

Finance Implementation Project

Procedure for managing non research-intensive Knowledge Exchange (KE) projects

Document summary

Faculty/Division:	Division of Enterprise/ Division of Finance & Operations
School:	N/A
Finance functional area:	Finance Business Partners (FBP), with assistance from Management Reporting & Analysis (MR&A)
Finance Process Owner:	Deputy CFO/ Senior Finance Business Partner/ Finance Business Partner for the Division of Enterprise (FBP DVCE)
Related process:	N/A
Procedure name:	Procedure for managing non research-intensive Knowledge Exchange (KE) projects¹
Related procedures:	Budget model
Reference:	ENT_KE

Version control

Version	Comments	Author(s)	Date
0.1	Initial draft	Quintra Rijnders	11/12/17
0.2	Draft version	Quintra Rijnders	18/12/17
0.3 to 0.5	(Final) draft for Finance	Quintra Rijnders	16/01/18
0.6	Draft for MR&A team	Quintra Rijnders	23/01/18
0.7	Draft with review notes Marie Saparamadu processed	Quintra Rijnders	1/02/18
0.8	Draft with review notes John Arneil, Lynette Petrie and Christine Sabile processed	Quintra Rijnders	9/02/18
0.9	Final comments from Matt Cressman and Urania Stamios	Quintra Rijnders	12/02/18
1.0	Pre-reading for training	Quintra Rijnders	5/03/18
1.1 and 1.2	Correction of minor inconsistencies	Quintra Rijnders	2/05/18

Document review

Name	Role	Responsibility	Date
John Arneil	Director Unisearch	User acceptance	11/12/17

¹ KE definition is contained in Appendix D

Matt Cressman and Urania Stamios	Deputy CFO and Senior Finance Business Partner	Acceptance from Finance perspective	23/01/18 and 12/02/18
Lynette Petrie, Marie Saparamadu, Christine Sabile	Director of MR&A, Budgeting Manager, Manager MR&A team	Acceptance from MR&A perspective	9/02/18
Warwick Dawson	Director of KE	Acceptance from the Division of Enterprise perspective	9/02/18
Quintra Rijnders	FBP DVCE	Yearly evaluation of procedure for business fit	January 2019

Overview

Objective:	To provide guidance to oneFinance staff and Unisearch staff in the form of a robust and systematic workflow for the execution of UNSW KE non research-intensive activities in line with our governance obligations and NSW State competitive neutrality provisions 2002.
Summary:	This workflow articulates the roles and processes for KE project owners in each Faculty/Division, the Division of Enterprise (Unisearch) and Finance staff when managing a non research-intensive KE project. It ensures consistent and commercially viable practice in pricing, contracting and reporting within the appropriate delegations and financial controls.
Controls:	<ul style="list-style-type: none"> • Pricing tool • Fee proposal/contract terms • Centralised contract management, invoicing and reporting
Frequency & volume:	<ul style="list-style-type: none"> • It is initiated at the commencement of each new non research-intensive KE project • Indirect Cost Recovery (ICR) and surpluses are made available through the budgeting process and when a project closes off respectively • Deficits will be allocated to operating funds according to specified chart fields by the KE project owner at the start of a project²
Service targets:	Ongoing
Inputs:	<ul style="list-style-type: none"> • Non research-intensive KE Budget generated from pricing tool • Standard contract terms from Unisearch • Signed engagement letter from non research-intensive KE Sponsor
Outputs:	<ul style="list-style-type: none"> • Navision/Microsoft Dynamics³ Customer Relationship Management (CRM) Job file – from Unisearch to internal or external audit • Contract records – from Unisearch to internal or external audit

² This would usually be the Head of School/Director or a delegate but may differ per Faculty or Division.

³ To be implemented over the course of FY2018 and replace Navision.

