

## Schedule 3: Research delegations

### **General conditions of exercising these delegations**

Delegates must comply with requirements for exercising all delegations stated in the Delegations Procedure above

For the exercise of financial delegations in this schedule, delegates must also comply with the general conditions for exercising financial delegations described in schedule 5.

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
<b>Research ethics</b>				
3.1	Approve use of animals in research or teaching.	Animal Care and Ethics Committee		<a href="#">Animal Research Ethics Procedure</a>
3.2	Suspend, terminate or restrict use of animals in research or teaching.	DVC Research and Enterprise PVC Research		<a href="#">Animal Research Ethics Procedure</a>
3.3	Approve research involving human participants, data provided by human participants or human tissue.	Human Research Ethics Advisory Panel Human Research Ethics Committee		<a href="#">Human Research Ethics Procedure</a>
3.4	Suspend, terminate or restrict research involving human participants, data provided by human participants or human tissue.	DVC Research and Enterprise PVC Research		<a href="#">Human Research Ethics Procedure</a>
<b>Research safety</b>				
3.5	Approve a research or teaching activity involving regulated biological materials.	Gene Technology Research Committee		<a href="#">Regulated Biological Materials Research Procedure</a>
3.6	Suspend, terminate or restrict a research or teaching activity involving regulated biological materials.	DVC Research and Enterprise PVC Research		<a href="#">Regulated Biological Materials Research Procedure</a>
3.7	Approve a research or teaching activity that involves radiation (whether ionising or non-ionising).	Radiation Safety Committee		<a href="#">Radiation Research Procedure</a>
3.8	Suspend, terminate or restrict a research or teaching activity involving radiation.	DVC Research and Enterprise PVC Research		<a href="#">Radiation Research Procedure</a>

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
<b>Research and research consulting agreements</b>				
3.9	<p>Sign an agreement with another organisation:</p> <p>a. for an overarching research collaboration (such as a master research agreement) or research affiliation.</p> <p>b. for collaboration on research facilities or infrastructure.</p> <p>Note: 3.9(a) is not intended to cover routine research agreements for projects.</p>	<p>a. Provost DVC Research and Enterprise PVC Research</p> <p>b. DVC Research and Enterprise PVC Research PVC Research Infrastructure</p>	The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.	<a href="#">This is an authorisation made by the VC in accordance with s50(3) of the Interpretation Act 1987 (NSW).</a>
3.10	As Sponsor, sign a clinical trial research agreement with another organisation.	Director Research Ethics and Compliance Support	The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.	<a href="#">This is an authorisation made by the VC in accordance with s50(3) of the Interpretation Act 1987 (NSW).</a>

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
3.11	Sign an agreement to commercialise UNSW intellectual property that is the outcome of research.	DVC Research and Enterprise PVC Research PVC Research Infrastructure PVC Industry and Innovation Director Business Development and Commercialisation Deputy Director Business Development and Commercialisation	The Director Business Development and Commercialisation and Deputy Director Business Development and Commercialisation will exercise their delegation in accordance with processes maintained by the PVC Industry and Innovation as to which factors require escalation of approval to a more senior delegate.  The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.	<a href="#">Disclosing and Exploiting Intellectual Property (IP) Procedure</a>  This is an authorisation made by the VC in accordance with s50(3) of the <i>Interpretation Act 1987</i> (NSW).
3.12	Sign a non-disclosure agreement with another organisation in relation to a research collaboration or commercialisation of UNSW intellectual property.	DVC Research and Enterprise PVC Industry and Innovation PVC Research PVC Research Infrastructure Director Research Grants and Contracts Deputy Director Research Grants and Contracts Director Research Strategy Office Director Defence Research Institute Director Business Development and Commercialisation Deputy Director Business Development and Commercialisation Senior Business Development Manager Senior New Ventures Manager	The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.	<a href="#">Disclosing and Exploiting Intellectual Property (IP) Procedure</a>  This is an authorisation made by the VC in accordance with s50(3) of the <i>Interpretation Act 1987</i> (NSW).

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
		Head Greater China Strategic		
3.13	Sign an agreement to provide a research consulting service.	VC Provost DVC Research and Enterprise PVC Industry and Innovation PVC Research Director Research Grants and Contracts Deputy Director Research Grants and Contracts Director Business Development and Commercialisation Deputy Director Business Development and Commercialisation Manager UniSearch	The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.	<a href="#">This is an authorisation made by the VC in accordance with s50(3) of the Interpretation Act 1987 (NSW).</a>
3.14	Sign an agreement (including a “payment on behalf” agreement) relating to a research activity/activities of: a. a faculty or b. one or more schools of a faculty or c. centres or institutes, other than the types of agreement specified in delegations 3.9 - 3.13, and 3.15.	a. Dean of faculty b. Dean of faculty c. Dean of faculty the head or director or CEO of a centre or institute	Where the agreement commits the University to expenditure, the decision to enter the agreement must have been approved by an officer who holds the financial delegation for that amount of expenditure under delegation <a href="#">5.17</a> .  The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.	<a href="#">This is an authorisation made by the VC in accordance with s50(3) of the Interpretation Act 1987 (NSW).</a>

