

Pre-Award, Post-Award and Closure

Pre- award

All external research grant applications and consultancies need to be submitted through the ACU Research Grants Management Team (GMT) within the Office of the Deputy Vice-Chancellor (Research) (ODVCR).

For Grants Offered by ALL funding bodies

A fully completed Research Approval Form (RAF) with all related documents (funding rules, application, budget, etc.) is required for each research grant application and should be received by the GMT at least five days prior to the external deadline for grant application submissions.

Note:

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

Key:

GMT: Grants Management Team

CI: Chief Investigator

RF: Research Finance

ADR: Associate Dean Research

HOS: Head of School

RID: Research Institute Director

ED: Executive Dean

CM: Contracts Manager

Pre Award Process: Who is Responsible?

Responsible Party	Activity
CI	Advise the Grants Management Team of an intention to apply for an external research grant funding opportunity
CI, ADR, RID, GMT	Support in the preparation of applications/proposals
CI	Writing the proposal
CI, RM, GMT	Compliance check of proposal
CI, ADR, RID, HOS, ED	Approval to submit an external research grant application/proposal
GMT	Organise approval to submit from the Deputy Vice-Chancellor (Research) and update RAF to display this
CI/GMT	Submission of proposal to funding body (Where the funding body requires the Research Office to submit grant applications the Grants Team will submit the application, where the funding body allows the CI to submit the application, the CI should advise the Grants Team that the application has been submitted and lodge the necessary paperwork)

Post-Award

Notification of a successful application and awarding of a grant

Chief Investigators should notify the ACU Research GMT if they are advised directly by the funding body of the outcome of their application. If an application is successful the following process applies.

Research Project Budget Approval Form (RPBAF)

A fully completed and signed RPBAF must be completed and submitted to the GMT by the lead ACU CI for approval by the Deputy Vice-Chancellor (Research) or nominee.

Please note the following:

The Research Budget Approval Form or ACU ARC Grant Acceptance Form should not be submitted to the ACU Research GMT until all the necessary approvals have been obtained.

An account code (G code) cannot be established until the Research Budget Approval Form has been fully approved.

If ethics approval is required to conduct the research project, the lead CI is responsible for ensuring all necessary ethics approvals are in place before commencement of the research.

The lead CI is responsible for ensuring that all funding body guidelines and ACU policies and procedures are fully adhered to in conducting the research project.

Post Award Process: Who is Responsible?

Responsible Party	Activity
CI/GMT	Receipt of notification of outcome from funding body (in instances where the CI submitted the proposal, he/she may receive the outcome advice from the funding body and should notify the ACU Research GCT promptly)
CI	Completion of Research Budget Approval form including signatures
CI	Submission of completed Research Budget Approval form to the ACU Research GMT
GMT	Arrange for BAF approval by DVCR and once approved send to Finance with request for account code
CI	Obtain Ethics Approval

Agreements and Contracts

Once a grant application is successful, the funding body and the funding recipient enter into a Funding Agreement that is usually issued by the funding body. In addition to this 'Head Agreement', other contracts may be required to conduct the research such as Research Agreements Collaboration Agreements and Service Agreements etc.

ACU Research Contracts is responsible for the review, negotiation and execution (signing) of all research-related contracts ACU issues or is issued. Although researchers may be involved in the development and negotiation of contracts, Contracts manage the process and researchers are not permitted to sign an agreement on behalf of ACU unless they have the authority to do so. Requirement for a research contract should be communicated to ACU Research Contracts as soon as possible to allow the necessary time for development, negotiation and, if required, legal review prior to final execution.

Note: There may be other research contracts required that are not related to a funding agreement. ACU Research is also responsible for these contracts and should be contacted for advice on what is required.

The following process occurs for all ACU research funding agreements and related contracts:

A. Identification of Contract Drafting Responsibility

ACU is responsible for drafting contracts relating to a funding agreement for which it is the recipient (eg a collaboration agreement). For other contracts not related to a funding agreement, ACU may draft a contract if it is the principal research institution. Please contact ACU Research Contracts for further information.

B. Contract Review or Drafting of a Contract

The responsible ACU Research Contracts member drafts and reviews research funding agreements, contracts and variations and where necessary, liaises with the Office of General Counsel.

The lead CI is responsible for advising the responsible ACU Research GCT member of the following information to assist in contract review or drafting:

- 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

C. Contract/Agreement negotiation

The responsible ACU Research Contracts member in conjunction with the lead CI will liaise with the funding body or research partner(s) to ensure the contract terms are acceptable to all parties. Once the terms and conditions of the contract are agreed to by all parties, the responsible ACU Research Contracts member will arrange for a final contract to be prepared for execution.

D. Document Execution

The responsible Contracts member will arrange for the contract to be submitted for signing in line with the ACU Delegations Policy as well as arrange for the signature of the external parties if the contract was drafted by ACU.

E. Contract Variations

Any changes or variations to research contracts require the necessary University approvals. Lead CIs should contact the responsible Contracts member to discuss and arrange any contract variations. If a contract variation is initiated by another party, the responsible Contracts member will manage the process.

Recording of Contracts

Contract details are recorded in RM for compliance, audit and ongoing post-award management purposes.

On-going post-award management

The ACU Research GMT should receive copies of any relevant communications received from an external funding body for the duration of the research grant.

The following are also required:

Lead Chief Investigators are responsible for ensuring that all Progress/Milestone and Final Reports are completed and submitted by the due date(s). The ACU Research GMT will submit reports on behalf of CIs where this is required by the funder. In all other instances the lead CI is responsible for submission and should provide the ACU Research GMT with a copy of the report and funding body acceptance of the report.

Financial management of research grants is the responsibility of the lead CI. 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 Research Finances.

The ACU Research GMT should be advised when an externally funded research project has been completed.

Contract Variations

Where changes occur that will 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 ACU Research GMT. 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 ACU Research GMT before the project end date if the project is to be extended beyond the date that was agreed to in the contract/agreement.

Ongoing Post Award Management: Who is Responsible?

Responsible Party	Activity
GMT	Request to Finance for Account G code
RF	Communication of Account G code details to CI
GMT	Recording of milestones, deliverables etc. in RM as well as completion of project details based on signed agreement
CM	Sending of a copy of the fully executed agreement to CI
RF (1 st invoice), subsequent invoices should be raised by CI via: http://apps2.acu.edu.au/Finance/InvoiceRequisition.php	Invoicing the funder

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

Closure

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

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

Closure: Who is Responsible?

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

