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| **EXTERNAL RESEARCH GRANT (including ARC/NHMRC)**  **APPLICATION COVERSHEET** | *UoN_logo_square* |

This *Application Coversheet* must be completed and signed by the first named Chief Investigator and the Head of School (or delegated nominee) and forwarded to the College Assistant Dean (Research) for signature. This *Coversheet* and a final, submission-ready application must be submitted to Research Grants by the Deadline for final application to enable the application to be submitted to the Funding Body.

**ARC/NHMRC applications**: Submit the completed application to Research Grants in RMS2.0 or Sapphire and email the complete and signed External Research Grant Coversheet to [research-applications@newcastle.edu.au](mailto:research-applications@newcastle.edu.au)

An Application Coversheet is also required for researchers participating on applications submitted by another institution (the Administering Organisation).

**Applications Which are not accompanied by a complete, fully signed *Application CoverSheet* by the specified Deadline for final application will not be submitted to the funding body.**

Please note: Some of the information requested below is detail for the applicant’s School/College and will not be recorded by Research Grants.

1. **APPLICANT DETAILS**

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| **University of newcastle Chief Investigators** | | | |
| ***Full Name*** | ***School*** | ***FTE\**** | ***Telephone*** |
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*\*Refers to the estimated FTE contribution of each University of Newcastle investigator* ***to this project****, if successful.*

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| **External Investigators**  **[Includes partner investigators, investigators from other universities. Does not include NHMRC associate investigators]** | | | |
| ***Full Name*** | ***Institution*** | ***Country*** | ***Email*** |
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1. **APPLICATION DETAILS**

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| --- | --- | --- | --- | --- |
| **Name of Funding Body** |  | | | |
| **Name of Funding Scheme** |  | | | |
| **Funding Body Reference #** |  | | | |
| **Title of Project** |  | | | |
| **APPLICATION TYPE** *(Please tick all relevant boxes)*  🞏 Research project funds 🞏 Fellowship 🞏 Scholarship 🞏 Award/Prize  🞏 Equipment only 🞏 Tender/ Consultancy 🞏 Use of facilities 🞏 Travel funds  🞏 Other *[please give brief description]:* | | | | |
| Is the CI/project affiliated with any of the following? | | Hunter Medical Research Institute (HMRI)  Central Coast Research Institute  Not affiliated | | |
| Does this research include engagement and/or capacity building with Aboriginal and/or Torres Strait Islander Peoples?  If **yes**, the Research Grants Office will inform the PVC (Indigenous Strategy and Leadership). | | Yes / No | | |
| **Has this grant application been peer-reviewed prior to submission to Research Grants?** | | ***Peer review should ideally be undertaken by someone outside your immediate team and does not include the Eligibility and Compliance check by Research Grants.***  Yes / No | | |
| If ***yes***, what is the reviewer’s name and position | |  | | |
| If ***no***, please provide explanation | |  | | |
| **Research Grants Deadline for final application\*** | |  | **Funding Body Deadline** |  |

*\*Research Grants requires final, submission-ready applications* ***ten (10) working days*** *prior to the Funding Body deadline for all external grant applications. Further information can be found here:* [*http://www.newcastle.edu.au/research-and-innovation/resources/grants/apply*](http://www.newcastle.edu.au/research-and-innovation/resources/grants/apply)

1. **BUDGET SUMMARY DETAILS**

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| --- | --- | --- | --- |
| **Total funding requested from Funding Body** | $ | | |
| **Total UON commitment (cash)** | $ | | |
| **Total UON commitment (in-kind)** | $ | | |
| **Number of years of funding requested** |  | **Commencing year of project** |  |

1. **UNIVERSITY OF NEWCASTLE CONTRIBUTIONS: CASH AND IN-KIND**

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| --- | --- | --- | --- | --- |
| **School/College/Central/HMRI/Other** | **Budget Category**  **(Personnel, Scholarship, Consumables, Equipment/ Capex, Travel, HDR fee waiver stating domestic or international)** | **Cash** | **In-Kind (other)** | **In-Kind (% FTE) or count for HDR fee waiver** |
|  |  | $ | $ |  |
|  |  | $ | $ |  |
| **TOTAL UNIVERSITY CONTRIBUTION** | | **$** | **$** |  |

*\*****Cash contributions*** *are defined as new costs provided as a direct result of this application.* ***In-Kind (other) contributions*** *are defined as costs to the University for existing equipment, facilities, etc.* ***In-Kind (FTE) contributions*** *are defined as costs to the University for personnel time devoted to the project for any staff (e.g., technical officers) not listed in Table 1 (list as %FTE, not $).* ***Capex*** *is any individual item >$5,000 with a useful life of >1 year.*