	<ul style="list-style-type: none"> • Amongst others: Signed contract, budget by year⁴ and ICR⁵ details to be provided to MR&A by Unisearch or KE project owner for project set up (refer to opportunity management section below) • Financial management and reporting – from MR&A to Unisearch and KE project owner. Project owner and Unisearch should use existing tools and self-service as much as possible • Instructions to create invoices, POs, and receipting from Unisearch or KE project owner to FST • Job acquittal report⁶ – from Unisearch to MR&A/FST (Finance) and KE project owner, which is the trigger for project closure by MR&A • SPF4A item in budget letter for Faculty/Division share of ICR, to be provided by the FBP DVCE to MR&A Central at budgeting time • RF111 surplus amounts (at a Faculty/Division level), to be journalled by Faculty/Division MR&A upon project closure
Policies & standards:	<ul style="list-style-type: none"> • Conflict of Interest Policy • Paid Outside Work by Academic Staff Policy • Pricing of Externally Funded Research Procedure
Notes:	

Financial Management of non research-intensive KE projects: Budgeting and Actuals

Unisearch requires notification of any non research-intensive KE projects (both existing and new projects) to allow a central point of control and reporting on non research-intensive KE activities. FBPs will report on all non research-intensive KE activity in their areas, using a template/report provided by FBP DVCE.

1) Budgeting

- **FBP** will review their area of accountability and if non research-intensive KE activity exists, the **FBP** will provide to **FBP DVCE** the amount of non research-intensive KE and ICR to be expected in the next three financial years on a template that will be provided.
- **The FBP DVCE** will provide **MR&A Central** with the non research-intensive KE budgeted revenue and ICR per Faculty/Division.
- Budgeted KE revenue will be included in the budget on fund code KE001.

See **Appendix A** for a flowchart of the below steps 2 through 6.

⁴ Guidance needed on budget allocation in case there are multiple KE project owners.

⁵ This may be converted to an automated process in the future, based on actuals. Multi-year projects will be journalised every year, based on initial budget estimates with a true up done at the end of the contract per step 6.

⁶ An acquittal report is a comparison from quote/fee proposal to invoices (sales and purchase). It notes any variations in either revenue from client and payments to vendors.

2) *Opportunity management and creation of contract*

- a) The **KE project owner**⁷ in the **Faculty/Division** negotiates the scope of work and deliverables with the external Sponsor. The **KE project owner** has the option to involve **Unisearch** in this negotiation.
- b) **Unisearch** project management support is recommended for new, large and complex activities⁸. **Unisearch** involvement is mandatory for:
 - Expert opinion work;
 - All consulting over AU\$100k on non-template contracts;
 - All sub-contracting or partnering with an external entity, international partners, or multi-party engagements; and
 - All paid outside work.
- i) Unisearch has access to approved non research-intensive KE contract templates. These templates contain the necessary clauses on payment terms, contract termination, sub-contracting, surpluses/deficits etc. The use of these templates is strongly recommended for any non research-intensive KE activity.
- ii) Unisearch maintains the pricing tool and provides guidance on this tool. The pricing tool can be accessed at: <https://research.unsw.edu.au/user/login> (access needs to be requested).
- iii) For help with the pricing tool, reach out to the Director of Unisearch, John Arneil, john.arneil@unsw.edu.au.
- iv) Training and communications on the pricing tool will be available in the first half of 2018.

Please note: The below process steps assume **Unisearch** assistance with a non research-intensive KE project. If **Unisearch** does not provide assistance, the **KE project owner in the Faculty/Division** is required to complete the relevant activities listed below: including notification to **MR&A in the Faculty/Division**.

- c) **Unisearch** creates a job number in CRM.
 - d) **Unisearch** provides assistance with the pricing tool and contract negotiation process. **Unisearch** finalises the internal budget and files the budget in the job number.
 - e) **Unisearch** confirms the final quote with the **KE project owner**. **Unisearch** prepares the fee proposal, contract terms and dispatch to the Sponsor for their approval or renegotiation.
 - f) Upon receipt of signed contract, **Unisearch** files the contract in the job number and notifies the **KE project owner** and subcontractors, if any, that they may proceed with the services.
- 3) *Project setup*
- a) **Unisearch** provides an email template (refer to Appendix E) to the School/Centre/Division contact in **MR&A** (<https://www.fin.unsw.edu.au/contact-ideas>) to enable setup of the project, containing all

⁷ This would usually be the Head of School/Director of Centre or Division or a delegate but may differ per Faculty or Division.

