The ARC/NHMRC Grant Rounds Submission Procedures 2020 applies to the submission of applications under all schemes offered by the Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) in the 2019/20 funding round where the University of Newcastle (UON) is the Administering (or Lead) Organisation.
The ARC/NHMRC Grant Rounds Submission Procedures (‘the Submission Procedures’) applies to the submission of applications under all schemes offered by the Australian Research Council (ARC) and National Health and Medical Research Council (NHMRC) where the University of Newcastle (UON) is the Administering (or Lead) Organisation.

The Submission Procedures aim to ensure that a clear and transparent process is available to:

• Support the timely submission of applications to the ARC/NHMRC through the UON’s Research Services;
• Ensure that applications are compliant with Funding Body rules and UON policy to enable formal institutional certification;
• Triage levels of service to applications who meet key requirements and minimum processing times of Research Services;
• Clarify the key roles and responsibilities of individual applicants, School and Faculties, and Research Services.

The Submission Procedures guide the submission of all ARC/NHMRC research grant applications where the UON is listed as the Administering (or Lead) Organisation.

This includes any ARC/NHMRC applications being submitted by Conjoint/Adjunct or University-affiliated staff employed at other institutions where the UON is the Administering (or Lead) Organisation on the proposal.
General Process

**OPENING OF SCHEME TO ELIGIBILITY AND COMPLIANCE CHECK**
Research Services provides notification of internal submission processes including available dates for online booking of Eligibility and Compliance Checks. Applicants commence work on their applications. Research Services provides advice and interpretation of Funding Rules, Instructions to Applicants, and application processes, as well as assistance with technical components of Funding Body application systems (e.g. RMS/RGMS) as required.

**ELIGIBILITY AND COMPLIANCE CHECK PERIOD**
Using the UON online booking system, applicants select from the list of available dates/time for a Research Services Eligibility and Compliance Check. To receive this Check, a copy of the application must be provided by 9:00am (local time) on the nominated date booked via the online system. Research Services releases the application back to the researcher and conducts an Eligibility and Compliance Check with comments provided within three working days. No secondary review is conducted by Research Services.

**DEADLINE FOR FINAL APPLICATION (1 WEEK PRIOR TO FUNDING BODY DEADLINE)**
It is the applicant's responsibility to ensure that the application meets all the requirements of the relevant scheme prior to the internal UON Deadline for final application. Applicants provide complete, final, submission ready applications to Research Services along with all required documentation including a complete and fully-signed External Research Grant Application Coversheet and, if relevant, ARC Certification Proformas or NHMRC CI Certification forms.

**FUNDING BODY DEADLINE**
Research Services ensures all applications that have provided all the relevant documentation are submitted to the Funding Body.
Eligibility and Compliance Check

Researchers are able to select from available bookings during the Eligibility and Compliance Check period. The number of bookings available for each scheme relates to the proximity of the Funding Body closing dates and has been modelled using data from previous application rounds.

Eligibility and Compliance Check periods for each scheme are provided to applicants via our researcher UON email lists found at: newcastle.edu.au/research-and-innovation/email-lists, in our Essential Instructions sent to applicants at the commencement of an application in RMS/RGMS, and are also available on the ARC Grants and NHMRC Grants pages of the UON website.

This online process has reduced the time that applications are with Research Services for checks and enables researchers to have more time to work on their applications.

Research Services’ online booking system enables Eligibility and Compliance Checks on applications to external funding bodies to be completed on a rolling basis, with applications released back to researchers on the morning of the date booked for the check.

The Eligibility and Compliance Check period commences shortly after a scheme opens and ends two (2) weeks before the Funding Body closing date.
Eligibility and Compliance Check

How to Make a Booking

• **Access the Online Booking System**

• To make a booking for an Eligibility and Compliance Check for an ARC, NHMRC or NHMRC-affiliated scheme, you need a valid RMS/RGMS Application ID (e.g., APP1234567) for an application that has UON listed as the Administering Institution. Bookings without a valid RMS/RGMS Application ID will be cancelled.

• Please note: An Application ID will only secure one booking and cannot be used to make multiple bookings for the same application.

Eligibility and Compliance Check Requirements

• Applications must be submitted to Research Grants before 9:00am on the morning of your booking.

**You do not need to attend your appointment in person.**

How to Submit Your Application

**ARC Applications**

• Select ‘Submit to Research Office’ in the application screen in RMS.

**NHMRC Applications**

• Select the Certification tab in RGMS, select ‘CI Certification’, select ‘Do you want to Certify’ and select ‘Yes’.

