This policy aims to ensure that all University of Melbourne (UoM) and Affiliated Medical Research Institute (MRI) researchers seeking to submit applications to the following National Health and Medical Research Council (NHMRC) and Australian Research Council (ARC) schemes can be provided equitable levels of support and that the level of support that can be provided is clearly articulated:

- ARC Discovery Projects and Discovery Early Career Researcher Awards (DECRA)
- NHMRC Project Grants, Scholarships, Early Career and Career Development Fellowships

The level and type of support provided by Research, Innovation and Commercialisation (RIC) staff varies from scheme to scheme, but in general will consist of strategic and compliance advice, and review of applications for adherence to sponsor and University guidelines. Academic Divisions provide additional support and researchers are encouraged to contact their Academic Division research offices for further information.

The policy is required due to the sheer volume of grant applications generated by the University in the major grants rounds and the limited resources that can be provided to support researchers during this time. Without this policy, both RIC and Academic Divisions would not be able to provide surety of support or allocate appropriate resources to guarantee that applications are submitted to sponsors.

Each year RIC reviews the Submission Policy to ensure that it is fair and equitable and provides a valuable service to researchers and the University. Any changes to the Submission Policy are made in consultation with the Committee of Associate Deans (Research) and Faculty Research Managers. Feedback that is collected via surveys at the end of each major grant round is also analysed closely and taken into account during the consultation process. Since the current form of the Policy has been in place, the feedback received has been positive.

The Policy sets out the core services, roles and responsibilities of RIC and Academic Divisions, and the timeline for submission of applications through RIC required to allow effective and useful service delivery, and to ensure compliance with sponsor requirements.

The services outlined in this document relate only to application on which UoM staff are leads. RIC will not review non-lead documents. Some Academic Divisions may provide assistance for non-lead grants and applicants should contact their Academic Division directly to determine if this is the case or not.

These services and timelines are dictated by the short timeframes imposed by the funding bodies, the overlap between grant schemes and the resources available.
Submission Policy:

RIC will update scheme websites and run seminars and information sessions.

Applicants should register a Notice of Intent (NOI) via the RIC website. Scheme specific updates, information and support will be provided to applicants who have registered a NOI. This information is used by both RIC and Academic Divisions (ADs) (i.e.: faculties and schools).

RIC will have 3 day Submission Period (not a single internal closing date)

Review ready applications to be submitted to RIC for review

RIC will review applications and provide feedback to applicants in order of receipt

RIC will provide phone/email support to applicants who have submitted review ready applications during the submissions period

ALL final applications for submission to the sponsor are due at RIC

RIC is unable to check applications at this stage (due to the volume of applications and time constraints)

For any application received after 5pm on this date, including those already reviewed by RIC, submission to the sponsor cannot be guaranteed

In the final 5 days, RIC will finalise certification and submission of applications to the sponsor

RIC will update scheme websites

RIC will provide phone/email support to applicants who have submitted review ready applications during the submissions period and will endeavour to assist other applicants (time and resources permitting)

ADs require information on the Research Management System (RMS) and Research Grants Management System (RGMS) submission as it differs generally from NOI information. A reconciled listing is provided to nominated AD staff post-submission.
Submission Policy for Major ARC/NHMRC Grant Rounds 2017

Timelines

>4 weeks before sponsor deadline (Prior to RIC Submission Period)

- Faculties/schools/departments/institutes can provide advice and support to applicants (e.g. mentoring programs and assistance with preparing the research environment section/strategic statement).
- All applicants are requested to record their intention to submit an application via the RIC Notice of Intent (NOI) portal prior to the internal Submission Period. The NOI is required by RIC to: predict workflow and plan resource needs; compile an email contact list of CIs; record alternate contact details if the first named CI is not contactable and produce a master spreadsheet of all applications which can be cross checked with the ARC/NHMRC application databases to further ensure that no application is missed.
  Faculties/Departments may set their own earlier due date for registering an NOI using the RIC NOI facility to assist with managing mentoring and monitoring application targets.
  Faculties/Departments will be able to download a list from the NOI portal to assist with planning.
- RIC will provide eligibility advice, phone/email support to prospective applicants and communicate updates to the funding rules and application process to faculties/schools/departments/ institutes.