⁸ Reduces the risks associated with non research-intensive KE projects through enhanced mitigation strategies. Refer to Appendix B for a risk assessment for non research-intensive KE projects, with and without Unisearch's involvement.

required information for setup, as listed in the bullets below. **Faculty/Division MR&A**⁹ performs the following actions:

- creates a project ID for the KE project;
- inputs the revenue budget and ICR¹⁰;
- sets the appropriate KE attribute (refer to Appendix C);
- quotes a Unisearch reference in the Grant Id field;
- updates the portfolio manager field to the KE project owner;
- allocates People Cost (**PC**) expenses; and
- adds the deficit chart fields in the long description. This information is required should the project be in a deficit at the time it is closed.

Once the project has been set up, **MR&A** sends an email to the KE project owner, any other academic staff involved, Unisearch, the relevant FBP and Head of School (refer to Appendix F).

4) *Execution*

- a) **KE project owner** performs/ oversees the performance of the KE project with regular consultations with **Unisearch** as appropriate.
- b) Non People Costs (**NPC**) will be journalled as invoices are received, by **FST**. Instructed by **Unisearch**, **FST** will prepare POs, invoices, pay direct NPC (including the ones for sub-contractors, after the KE project owner receipts them), perform AR/debt collection.
- c) If academic staff are undertaking KE projects, these projects could be monitored via web based academic financials (it is a self-service Calumo report to track project balances).
- d) *If applicable and agreed at the outset of the project*, for each milestone, **KE project owner** prepares and submits claims attributed to the job number to **Unisearch**.
- e) **Unisearch** acquit job (milestones) against original budget and prepare an acquittal report¹¹ for **Finance**. This is the trigger for **MR&A** to close the project.

5) *Scope changes*

- a) **Unisearch** assists the **KE project owner** in getting scope extensions or other scope changes if required.

6) *Project close*

- a) **Unisearch** or the **KE project owner** advises **MR&A** that the project may be closed as the services have concluded.
- b) **MR&A** performs a true up and journals ICR and surplus/deficit (see point d below) at the end of the KE project⁶, confirms the surplus or deficit with **Unisearch** or the **KE project owner** and closes the project.
- c) On conclusion of the services, **Unisearch** closes the job number in CRM.
- d) In the event of a deficit, **MR&A** will transfer the overspend to operating funds at the time of the project closure as per the chart fields provided at the time of project setup.

⁹ A new Analyst position for managing the non research-intensive KE projects will be created in the Faculty/Division MR&A team and will (partially) be funded on a relative cost allocation basis by all the non research-intensive KE projects. Further details about this can be requested from the FBP DVCE.

¹⁰ This may be converted to an automated process in the future, based on actuals. Multi-year projects will be journalised every year, based on initial budget estimates with a true up done at the end of the contract per step 6.

¹¹ An acquittal report is a comparison from quote/fee proposal to invoices (sales and purchase). It notes any variations in either revenue from client and payments to vendors.

Main roles and responsibilities Matrix				
Item	FBP DVCE	FBPs	Unisearch/ KE project owner	MR&A
Set KE001 budget at Faculty/Division, confirm non research-intensive KE		✓		
Collate KE001 budget and provide SPF4A budget	✓			
Contract management (incl. scope changes), request for non research-intensive KE project to be opened or closed			✓	
Open and close non research-intensive KE projects, transfer deficit/surplus				✓
Monitor non research-intensive KE projects			✓	