**NHMRC Affiliated (eg Cancer Australia, Cancer Council NSW) Applications**

• Submit as per NHMRC applications and email additional application material to research-applications@newcastle.edu.au

• **Please note** you will need to provide ALL separate applications by 9:00am on the day of your booking to secure an Eligibility and Compliance Check given the eligibility overlap of these applications.
Eligibility and Compliance Check

How to Submit Your Application

Other Funding Body Schemes

- In order to allow for the variation in closing dates for other Funding Body schemes, bookings for Eligibility and Compliance Checks will be available throughout the year.
- To receive an Eligibility and Compliance Check, the lead Chief Investigator must secure a booking at least two (2) weeks before the Funding Body scheme closing date. If a booking is made less than two (2) weeks prior to the Funding Body scheme closing date, an Eligibility and Compliance Check will not be undertaken by Research Services.
- Final submission ready applications in PDF format, including a fully signed External Research Grant Application Cover Sheet must be emailed to research-applications@newcastle.edu.au by 9:00am at least one (1) week before the Funding Body scheme closing date.

De-submission Of Applications Back To Applicant

- Applications will be de-submitted on the day of the booking and a PDF of the application will be made for Research Grants Team staff to complete the Eligibility and Compliance Check.

- The check will be completed within three (3) working days, with comments provided back to the lead Chief Investigator.

- Please note: No secondary Eligibility and Compliance Check will be undertaken by Research Services. It is the applicant’s responsibility to ensure their application meets all the requirements of the relevant scheme.
Research Services sets a final application deadline to allow several tasks to be undertaken on behalf of the applicant and University including but not limited to:

✓ Confirmation of administrative completeness of the application (e.g. eligibility of the researcher, all sections of the application are complete)
✓ Confirmation/verification of submission compliance with Funding Body and scheme guidelines
✓ Confirmation/verification of submission compliance with UON policies and procedures
✓ Review of proposal/application budget and work to resolve problems, inaccuracies and other issues with the proposed budget through liaison with the researcher

In addition to Research Services minimum processing time, Faculties and Schools may set earlier deadlines to provide additional quality control on applications, or to enable peer review processes to be completed as appropriate.

The final application deadline is 9:00am, one (1) week before the Funding Body scheme closing date. Dates will be available on the Research Services scheme specific web pages.

For an application to be submitted to the Funding Body, a complete, submission ready application and all required documentation must be provided to Research Services by or before the Deadline for final application. Required documentation includes a fully signed External Research Grant Application Cover Sheet and all ARC/NHMRC Proformas and Certifications. Where documentation is missing, the application will be unable to be submitted to the Funding Body.

See the following pages for scheme-specific deadlines:
• ARC Grants
• NHMRC Grants
It is the responsibility of the applicant to arrange for the completion and signing of the Coversheet by the HoS and ADR by the specified deadline.

Internal processes within Faculties and Schools may vary, so applicants are strongly encouraged to make contact with their School/Faculty support staff early to determine any specific requirements.

The Coversheet must be signed by:
- The first named Chief Investigator (CIA);
- Head of School (or delegate nominee); and
- Assistant Dean (Research) and

Applications submitted without Coversheet will not be accepted.
**Triaged Levels of Service**

From the opening of the scheme to the final application deadline, Research Services will provide full telephone and email support to all applicants on matters related to Funding Rules, Instructions to Applicants, eligibility, or University compliance, including advice on Academic/HEW Salary levels, oncost rates and Funding Body budget requirements.

Applicants should contact their School or Faculty to seek additional support mechanisms such as peer review opportunities, costing of research projects, and application preparation assistance – these are not services provided by Research Services.

All applications received by 9:00am on the date booked by the Chief Investigator using the online booking system will be desubmitted and provided with an Eligibility and Compliance Check, and applicants will be provided with support to address any key eligibility issues identified as part of this check. No secondary check of the application will be conducted by Research Services prior to submission to the Funding Body.

Research Services are unable to provide applicants who do not meet the scheme’s Research Services final application deadline with any further advice or assistance with their application, or technical support for Funding Body application systems, once the deadline has passed. Applicants seeking assistance in completing their application after the Research Services final application deadline will be referred directly to the Funding Rules and Instructions to Applicants.
Resources

Internal Resources
- UON Online Booking System for Eligibility and Compliance Checks
- External Grant Application Coversheet
- Quick Guide – External Application Coversheet Process
- ARC Grants Application webpage
- NHMRC Grants Application webpage

External Resources
- GrantConnect – The Australian Government grants information system providing Information on current and future ARC or NHMRC grant funding opportunities.
- ARC and RMS
- NHMRC and RGMS