**4a. Fellowships only:**

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| --- | --- | --- | --- |
| *Fellow Name* | *Yearly Funding Body Fellowship Salary* | *Agreed Level of Appointment*  *(i.e., Level B3)* | *Approximate yearly shortfall/top-up amount (University cash contribution)* |
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| **At the time of application submission, the applicant’s employment at UON is** *(Please tick one only)*  🞏 Ongoing academic appointment 🞏 Fixed-term academic appointment 🞏 Casual academic appointment 🞏 UON Conjoint employed at HNE Health  🞏 Ongoing HEW appointment 🞏 Fixed-term HEW appointment 🞏 Casual HEW appointment 🞏 UON Conjoint other  🞏 External to the University (students with no paid University of Newcastle role should select this option) | | | |
| A requirement of undertaking a Fellowship at UON is that Fellows engage in the Academic Work Allocation Model (AWAM), to actively engage in the Academic Planning and Performance (APP) cycle and other compulsory University processes for academic staff. This AWAM provides a framework to ensure the allocation of academic work is equitable, transparent and fair. The AWAM is applied and maintained by each School and as such it is a requirement that prospective Fellows have the discussion about academic workload with their Head of School prior to submitting a Fellowship application. Noting that most Fellowships allow for at least 0.2FTE to be spent on other activities.  The following percentage allocation of academic work has been agreed with the Head of School for the duration of the Fellowship:   |  |  | | --- | --- | |  | **Allocation (%)** | | **Teaching** |  | | **Leadership and Engagement** |  | | **Research, including HDR supervision** |  | | **TOTAL** | 100% | | | | |

*\*Approximate yearly shortfall to be indicative based on year 1 of the fellowship. Salary shortfall must be indicated in table 4 as a cash contribution and require approval from the authorised official who will provide the funding.*

**NOTE:** ***Where a ‘Central’ or ‘Other’ commitment is indicated in the tables above, the applicant must have previously negotiated this with the Deputy Vice-Chancellor (Research & Innovation) or relevant delegate authorised to commit the funding (e.g. PRC Director). Evidence of this approval, including the amount, must be attached to this Application Coversheet prior to its provision to the Head of School for signature. If more than one College or School is providing support, all parties contributing a cash contribution outside the lead College must include written evidence of approval with this Coversheet.***

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| **Asset Management Implications:** If this grant is successful, will it require physical infrastructure changes and support such as additional space, additional power requirements, alarms on fridges or located in a specific location?  **If yes, you are required to download and complete the Asset Management Implications Form to discuss with your Head of School:** [**http://www.newcastle.edu.au/research-and-innovation/resources/grants/apply**](http://www.newcastle.edu.au/research-and-innovation/resources/grants/apply) | Yes / No |

1. **CONFLICT OF INTEREST MANAGEMENT**

Conflicts of interest can arise in many situations. It is not unusual or wrong to have a conflict of interest. Actual, potential or reasonably perceived conflicts of interest may arise in decision making or in actions and need to be managed. Conflicts of interest in the research area are common and it is important that they are disclosed and dealt with properly. Further information is available in the [Conflicts of Interest Policy](http://www.newcastle.edu.au/about-uon/governance-and-leadership/policy-library/document-record?RecordNumber=D12/113355P) in the UON Policy Library.

* Conflict (or actual conflict) of interest arises when a person’s private-capacity interests could adversely affect the proper performance of their official function or duty. A conflict of interest can arise from avoiding personal losses as well as gaining personal advantage – whether financial or otherwise.
* Perceived (or apparent) conflict of interest exists where it could be reasonably perceived by a disinterested third party that a person’s private interests could improperly influence the performance of their duties – whether or not this is in fact the case.
* Potential conflict of interest arises where a person has private interests that could conflict with their official duties in the future.

Failure to declare a conflict of interest may impact eligibility and may be a breach of the Australian Code for the Responsible Conduct of Research.

