



THE UNIVERSITY OF
NOTRE DAME
A U S T R A L I A

POLICY:

STAFF RESEARCH GRANTS AND CONTRACTS APPLICATION AND MANAGEMENT

Purpose:	Details application and management of external research grants & contracts for staff
Responsible Executive:	Pro Vice Chancellor - Research
Responsible Office:	Research Office
Effective Date:	18 September 2017
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1 RATIONALE AND PRINCIPLES

1.1 Rationale

An Object of the University is the provision of excellence in teaching, scholarship and research within the context of Catholic faith and values. The University's staff are encouraged to engage in research within a framework that promotes best practice and minimises risk to the University, Notre Dame Researchers and the broader community.

This policy supports best practice in managing external grants to achieve the optimal outcome for the researcher and University, and promotes the capabilities of staff and the reputation of the University. This policy also specifies procedures and responsibilities for ensuring that the University is not compromised ethically, financially, or legally during the research process.

Research income contributes to the funding that the University receives through Commonwealth Government performance-based funding schemes. The University seeks to maximise research grants, contracts and consultancies.

All research activities have a bearing on the reputation and income of the University.

1.2 Principles

- (a) The University's *Code of Conduct for Research* applies in conjunction with this Policy.
- (b) Research Management is any activity instigated at the University level which seeks to add value to the research activity of staff, without being part of the research process itself. Research Management is often defined as pre-award and post-award, in terms of grants and contracts.
- (c) The University's Research Management System (IRMA) is the pathway for School and University review and endorsement of all proposals for externally funded research, enabling risk management, approvals, certifications and submission of applications.
- (d) All applications must be submitted to external funding agencies with the prior approval of the Research Office. Applications must be received, accompanied by a coversheet for internal risk assessment and approval, within a reasonable time frame to facilitate due diligence before submission of the proposal.
- (e) The University's policy is to recover both Direct and Indirect Costs for all research conducted on behalf of an external funding agency. If a grant provides only the Direct Costs of the research, in effect the University must subsidise the research. These indirect costs are calculated using the University's *Indirect Cost Recovery Factor* (Appendix).
- (f) Exemptions apply to this Policy's cost recovery factor with regard to Higher Education Research Data Collection (HERDC) Category 1 grants and some specified schemes (Appendix). Requests to vary the University Policy on Recovery of Indirect Costs, under any of the exemptions listed, must be fully justified by the applicant and authorised by the Deputy Vice Chancellor – Academic (DVC-A) or Pro Vice Chancellor-Research (PVC-R).

- (g) Responsibilities and procedures referred to in this Policy apply throughout the life of the externally funded project or program from application to award, agreement execution, start-up, project management, project close and communication of findings.
- (h) All funding applications administered by the University are the property of the University and as such, can be used as exemplars for institutional Research Capacity Building.
- (i) Unexpended funds from a grant or contract, not required for return to the Funder, will be retained by the University, except where other arrangements have been negotiated between the Chief Investigator, School/Institute and PVC-R.
- (j) The University supports the principle of Open Access for research data and publications.
- (k) Any application and grant of research funding represents a University commitment; not that of any particular researcher; and as such requires the approval of DVC-A/ PVC-R.

2 DEFINITIONS

Chief Investigator in this Policy means the University staff member who provides the intellectual, administrative and ethical leadership to the research project at Notre Dame. When research is carried out in collaborative arrangements, one Investigator is designated as the lead Notre Dame Chief Investigator.

Collaborative project means a research project whereby the University works in partnership with another research provider(s) or stakeholder(s) of the research to share equally or proportionately (as contractually agreed) the costs and benefits of the research.

Contracts, as defined by HERDC, are funding agreements for research where the project is developed primarily by the funding agency, or jointly by the funding agency and the investigator(s). Contracts operate under specific terms and conditions for an agreed cost, and include a financial surplus.

Consultancies involve the provision of expert advice by researchers on behalf of the University on a commercial basis to an external organization, for an agreed cost including a financial surplus. Consultancies are subject to the University's *Policy for Outside Employment & Consultancy*.

Direct costs are costs directly attributable to undertaking a project. This includes costs that are sought from the Funder such as: salaries and On-costs, consumables, equipment, services, access to specialist facilities, collaborative activities, travel, and general maintenance. It also includes in-kind contributions, specific to the project, which are given a cash value. In-kind contributions are given by University or collaborators, and are not sought from the Funder. They should be included in the application as appropriate to reflect the actual total cost of the project.

External funding for research includes Grants, Contracts, Consulting, Fellowships and any research income to support research at the University.

Fellowship is a grant to support a research position.

Funder is an organisation, agency or individual external to the University that funds research.

Grants are agreements in which a funding agency provides, under generic terms and conditions, funds to support the cost of a project to support academic research activities. Normally, they are awarded after a competitive process and generally allow the researcher(s) to propose the program of activity within broad parameters. Grants require a financial acquittal and normally the return of any unspent funding to the funding organisation.