4 weeks before sponsor deadline

- RIC will set a 3 day long Submission Period, not a single internal due date. The final date of this submission period will be set at 4 weeks before the sponsor deadline.
- Applicants should submit a review ready draft application** and a Lodgement Coversheet certified by the lead CI before RIC will review the application.
- RIC can only provide an accurate, meaningful review if all necessary sections of the application are complete. Definition of review ready** will depend on what may constitute an eligibility issue.
- The applicant will be notified if their application is not considered review ready** and will be asked to resubmit an amended version during the 3 day Submission Period. If an amended application cannot be re-submitted within the 3 day Submission Period, RIC’s ability to provide accurate and meaningful feedback may be limited.
- RIC will give priority phone/email support to applicants who have submitted within the RIC Submission Period.
- RIC will keep applicants/faculties/schools/departments/institutes informed of any relevant funding rule and application updates.
- All review ready** applications submitted within the 3 day Submission Period will receive a full eligibility and compliance check. To ensure accuracy and consistency, each application will be reviewed by two RIC staff members and a single feedback document will be emailed to the lead chief investigator and copied to faculty research administration staff (only if requested by the faculty).
- Applicants will be advised in their feedback document that the final, amended application is due at RIC 5 business days before the ARC/NHMRC deadline. This 5 day timeline is required due to the number of applications which must be certified and submitted to the sponsor and overlapping scheme deadlines. (Note: final submissions prior to 5 business days will be accepted.)
**A definition of an ARC review ready application is as follows. Please note the following is based on ARC DP Funding Rules. Any significant changes to the definition will be published on relevant RIC scheme webpages:**

**ARC Discovery Projects**

<table>
<thead>
<tr>
<th>The following must be complete:</th>
<th>Why RIC needs this information provided in a complete state:</th>
</tr>
</thead>
<tbody>
<tr>
<td>RMS Profile for all personnel (CI's and PI's)</td>
<td>Information from CI/PI RMS Profiles feeds into the application form. Past/current employment and positions essential to assess whether a person is eligible as a CI or a PI</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Section A – Admin Summary</th>
<th>RIC will cross check Role of Personnel against the budget and section F to ensure all personnel are included / justified. Proposal Title, Summary and Impact statement will be used to assess if C2/C3 are required to be entered.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Section B – Classifications/Statistical Info</th>
<th>RIC will remind applicants that Science and Research Priorities and countries listed for collaboration should be evident through section C. RIC will not advise which Codes are most appropriate however they will remind applicants that the codes are used to determine which panel will assess their grant. RIC will check codes for any Medical policy implications. RIC will ensure codes meet ARC compliance requirements not exceeding the maximum amount allowed. The number of PhD students will be checked against part C-Role of personnel and the budget. RIC will advise it collaborations evident in the budget and under role of personnel in part C are not accounted for.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Section C – Must include Role of Personnel, Research Environment, Communication of Results and Management of data Note: the “review ready” draft may exclude the Aims/Background/Description.</th>
<th>Research Environment checked to ensure it is appropriate for context of project. (e.g. whether there is a balance between institutional and research group statements; whether collaborating organisation(s) mentioned.) Role of Personnel cross-checked against named personnel in section A, Phd students in part B and additional personnel requested in the budget. Communication of Results will be checked for inclusion and against the budget. Management of Data will be checked to ensure it is not generic and addresses the four principals. Although not compulsory, when the entire section C is provided RIC will check that the correct headings are used in the required order. NOTE: Aims and Background and the Research Project section should be reviewed by colleagues and mentors of the applicant. RIC will not provide comments on these sections.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Section D – Budget</th>
<th>Required to check eligibility of budget items and compliance with ARC Instructions. Budget will be cross checked with section E. Salaries are required so they can be cross checked with UoM salary scale. Time commitments of named personnel will be cross checked with section F and C to ensure consistency and CI/PI eligibility. DIA and TR requests will be checked against Section F for compliance and</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td><strong>Section E – Budget Justification</strong></td>
<td>Required to check eligibility of budget items and compliance with ARC Instructions. Figures and items listed in the justifications will be cross checked with section D</td>
</tr>
<tr>
<td><strong>Section F – Personnel and ROPE</strong></td>
<td>Section F for each named CI/PI must be complete so that RIC can provide an accurate check of CI and PI eligibility. It is essential that information related to employment status is included to assess investigator eligibility. Information on grants/fellowships is cross-checked against section G (research support and Statements of Progress) to ensure consistency and accuracy of information. ROPE section is reviewed for formatting and read to ensure CI/PI eligibility.</td>
</tr>
<tr>
<td><strong>Section G1 – Research Support Statements of Progress for ARC projects</strong></td>
<td>Research support tables must be complete to assess grant limit and cross-scheme eligibility. Cross-checked against section A and F Statements of Progress for ARC projects are cross checked with section F.</td>
</tr>
<tr>
<td><strong>Sections A-G</strong></td>
<td>NOTE: Correct spelling and grammar is the responsibility of the applicant.</td>
</tr>
</tbody>
</table>
**A definition of a NHMRC review ready application is as follows. Please note the following is based on NHMRC Project Grant Funding Rules. Any significant changes to the definition will be published on the relevant RIC scheme webpages:**

