ACU
AUSTRALIAN CATHOLIC UNIVERSITY

Pre-Award, Post-Award and Closure

Key:
RGT: Research Grants Team
CI: Chief Investigator
RF: Research Finance
ADR: Associate Dean Research
HOS: Head of School
RID: Research Institute Director
ED: Executive Dean
RM: Research Manager
CT: Research Contracts Team

Pre- award

All externally funded projects should be flagged via a fully completed Research Approval Form (RAF) ahead of submission/agreement with the funding bodies. These must be received by the Research Grants Team (RGT) within the Office of the Deputy Vice-Chancellor (Research) (ODVCR) at least five (5) working days in advance of the external deadline. The earlier we receive notice, the more support we can provide in the development of the applications, scheme-related feedback and compliance, offering resources, determining whether or not a project is HERDC reportable, and discussing research strategies.

For funding offered by ALL funding bodies

A complete RAF with all related documents (funding rules, guidelines, ITAs, application, budget, etc.) is required for each research grant application and should be received by the RGT at least five days prior to the external deadline for grant application submissions.

Note:

CIs are responsible for ensuring that the RGT is informed of and provided with a copy of all relevant communications received from the external funding body, both during the submission/review process and when notification of a funding outcome is received.

Pre Award Process: Who is Responsible?

Responsible Party	Activity
CI	Advise the RGT of an intention to apply for an external research grant funding opportunity. Lodge complete RAF with all accompanying documents/information/requests.
CI, ADR, RID, RM, RGT	Support in the preparation of applications/proposals.
CI	Writing the proposal.
CI, RM, RGT	Compliance check of proposal.
CI, ADR, RID, HOS, ED, DVCR (Some depend on RAF workflow. Please check if unsure. No submissions can be made without DVCR approval).	Approval to submit an external research grant application/proposal
RGT	Organise approval to submit from the Deputy Vice-Chancellor (Research) and update RAF to display this. Organise for DVCR levy waiver approval where necessary.

CI/RGT	Submission of proposal to funding body: where the funding body requires the Research Office to submit grant applications, the RGT will submit the application. In all other circumstances, unless previously arranged with the grants officer, the CI must submit the application to the funding body following DVCR approval to submit. The CI should then advise the RGT that the application has been submitted and lodge the necessary paperwork.

Post-Award

Notification of a successful application and awarding of a grant

CIs should notify the RGT if they are advised directly by the funding body of the outcome of their application.

Research Contracts

The Contracts Team (CT) is responsible for development, review, negotiation and execution (signing) of all research-related contracts. Requirement for a research contract should be communicated with the CT as soon as possible to allow the necessary time for development, negotiation and other processes as required.

The lead CI is responsible for advising the CT of information to assist in contract review or drafting, including:

- Project Start and End Date
- Project personnel including their contact details
- Amount of funding awarded to the project
- Amount of project funds to other parties
- Description of services to be provided under the contract/agreement
- Payment Schedule
- Project milestones and deliverables
- Intellectual Property Arrangements

The CT will liaise with the CI or other research team members to facilitate and process agreement/contract requests.

Research Project Budget Approval Form (RPBAF)

Once a research contract has been executed, a fully completed and signed RPBAF must be submitted to the RGT by the lead CI for approval by the Deputy Vice-Chancellor (Research) or nominee.

Please note the following:

The RPBAF should not be submitted to the RGT until all approvals have been obtained, including ethics approval and levy waiver approval where necessary.

Once the RPBAF has been fully approved, a contract has been executed and the project has ethics approval to commence, the RGT will forward a request to Research Finance (RF) to establish an account code and raise the first invoice.

Financial management

The lead CI is responsible for raising all subsequent invoices and ensuring that all Progress/Milestone and Final Reports are completed and submitted by the due date(s). It is also the CI's responsibility to provide the RGT with a copy of reports and funding body acceptance of the reports, except in circumstances where the funder requires the RGT to submit reports on behalf of CIs.

Project funds are to be spent in accordance with the agreed budget and agreement/contract and may not be used for alternative purposes and must adhere to ACU's financial policies and procedures. All finance related enquiries including those relating to financial statements and acquittals should be directed to RF.

Contract Variations

Where changes to the externally funded projects require a variation to a contract (such as a change in personnel, an extension of the project, a change to milestones, or an increase or decrease in budget) the lead CI should notify the RGT. Any variations will require an agreement from the funding body and parties involved and in some cases will require a formal amendment of the original research contract.

Funding Extension Requests

The lead CI should notify the RGT before the project end date if the project is to be extended beyond the date that was agreed to in the contract/agreement.

Post Award Process: Who is Responsible?

Responsible Party	Activity
CI/RM/RGT	Receipt of notification of outcome from funding body (in instances where the CI submitted the proposal, they may receive the outcome advice from the funding body and should notify the RGT promptly)
CT	Sending a copy of the fully executed agreement to CI and RGT
CI/RM	Submission of completed budget to the RGT including confirmation of ethics approval and signed levy waiver form
RGT	Arrange for RPBAF approval by DVCR and once approved send to Finance with request for account code
RF (1st invoice), subsequent invoices should be raised by CI via: http://apps2.acu.edu.au/Finance/InvoiceRequisition.php	Communication of account code details to CI, RM and RGT and raising first invoice to the funder
RGT	Recording of account code, milestones, deliverables etc. in ResearchMaster as well as completion of project details based on signed agreement
CI	Variation of the project – notify funder and RGT
RGT	Notification of project milestones/ reports due dates

CI	Submission of project milestones/reports to the funder (copy also to be provided to the RGT)
CI	Preparation of non-financial reports
CI/RM	Authorisation of expenditure according to the ACU financial delegations and financial management of the project, including ensuring that information in the relevant research account code account is accurate and up-to-date at the end of each reporting period
CI	Monitoring of project expenditure, including ensuring account code account is managed appropriately and in accordance with the funding conditions and university guidelines
CI/RGT/RF	Preparation and submission of financial acquittals for the funder

Closure

The lead CI should notify the RGT when a project has been completed and ensure that they have provided the RGT with copies of all milestone/progress reports and the final report, as well as funding body acceptance of these reports.

Research Finance will then complete a financial reconciliation of the project account and proceed to close the account according to University policies. The RGT will then also close off the record in the ResearchMaster system.

Closure: Who is Responsible?

Responsible Party	Activity
RGT (Via ResearchMaster)	Communication with CI a month before closure date
RGT	Checking compliance requirements (milestones/deliverables)
RF	Financial reconciliation and cost centre closure
RGT	Record project closure in RM and communicate to CI