Summary of steps for SPF4A budget and RF111 code for surplus

SPF4A

1. The **FBP DVCE** identifies non research-intensive KE projects that have generated ICR in the ledger accounts 6942 and 6943 through the KE01 – KE04 and KE07 and KE08 attributes (refer to Appendix C)¹². The **FBP DVCE** estimates further ICR based on forecast and establishes the full year incentive estimate for year 1. Estimates for years 2 and 3 will be based on the ICR estimates received by the FBP DVCE through the template process.
2. **FBP DVCE** will provide MR&A (Central) the SPF4A 3 year Financial Plan allocation by Faculty and Division.
3. The amounts confirmed by FBP DVCE will be reflected in the Financial Plan letters for the Faculties and Divisions. The **FBP DVCE** will validate the prior year ICR in Q1 and provide approved changes for Year 1 Budget for any material variations. Variations will be communicated to the Faculty and Division FBPs with copy to MR&A (Central) and MR&A (Faculties & Divisions)
4. **MR&A DVCE** provides 50% of the actual ICR for a Faculty/Division to the Faculty/Division in the budget Financial Plan letter for the subsequent year, under fund code SPF4A (in arrears). The other 50% of the actual ICR is used to fund strategy 2025 initiatives.

¹² The default ICR that applies on non research-intensive KE projects is 35% on PC and 10% on NPC. The corresponding income account for 6942 and 6943 is 1503.

The following rules are associated with the use of funds in SPF4A:

- The new SPF4A budget line is to recognise some of the indirect costs incurred in undertaking KE project within the Faculty/Division.
- The SPF4A allocation comes to the Faculty triggered by the amount of KE project undertaken in the Faculty/Division in the recent past (50% of the ICR over the previous year for KE non research-intensive projects).
- SPF4A has been created to facilitate the non research-intensive KE ICR actualisation process for UNSW. SPF4A activity effectively replaces any expense budget the Faculty/Division may have received as part of the 85% after the “15% levy on OP001/commercial activities” was withheld by Central.
- The SPF4A funds form part of the pool of funds available to the Faculty/Division and the Dean/DVC has the discretion as to how it is used strategically to support priorities within the Faculty/Division.

Surplus funds on RF111

1. Per Appendix A, at the end of a non research-intensive KE project **Unisearch** will close the job and **Unisearch** verifies in the contract that there is no obligation to return funds to the Sponsor and if there is an obligation, **Unisearch** coordinates the return.
2. KE01 – KE04 Projects; **Unisearch** will notify Faculty & Division MR&A on completion of projects. **MR&A** will ensure that the activities are fully costed and any surplus funds remaining will be transferred to the nominated RF111 project of the Faculty or Division employing the KE project owner.
3. KE07 – KE08 Projects; New South Innovations Pty Ltd¹³ will establish the Net Commercialisation Income (Commercialisation Revenue less identifiable out-of-pocket expenses relating to the commercialisation of the particular IP) and will be distributed as per the guidelines for the disbursement of net revenue from IP commercialisation. As per the guidelines 2/3rd will be distributed to the inventors and the UNSW Faculty or Division. The funds are captured in fund type G1138.

The following rules are associated with the use of funds in fund code RF111:

- Use for a specific purpose and is at the discretion of the FED, Head of School / Centre (or any delegates) or the Director of Operations of the Division.
- These funds are administered by the School, Centre or Division and approved by the Dean or DVC/ Vice President in charge of the respective Faculty/ Division. Income can only come in the form of internal income transfers using account 1507 for expense (no external revenue can be receipted in this fund).
- This fund cannot run into a deficit.
- Funds as part of RF111 should be expended within the calendar year in which it is allocated.