**NHMRC Project Grants**

<table>
<thead>
<tr>
<th>The following must be complete:</th>
<th>Why RIC needs this information provided in a complete state:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part A – Application Details</td>
<td>If any of these sections are not complete, NHMRC will deem the application as incomplete and remove from review process.</td>
</tr>
</tbody>
</table>

**Part A - Home: Application Information**

A-Home: An application cannot be submitted without this information. All mandatory fields must be completed.

A-Research Team: Information is required to check eligibility in several areas e.g. number of grants held, salary requests and PSP/TSS requests.

A-Ethics: mandatory fields must be completed.

**Part B – Grant Proposal**

B-GP: Grant Proposal

Check for compliance and completeness as per applicant guidelines

*Note: Detailed Background & Research Plan can be in draft form, however other sections of Grant Proposal should be complete especially CI Time Commitment, Team Quality and Capability, Track Record, Career Disruption (if applicable), Priority-driven YI (if applicable) and Indigenous Research Excellence Criteria (if applicable)*

B-PB: Proposed Budget

Checked for completeness and to confirm whether allowable under DRC guidelines

Completed CV and Profile sections as per scheme requirements

CV and Profile: Mandatory for all CI’s to complete / update both CV and Profile details. It should be noted that only certain sections feed through to applications and contain eligibility criteria.

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**5 Business Days before Sponsor Deadline**

- This date should be considered the **final University of Melbourne deadline** for submission of ARC/NHMRC applications.
- All applications (whether reviewed by RIC or not) to be submitted to the sponsor must be lodged at RIC in their final form by this date. (Note: final submissions prior to 5 business days will be accepted).
- RIC will require a completed Authority to Submit form. The Authority to Submit form must be fully completed and contain signatures/approvals of all Chief Investigators/Partner
Investigators/Associate Investigators and Head(s) of Department/Institute Director(s) before the application can be submitted to the sponsor. **This is a sponsor requirement.**

- RIC will validate faculty/school/department/institute sign-off on Authority to Submit Forms before submission to sponsor.
- No amendments can be made to applications after this date. RIC will be unable to provide any feedback after receiving final applications.
- Any application received by RIC after this final internal date, including those already reviewed by RIC will not be submitted to the sponsor unless AD (i.e.: faculty/school) authorisation has been obtained.
- RIC will complete the administering organisation requirements in RGMS/RMS.
- RIC will certify and submit applications on behalf of the University of Melbourne to the sponsor.

### Core Services Provided by RIC and Faculties

The core services provided by RIC and faculties/schools/departments/institutes during major grant rounds are outlined in Attachment 1. This list is not meant to be prescriptive, but to indicate the separate responsibilities of RIC and those of faculties/schools/departments/institutes. RIC realises that the level of services offered by faculties/schools/departments/institutes will differ and is dependent factor such as local resourcing and research strategies.