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
3.15	Sign an agreement relating to a research activity of a school, other than the types of agreement specified in delegations 3.9 – 3.14.	Head of school	<p>Where the agreement commits the University to expenditure, the decision to enter the agreement must have been approved by an officer who holds the financial delegation for that amount of expenditure under delegation <a href="#">5.17</a>.</p> <p>The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.</p>	<a href="#">This is an authorisation made by the VC in accordance with s50(3) of the Interpretation Act 1987 (NSW).</a>
<b>Research grants and Contracts</b>				
3.16	Approve allocation of funds for the purpose of applying for a research grant or entering a contract to conduct research: a. ≤\$2M b. ≤\$500K.	a. PVC Research PVC Research Infrastructure b. Director Research Grants and Contracts Director Research Strategy Office	a. The PVC Research Infrastructure will exercise this delegation in relation to research infrastructure grants.	
3.17	Approve application for a grant for research purposes, for research infrastructure or for industry or commercial activity >\$5M.	DVC Research and Enterprise PVC Industry and Innovation PVC Research PVC Research Infrastructure Director Research Grants and Contracts.	<p>The DVC Research and Enterprise will maintain processes for the PVC Industry and Innovation, PVC Research, PVC Research Infrastructure and Director Research Grants and Contracts to exercise this delegation.</p> <p>Where the grant will entail a financial obligation for the University, the decision to apply must be made or must have been endorsed by a delegate who holds the financial delegation for the expenditure under delegation <a href="#">5.17</a> or 3.16.</p> <p>Where the grant will entail a non-</p>	

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
			financial obligation, advice must be obtained from the Legal and Compliance Office.	
3.18	Except in relation to any philanthropic grants for research projects covered under the delegation in <a href="#">5.9</a> , approve acceptance of a research grant, research infrastructure grant or a grant for industry or commercial activity and sign related agreements such as research collaborations, project agreements, multi institutional agreement, research services agreement and material transfer agreements.	VC Provost DVC Research and Enterprise PVC Industry and Innovation PVC Research PVC Research Infrastructure Director Research Grants and Contracts Deputy Director Research Grants and Contracts Director Research Strategy Office Director of Business Development and Commercialisation Deputy Director Business Development and Commercialisation.	<p>The PVC Industry and Innovation, PVC Research, PVC Research Infrastructure, Director Research Grants and Contracts, Deputy Director Research Grants and Contracts, Director Research Strategy Office Director of Business Development and Commercialisation, Deputy Director Business Development and Commercialisation will exercise their delegation in accordance with processes maintained by the DVC Research and Enterprise as to which type and size of grant they may approve and which factors require escalation of approval to a more senior delegate.</p> <p>Where the grant agreement includes a condition that UNSW intellectual property will be commercialised, the decision to accept must have been endorsed by a delegate under delegation 3.11.</p> <p>The delegate must ensure the requirements of clause 1.18 of the Delegations Procedure are satisfied prior to the exercise of this delegation.</p> <p>Where accepting the grant entails a commitment to spend UNSW funds, that commitment must have been approved by someone who holds</p>	<a href="#">This is an authorisation made by the VC in accordance with s50(3) of the Interpretation Act 1987 (NSW).</a>

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
			delegation 3.16 or, if the amount is >\$2M, a delegate under delegation <a href="#">5.17</a> who can approve the amount.	
3.19	Authorise a payment to a third party involving the use of research grant funding: a. ≤\$20M b. ≤\$10M c. ≤\$1M d. ≤\$250K e. ≤\$50K.	a. CFO b. Director Finance Business Partnering Director Financial Control and Compliance c. Associate Director Research Finance Finance Business Partner Medicine d. Manager, Research Finance e. Manager, Research and Revenue Accounting		
<b>Research Integrity</b>				
3.20	Decide to convene an Investigation Panel	DVC Research and Enterprise	The DVC Research and Enterprise exercises the function of Responsible Officer+	<a href="#">Complaints Management and Investigations Policy &amp; Procedure</a>  + <a href="#">Australian Code for the Responsible Conduct of Research and Guide to managing and investigating potential breaches of the Australian Code for the Responsible Conduct of Research</a>
3.21	Appoint a Research Integrity Advisor under the Australian Code for the Responsible Conduct of Research	Deputy Vice-Chancellor (Research & Enterprise)	The delegate will exercise this delegation on the recommendation of a Dean, a PVC or the Provost and after first consulting with the Conduct & Integrity Unit.	<a href="#">Australian Code for the Responsible Conduct of Research</a>

No.	Delegation	Delegate	Conditions of exercise	Relevant legislation, policy documents
3.22	<p>Make a determination of breaches of the Code of Conduct &amp; Values, apply penalties<sup>^</sup> to researchers for misconduct, set conditions a researcher must meet where it is found that they have breached the Code.</p> <p><sup>^</sup> Other than:</p> <ul style="list-style-type: none"> <li>i. revoking the award of a degree – delegation 1.21 authorises delegates to make that decision.</li> <li>ii. disciplinary action under the EA.</li> <li>iii. suspending or excluding a research student for serious breach or misconduct – delegation 1.28 authorises delegates to make that decision.</li> </ul>	<p>Director Conduct and Integrity</p> <p>The following staff in Conduct and Integrity:</p> <ul style="list-style-type: none"> <li>• Deputy Director Conduct and Integrity</li> <li>• Manager, Research Integrity</li> <li>• Manager Student Conduct and Integrity</li> <li>• Senior Case Manager in Conduct and Integrity</li> <li>• Case Manager in Conduct and Integrity</li> </ul> <p>Director, Research Ethics &amp; Complaints (RECS)</p> <p>DVC Education and Student Experience</p>	<p>The delegates will exercise this delegation in accordance with processes for escalation of decisions to apply certain penalties that the Director Conduct and Integrity maintains.</p>	<p><a href="#">Complaints Management and Investigations Policy &amp; Procedure</a></p>