¹³ A UNSW controlled entity

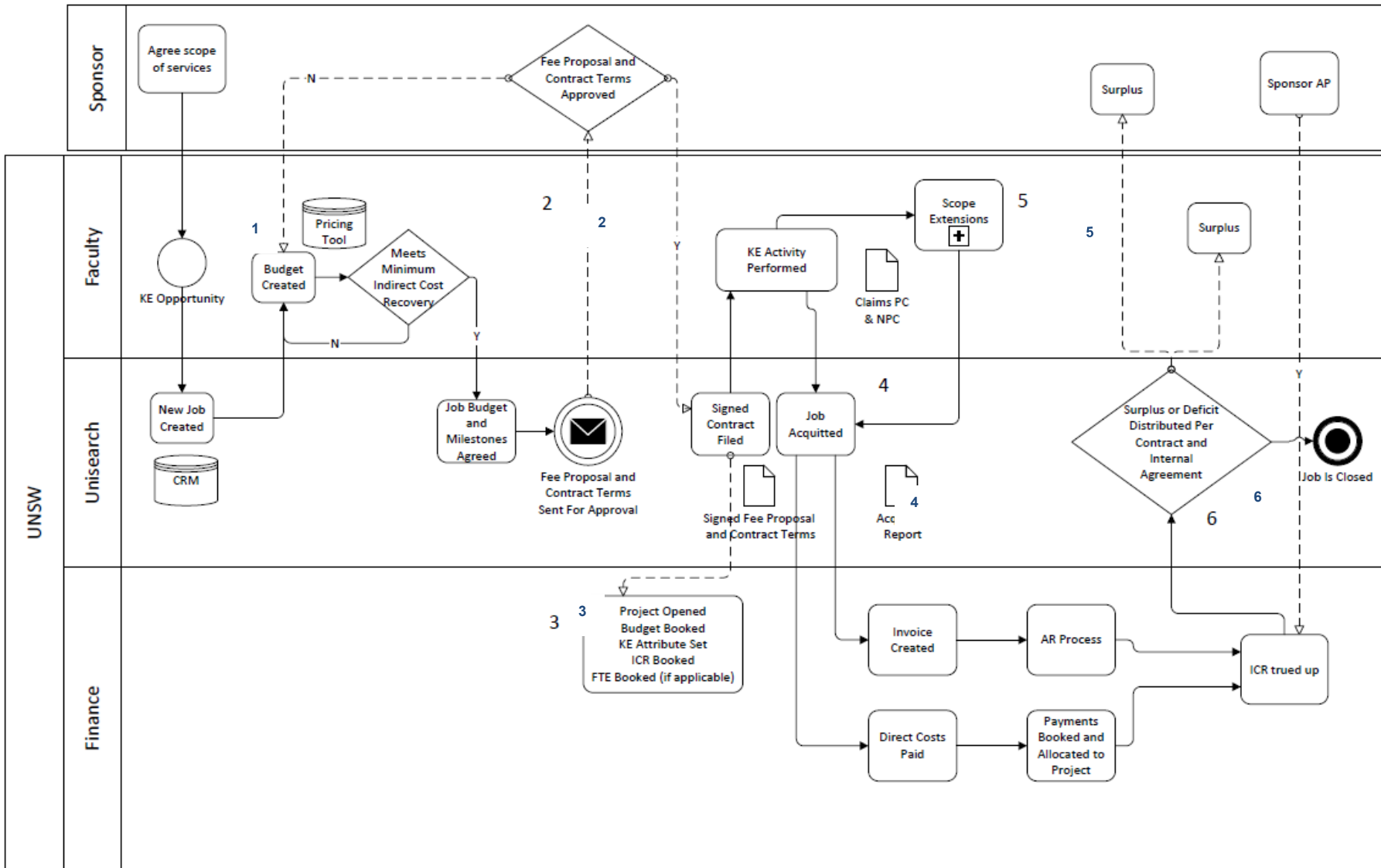


Finance Implementation Project

Appendices

Appendix A – Flowchart

Procedure Document



Appendix B – Risk analysis

Ref number flow chart	What	Risk	Possible mitigation strategy with Unisearch	Possible mitigation strategy without Unisearch
2.	<ul style="list-style-type: none"> a) Prices set at direct cost level only, no ICR applied b) Incorrect contract used 	<ul style="list-style-type: none"> c) Onerous contracts or contracts that expose UNSW to undesirable liabilities or commitments. d) S25 funding not complete, no or less ICR e) Terms & conditions not accurate/complete 	<ul style="list-style-type: none"> • Budget generated via pricing tool is a minimum requirement to initiate KE job process. • Unisearch manages contracting as per current practice using current contract templates or legal review. Contracts can only be signed centrally as per delegations register. 	<ul style="list-style-type: none"> • Communication at leadership (DVC-Enterprise and Director of KE) level and FBP level on available contract template, pricing tool for non research-intensive KE. • Random / Risk based monitoring of KE contracts as part of line 2 or line 3 activities.
2.	<ul style="list-style-type: none"> a) Countersigned copy not received b) Not enough thought put into engagement management up front 	<ul style="list-style-type: none"> c) No binding agreement with client, no basis for recovery of funds d) Mismanagement of engagement 	<ul style="list-style-type: none"> • Unisearch manages contract process and issues job proceeding status to Faculty. • Unisearch files all contract and “evidential” communications in CRM job number. 	<ul style="list-style-type: none"> • Random / Risk based monitoring of engagement setup and management documentation.
3.	<ul style="list-style-type: none"> a) No project created, no budget recorded b) KE booked on wrong fund code 	<ul style="list-style-type: none"> c) No separate P&L for project, no oversight over revenue & expenses d) S25 funding not complete, no or less ICR e) No complete/accurate 	<ul style="list-style-type: none"> • Budget generated via pricing tool is a minimum requirement to initiate KE job process. • Communication at leadership (DVC-Enterprise and Director of KE) level and FBP level on how KE processes should ideally work. 	<ul style="list-style-type: none"> • Communication at leadership (DVC-Enterprise and Director of KE) level and FBP level on how KE processes should ideally work. • Faculty/School/Divisional reviews in terms of data on likely KE G/L accounts,

