidence)
- Strategic value of relationship
- Organisation/Scheme will not fund University infrastructure (please attach evidence)
- Other – please provide details below

Dean of Faculty/Unit, or equivalent, or nominee (Print Name)

Signature

Date

Deputy Vice Chancellor (Research) (Print Name)

Signature

Date

I approve waiver of Faculty Infrastructure Income.

AMOUNTS (RIF USE ONLY)

Amount granted:

Infrastructure income amount:

Research & Innovation Office 6%

Faculty/Unit 19% 24%

Investigator

at least 1/3 of Faculty/Unit amount (see above)