ARC/NHMRC GRANT ROUNDS
SUBMISSION PROCEDURE 2020-21

THE UNIVERSITY OF
NEWCASTLE
AUSTRALIA

The ARC/NHMRC Grant Rounds Submission Procedures 2020-21 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 2020/21 funding round where the University of Newcastle (UON) is the Administering (or Lead) Organisation.

Context and Scope

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 Office;
- 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 the Research Office;
- Clarify the key roles and responsibilities of individual applicants, School and Faculties, and the Research Office.

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
The Research Office provides notification of internal submission processes including available dates for online booking of Eligibility and Compliance Checks. Applicants commence work on their applications. Research Office 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/Sapphire) as required.

ELIGIBILITY AND COMPLIANCE CHECK PERIOD
Using the UON online booking system, applicants select from the list of available dates/time for an 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. The Research Office 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 the Research Office.

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 the Research Office 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 Certifications.

FUNDING BODY DEADLINE
The Research Office ensures all applications that have provided all the relevant documentation are submitted to the Funding Body.

Eligibility and Compliance Check (E&C Check)

The online booking system managed by the Research Office 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.

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

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

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/Sapphire, and are also available on the ARC Grants and NHMRC Grants pages of the UON website.

Eligibility and Compliance Check (E&C 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/Sapphire Application ID (e.g. LP1234567) for an application that has UON listed as the Administering Institution. Bookings without a valid RMS/Sapphire Application ID will be cancelled.

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

- To enable the allocation of appropriate resourcing access to book an E&C Check will no longer be available once the Check period has commenced. This does not apply for schemes with continuous rounds (i.e. ARC Linkage Projects and NHMRC Partnership Projects).

Eligibility and Compliance Check Requirements

- Applications must be submitted to the Research Office 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' page in Sapphire, select 'Certify and submit to RAO. You will then be able to download a copy of your final application by clicking on the 'All application forms and attachments' link in. Once you have downloaded, select 'I have downloaded all of the available files that I require' and click 'Next'.

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

- You will need to provide **ALL** separate applications by 9:00am on the day of your booking given the eligibility overlap of these applications.

Eligibility and Compliance Check (E&C 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 ten (10) working days before the Funding Body scheme closing date. If a booking is made less than ten (10) working days prior to the Funding Body scheme closing date, an Eligibility and Compliance Check will not be undertaken by the Research Office.

- 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 Office 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 the Research Office. It is the applicant's responsibility to ensure their application meets all the requirements of the relevant scheme.

UON Deadline for Final Application

The Research Office 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 Office 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, five (5) working days before the Funding Body scheme closing date. Dates will be available on the scheme specific UON 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 the Research Office 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

External Application Coversheet

All ARC and NHMRC applications require a completed and signed External Grant Application Coversheet (DOC) to be submitted to the Research Office with the final application by the UON Deadline for Final Application.

The Coversheet must be signed by:

- The first named Chief Investigator (CIA);
- Head of School (or delegate nominee); and
- Faculty Assistant Dean (Research).

Applications submitted to the Research Office without a fully signed Coversheet will not be accepted.

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.

Triaged Levels of Service

From the opening of the scheme to the UON deadline for final application, the Research Office 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 the Research Office.

All applications received by 9:00am on the date booked by the Chief Investigator using the online booking system will be de-submitted 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 the Research Office prior to submission to the Funding Body.

The Research Office is unable to provide applicants who do not meet the scheme's UON deadline for final application 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 UON deadline for final application 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 Sapphire