		insight in finances Faculties/Divisions	<ul style="list-style-type: none"> • Periodic data analysis for financial information in CRM. • Budgeting approach to have overview of all non research-intensive KE activities as well as budgeted revenue and ICR. 	<p>complemented with interviews with relevant stakeholders.</p> <ul style="list-style-type: none"> • Periodic data analysis for financial information in NSF on a G/L and project level by the KE team. • Budgeting approach to have overview of all non research-intensive KE activities as well as budgeted revenue and ICR.
4.	<p>a) Reporting necessary for controlling large engagement, but not organised</p> <p>b) Invoices not generated or not generated timely or accurately, leading to irrecoverable funds</p>	<p>c) Mismanagement of engagement</p> <p>d) Lack of recovery of funds</p>	<ul style="list-style-type: none"> • Set up milestones and deliverables at point of contract/fee proposal and program these into job number follow up and reporting schedule. • Random / Risk based monitoring of engagement management documentation. • Standard periodic reporting on KE profitability through monthly accrual reports. 	<ul style="list-style-type: none"> • Random / Risk based monitoring of engagement management documentation. • Standard periodic reporting on KE profitability.
4.	<p>a) PC/NPC/ICR split not recorded / not appropriately booked</p>	<p>b) S25 funding not complete, no or less ICR recorded</p> <p>c) Less incentive for Faculty/Division to participate</p>	<ul style="list-style-type: none"> • Standard claims for payments must have identifiers for NPC and PC. • Standard reporting on actual ICR % versus target ICR % and explain differences. 	<ul style="list-style-type: none"> • Standard reporting on actual ICR % versus target ICR % and explain differences.
5.	<p>a) No fee increase requested/charged when necessary</p> <p>b) Expenses not recorded to the accurate project code, or in a timely manner</p>	<p>c) Overruns, onerous projects</p> <p>d) Other areas overspent, onerous projects</p>	<ul style="list-style-type: none"> • Standard periodic reporting on KE profitability via monthly accrual reports and job follow/up process. Analysis of exceptions both ways (larger profit and larger loss). • Rely on other budget owners to report incorrectly charged expenses. 	<ul style="list-style-type: none"> • Standard periodic reporting on KE profitability. Analysis of exceptions both ways (larger profit and larger loss). • Rely on other budget owners to report incorrectly charged expenses.

Procedure Document

- 6.
- a) No closing analysis performed, actual expenses and revenue not trued up
 - b) Projects not closed in a timely manner
 - c) Overruns, onerous projects
 - d) S25 funding not complete, no or less ICR available
- All jobs follow Unisearch job follow/up and closure process with reporting on KE profitability. Analysis of exceptions both ways (larger profit and larger loss).
 - Communication at leadership (DVC-Enterprise and Director of KE) level and FBP level on periodic reporting to Faculties' and Division's financial KE performance, inspire behavioural change if required.
 - Standard periodic reporting on KE profitability. Analysis of exceptions both ways (larger profit and larger loss).
-