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| Do all Investigators listed in Section 1 understand the obligation to disclose actual, potential or perceived conflicts of interest is ongoing and that individuals are required to inform Research Grants of that information as soon as possible if any significant changes occur to their or their immediate family/partner’s interests. | Yes / No |
| If an actual, potential or perceived conflict exists, please provide details on the conflict below (including any previously disclosed Conflicts of Interest): | |
| Have all Investigators listed in Section 1 declared all Conflicts of Interest (as defined above) relating to parties involved in or associated with this proposal, and, if the proposal is successful, agreed to manage all Conflicts of Interest relating to this proposal in accordance with the [Australian Code for the Responsible Conduct of Research (2007)](http://www.newcastle.edu.au/research-and-innovation/resources/policies-procedures-and-codes/overview)? | Yes / No |

1. **CERTIFICATIONS**

Please have your Head of School and College Assistant Dean (Research) sign below to indicate support for submission of the attached application and approval of the provision of any School/College funds and in-kind contributions detailed in this form, should this application be successful. The following statement covers the ARC requirements for Certification for the lead CI. The ARC Certification Proforma has been replaced with a simplified certification process through RMS.

First-named UoN Chief Investigator Certification:

I certify, on behalf of all investigators on the application that:

* All the details on the application form are true and complete, I meet the eligibility requirements as set out in the Funding Rules, and the application complies with the Funding Body’s funding rules and guidelines.
* If the proposal is successful, I agree to abide by the terms of the funding agreement.
* As the first-named UON CI listed on the application, I have responsibility for the authorship and intellectual content of this proposal and have appropriately cited sources and acknowledged significant contributions where relevant.
* I have obtained the prior consent of all participants and organisations involved to be listed in this grant application.
* All required research ethics, compliance and safety approvals will be obtained prior to the proposed research commencing.
* I am aware of and will adhere to University policies and the *Australian Code for the Responsible Conduct of Research* (<http://www.newcastle.edu.au/research-and-innovation/resources/policies-procedures-and-codes/overview>) in relation to this project.
* I will notify the University if there are any changes in my circumstances which may impact on my eligibility to participate in, or ability to perform, the project subsequent to the submission of this application.
* In participating in this application, I consent to this application being referred under confidential conditions to anonymous third parties by the ARC or NHMRC for evaluation or assessment purposes, and the ARC copying, modifying and otherwise dealing with information contained in the proposal, for the purpose of conducting the funding round (if applicable).
* All of the School/College/Central and other contributions contained in the application are listed, in full, in section 4 on this *Coversheet.*
* I have discussed any implications including ongoing access to or additional costs for infrastructure and facilities with my Head of School.
* I have and will keep the Head of School informed of changes to the application. If these result in significant (defined as > 10%) changes to the budget and **ANY changes** to the School/College/Central contributions, I will circulate an updated coversheet for initialling by the relevant parties and submit to Research Grants prior to submission of the application to the Funding Body.
* The DVC Research and Innovation is aware of and has agreed to provide all of the listed Central contributions and I have agreement for any other contributions included in the application.
* Where there is cross-College commitment of funding, I have agreement from the relevant delegate that they agree to provide all the listed contributions for that College included in the application.
* In relation to an application for a Research Fellowship, I certify that the Fellow’s level of appointment has been discussed with and agreed to by the Head of School, including an eligible funding source for any salary shortfall. Fellowship details are provided above (if relevant).
* The budget has been checked and that I take responsibility for any errors/miscalculations that result in funding shortfalls (including salaries). The Research Grants team will not check budgets prior to submission. Submission of a research application by the Research Grants team does not constitute approval to cover any funding shortfalls.

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| Name of First-named Chief Investigator | Signature | Date |
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Head of School (or Nominee) Certification:

**I certify that:**

* The project described in this application can be accommodated within the general facilities of the School, and is viable in terms of existing workloads, the School's resources and the funds requested.
* Sufficient working and office space and general facilities will be available within the School for any additional staff proposed in the application.
* The School will contribute the committed School cash and in-kind resources to the project, if successful, as detailed in Section 4 above.
* The School will be responsible for managing any salary shortfalls that might occur in relation to staff to be employed from this grant. In the case of a Research Fellowship, the School will be responsible for any shortfall resulting from an appointment above the salary level that is equivalent to the top step of the University salary package closest to the Fellowship package awarded by the Funding Body.

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| Name of Head of School | Signature | Date |
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Assistant Dean (Research) Certification:

**I certify that:**

* The College will contribute the College cash and in-kind resources to the project, if successful, as detailed in Section 4.
* Unless advised otherwise, I permit the submission of the application to the Funding Body even if it has not received an Eligibility and Compliance Check by the Research Grant team  
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| Name of Assistant Dean (Research) | Signature | Date |
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**SUBMISSION INSTRUCTIONS**

Please submit a scanned copy of the fully signed *Coversheet* to [research-applications@newcastle.edu.au](mailto:research-applications@newcastle.edu.au).

For further information please refer to the Quick Guide to the External Application Coversheet process:

<http://www.newcastle.edu.au/research-and-innovation/resources/grants/forms-and-codes>