### Feedback

All applicants will be contacted (in a survey) at the end of the year and provided with an opportunity to comment on the submissions policy. Direct feedback may also be emailed to Rebecca Bond (Director / Major Initiatives, Contracts and Grants - Research, Innovation and Commercialisation) at rbond@unimelb.edu.au.
<table>
<thead>
<tr>
<th>Service</th>
<th>RIC</th>
<th>Faculties /Schools /Departments/Institutes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Promotion, Communication, Education</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Proposal Development (including strategic and compliance advice)</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>Run seminars with input from academic staff and in conjunction with faculties</td>
<td></td>
<td>Academic Divisions will run seminars on strategic proposal development and/or run peer review/generalist review sessions</td>
</tr>
<tr>
<td>Organise seminars relating to faculty/discipline specific needs</td>
<td></td>
<td>YES</td>
</tr>
<tr>
<td>Communicate updates from sponsors during the grant round to researchers and staff in Academic Divisions by direct email/special bulletins</td>
<td>YES</td>
<td>Provide Academic Division specific advice to RIC for communications where appropriate and work with RIC to assist Faculty staff to understand the advice/communications provided by RIC.</td>
</tr>
<tr>
<td>Maintain scheme specific websites which detail Sponsor and RIC requirements</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td><strong>University Deadlines and Submission Policy</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Develop and communicate UoM submission policy and process including setting internal closing dates and maintaining NOI</td>
<td>YES</td>
<td>YES</td>
</tr>
<tr>
<td>In partnership with Academic Divisions.</td>
<td></td>
<td>Faculties may have earlier application deadlines to facilitate mentoring and peer reviews. Dates will be determined in partnership with RIC.</td>
</tr>
<tr>
<td><strong>Application administration and review</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate receipt of review ready** applications</td>
<td>YES</td>
<td>If an applicant requires an extension due to exceptional circumstances, the faculty must approve the request and advise RIC of their decision.</td>
</tr>
<tr>
<td>Once all applications are receipted, RIC will provide Academic Divisions with the NOI list, a list of review ready applications received during the Submission Period.</td>
<td></td>
<td>(Exceptional circumstances includes illness, bereavement or circumstances beyond the applicants control)</td>
</tr>
<tr>
<td>Provide individual, written feedback to applicants regarding compliance and eligibility issues</td>
<td>YES</td>
<td></td>
</tr>
</tbody>
</table>
## Track/reconcile NOI and sponsor database to ensure all potential applications captured, checked, submitted

**YES**

## Provide advice/feedback to applicants on strategic sections of application - eg: ARC Research Environment section/strategic statements

**YES**

- General University wide information only

**YES – it is essential for academic divisions to provide specific strategic information to ensure applications are competitive**

## Liaise with sponsor to clarify rules/eligibility

**YES**

- The ARC’s policy is to only communicate with RIC.
- The NHMRC’s preferred position is for all communication to be via RIC

## Provide feedback to applicants on research description and research proposal sections

**Variable by Academic Division**

## Budgeting

**Provide University salary scales (for ARC grants)**

**YES**

**YES**

## Budgeting advice

**YES**

- General advice with regards to eligibility and compliance

**YES**

- Provide specific budget advice according to discipline and strategy. Ensure any funding shortfall issues are identified and addressed.

## Approval, Certification and Submission

**Arrange sign-off by Faculty/Department/Institute**

**YES**

**Arrange certification of applications by the University & submit applications to the sponsor by the external closing date**

**YES**

- RIC will check that appropriate signatures have been obtained. Only RIC can certify and submit applications to ARC/NHMRC.

**YES**

**Keep record of applications submitted to the sponsor**

**YES**

**YES**

- Reports are provided to each Academic Division by RIC including final applications and spreadsheets that will be disseminated to Departments/Institutes from Academic Divisions.

**YES**

- Academic Divisions report application statistics to Faculty executive and Heads of Schools.