Appendix C – KE attributes

KE attribute	Channel name	Short description
KE01	Outreach	Income associated with third parties providing money to allow us to undertake KE activities for others
KE02	Facilities and equipment	Renting out our facilities and equipment to others for the purpose of KE
KE03	Consultancy	Non research-intensive KE contract work for third parties
KE04	Continuous professional development	Providing education to professionals that is accredited by relevant industry bodies
KE 05 ¹⁴	Contract research	Third party funded and scoped research
KE 06 ¹⁵	Collaborative research	Primarily grant driven research
KE07	Intellectual property	Income associated with commercialising our IP
KE08	Company creation and investment KE activity	Income from investments in subsidiaries and associates of which activity is KE related

¹⁴ Please note these are KE research channels and therefore don't form part of this procedure.

Appendix D –2018 KE definition

KE Channel	KE activity type revenue included (examples are non-exhaustive)	KE activity type revenue excluded
Outreach	Income received to fund networking events such as conferences and similar where the activity is carried out fundamentally to deliver benefits in terms of innovation, with the longer term objective of creating a more dynamic innovation ecosystem which ultimately will benefit the university.	Events where the main purpose is student teaching, involvement in program/course delivery and general networking between students and businesses; Technology vouchers provided by the university for the purpose of funding such events (see other categories below)
	Income received from industry for the sponsoring of events, and networking activities where the purpose of the event is KE (including student entrepreneurship, research and industry sandpits)	
	Donations for economic development from industry to support students' innovations, including large donations by individual donors.	Capital grants, those provided to a University to purchase an asset of a durable nature, even if the asset is for the purpose of conducting research. Capital grants include grants for the construction and/or upgrade or refurbishment of buildings, centres or facilities, as well as purchase of properties or land
	Cultural funding for events and exhibitions for example from the Australia Council, City of Sydney and Arts NSW	
	Funding for centres that support KE activity for example the Kaldor Centre for International Refugee Law, Gilbert + Tobin Centre for Public Law	
	Sponsored Chairs, endowments (interest and any accessible capital components)	
	Industry funded PhDs and PhD student intern funding support	
	Workshops	
Consultancy	Economic activity funded by industry that is focused on direct economic impact for the company or partner which leads to knowledge transfer and increased capability in both the university and partner. For example, activities undertaken by Unisearch.	
	Consultancy fees for advice and research activity provided to third parties. For example paid services received by the university from a third party organisation. Consultancy includes but is not limited to University Paid Outside of Work (UPOW) income	
Facilities	Fees received for the use of equipment, labs and university facilities, e.g. MWAC from third party organisations	Capital grants, those provided to a University to purchase an asset of a durable nature, even if the asset is for the purpose of conducting research. Capital grants include grants for the construction and/or upgrade or refurbishment of buildings, centres or facilities, as well as purchase of properties or land
Continuous Professional Development (CPD)	Income received from professional development and continuing education, for example: Executive Education in AGSM; and CLE at UNSW Law.	Teaching income and student load in relation to UNSW courses and programs
	Continuing Legal Education Short courses in Petroleum or Mining Engineering	
	Partnerships for UNSW learning and teaching that involve KE and are provided for an industry or to an industry partner such as Coursera/MOOCs (Massive Open Online Course) and other similar programs	MOOCs provided to under-graduate students to prepare them for entry to UNSW
	Professional Experience (Education)	

Contract Research		
Collaborative Research	<i>Refer to "Fund Codes Included" tab</i>	<i>Refer "Fund Coded Excluded" tab</i>
	<i>Refer to "Mixed - TBD on case basis" tab</i>	
Intellectual Property	Income received, including all payments received by controlled entities and directly to the university related to intellectual property (patents, copyright, trademarks, designs, etc) created by the university from licensing of Intellectual Property Rights such as licence fees and royalties	
	Income received, including all payments received by controlled entities and directly to the university related to intellectual property (patents, copyright, trademarks, designs, etc) created by the university from option fees	
	Income received, including all payments received by controlled entities and directly to the university related to intellectual property (patents, copyright, trademarks, designs, etc) created by the university from assignment of UNSW IP	
Company Creation and Investment in KE Activity	UNSW parent or wholly owned subsidiary income received from University involvement in the equity partnership or associate investments in companies.	Dividends from UNSW Global to UNSW Dividends from the university's normal investment policy of managed funds
	UNSW parent or wholly owned subsidiary income received from partnership with third parties or start-up company formation with students for the purpose of commercialisation of IP and technology transfer.	
	Income received in the form of dividends from companies in which the university has an equity stake and gain on investment (for example from the sale of shares, returns from Uniseed, etc...)	

Refer to <https://www.fin.unsw.edu.au/non-research-intensive-knowledge-exchange-projects> for a list of research fund codes included in this definition, excluded from this definition, and the research fund codes that are determined KE on a project by project basis by the FBP and FA for DVCE.

Appendix E – non research-intensive KE email template

Note: everything between [] needs to be completed by Unisearch/KE project owner

Dear MR&A,

Could you please set up a new non research-intensive KE project with the following attributes?

Attribute	Value
Project name	
KE channel	[Refer to Appendix C for the attributes, descriptions and to Appendix D for examples. This attribute can be found under 2025 Portfolio. MR&A for DVCE can help in case of questions]
Project manager	[Provide the name of the KE Project owner]
Portfolio manager	[Provide name academic in charge or the name of the KE Project owner]
Revenue budget	
ICR	[Provide the ICR on PC and NPC separately]
Reference in Grant ID field	Unisearch
PC to be allocated	[Specify the PC to be allocated on a zID and number of days per week basis for a specific period]
Long description for deficit chart fields	[Specify the deficit chart fields agreed with the Project owner. This information is required should the project be in a deficit at the time it is closed. Deficit chart fields need to be within financial management framework of UNSW (e.g. no research chart fields)]
Approval to use the above deficit chart fields has been obtained from Head of School?	[Yes/No, please note that this approval is mandatory]
Is this project a Paid Outside Work activity?	[Yes/No]

Many thanks,

Unisearch/KE project owner

Appendix F – non research-intensive KE project confirmation template

Note: everything between [] needs to be completed by MR&A

Dear project team,

This email is to confirm that project PS [XXXXX], [NAME] has been opened on behalf of Project Manager [NAME] and Portfolio Manager [NAME].

Please specify these chart fields when requesting purchase orders or sending through invoices that are directly linked to the revenue generating activities on this project:

- Department ID: [XXXX]
- Project: PS [XXXXX]
- Fund code: KE001

Budget Release Confirmation Budget Table

	Fund code	Host Dept ID	Project Account	2018	2019	2020	2021	2022	TOTAL
Project Funds	KE001								
UNSW Indirect Costs-UNSW Personnel	UNSW Personnel								
UNSW Indirect Costs-Other	Non Personnel costs								
TOTAL									

Please note:

- Only costs associated with activities approved for this project should be charged against the above account(s)
- Funds from other sources cannot be included/transferred/journaled into the above account(s)

Any surpluses this project generates will be transferred to Faculty [XXXX]'s RF111 fund code.

Please note that the following chart fields have been provided to transfer any project deficit to:

- Department ID: [XXXX]
- Project: PS [XXXXX] or No_Project
- Fund code: OP[XXX]

This project [IS/ISN'T] a paid outside work activity.

Further important considerations:

- All funds must be spent in accordance with the contract with the Sponsor and any variations or changes must be advised to [UNISEARCH AND] MR&A.
- Project Manager has responsibility for the management of this KE project and must ensure that expenditure remains within the limitations of the budget amounts per the contract with the Sponsor.

- It is the responsibility of the Project Manager to ensure that all ethics and other clearances necessary for the project are valid throughout the period of the project.
- If you are recruiting new staff, please discuss the appropriate process with your Faculty Human Resources Consultant and School Administrator.
- You are required to comply with all University policies and procedures, including (but not limited to) the Code of Conduct, whilst performing work on this project. Intellectual Property generated through the project will be governed by the terms of the funding agreement and the University's Intellectual Property (IP) policy.

Should you require any further guidance regarding non research-intensive KE projects, please find the procedure [HERE/ATTACHED].

Kind regards,

MR&A