Indirect costs or University overheads are costs to the University which are incurred in maintaining an environment and infrastructure for conducting the research activity. This includes utilities, physical facilities, information technology, library services, insurance, research services, financial, staffing and legal services, and administrative support at School, Institute and University levels. Refer to the University's *Indirect Cost Recovery Factor* (Appendix).

Intellectual Property refers to creations of the mind. Example include a new discovery, invention, brand, design, music, literature or other artistic creations. Intellectual Property provisions of all grants, contracts and consultancies are subject to the University's *Intellectual Property Policy*.

Notre Dame Researcher means any person, including but not limited to, University staff, adjuncts and students, who carry out research on behalf of, or under the auspices of, the University or as part of his or her role or studies with the University.

On-costs are the additional costs (above the annual salary) incurred in employing a person to fill a position or undertake a role. These costs include provisions for Superannuation, Long Service Leave, Parental Leave, Workers' Compensation and Payroll Tax.

Open Access refers to the deposit of research publications into an open access institutional repository, for example ResearchOnLine@ND.

Research is the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies and understandings. The research, along with its results, is ordinarily owned by the University.

University is The University of Notre Dame Australia.

3 SCOPE OF THE POLICY

- 3.1 This Policy applies to all Notre Dame Researchers on all campuses.
- 3.2 This Policy applies regardless of whether the University is the lead institution or a partner in a Collaborative project.
- 3.3 This Policy applies to all proposals for external research funding (Grant, expression of interest, on-line applications, Fellowship, Scholarship, Contract, Consultancy, resubmitted applications).

- 3.4 This Policy applies to all applications for research Grants when a Notre Dame Researcher is a Chief Investigator, Partner Investigator, Service Provider, or any role contributing time, resources or facilities from the University (including in-kind).
- 3.5 This Policy does not apply to Grants, Contracts and Consultancies which are not Research.

4 RESPONSIBILITIES

- 4.1 The University's Research Funding Coversheet must accompany each application. The Notre Dame Chief Investigator is responsible for arranging School/Institute support in order to meet the University's internal closing date. Incomplete or late Coversheets, or budgets failing to account for University overheads (Appendix), will not be accepted.
- 4.2 The PVC-R is responsible for approval of any application or acceptance of any Grant to support research. External funding represents a University commitment and not that of any particular researcher.
- 4.3 The Chief Investigator is responsible for the preparation of an application for funding, and for notifying Research Office of any communications from the Funder of outcomes or post-award.
- 4.4 In the case of a Fellowship or Scholarship application from an external Candidate, the Notre Dame Supervisor is responsible for liaising with the Research Office for review and endorsement before submission.
- 4.5 The School/Institute and Research Office are responsible for ensuring the quality of applications being submitted are of a suitable standard for University submission.
- 4.6 The Chief Investigator and their School/Institute must ensure the project will comply with the University's *Policy for Ethics Approval for Research Involving Humans and Policy for Ethics Approval for Research Involving Animals*.
- 4.7 The Chief Investigator and their School/Institute are responsible for all aspects of the project post-award and compliance with the Terms & Conditions of the research agreement and University Policy. This includes, but is not limited to, project milestones, acknowledgement of Funder in publications (e.g. NHMRC grant number), dissemination, Intellectual Property, data storage, variation requests and reports to the Funder, and oversight of the budget. The Chief Investigator is responsible for ensuring that all team members including students are fully informed and compliant.
- 4.8 The Research Office facilitates all aspects of the internal approval and application process for external funds to support research. The Research Office oversees the management of Grants and Contracts post award through to close of the project.
- 4.9 The Research Office is responsible for recording (via IRMA) all research Grants and Contracts information, and for reporting research activity to University Committees and Government, including HERDC and Excellence in Research for Australia (ERA). For example such data could

include, but not limited to, Chief Investigators, partner organisations, field of research codes, funding scheme program, amounts applied, awarded and received.

- 4.10 The Finance Office is responsible for management of financial aspects of the project with advice from the Research Office. The Finance Office also provides advice and review during budget preparation for applications. The Finance Office is responsible for creation of new account codes for both income and expenditure.
- 4.11 The Finance Office is responsible for ensuring all expenditure complies with Funder terms and conditions, and is in line with University Policies and Guidelines including but not limited to financial delegations, procurement policy, hospitality and Fringe Benefit Tax (FBT) guidelines.
- 4.12 The University Legal Office is responsible for all agreements linked to research. Legal documents are executed by the Vice Chancellor or Delegates (DVC-A/ PVC-R) on behalf of the University. The Legal Office also provides advice during the internal review process for applications and on issues related to Intellectual Property.
- 4.13 The Research Office and Finance Office together are responsible for close of grant, including general ledger codes.
- 4.14 The Pre and Post-Award Flowcharts (Appendix) demonstrate the involvement of all relevant departments during the life of a project.

Appendix A

Indirect Cost Recovery (Overheads) Factor*

The following scale is in place for the University's overhead cost recovery according to the size of the grant or contract:

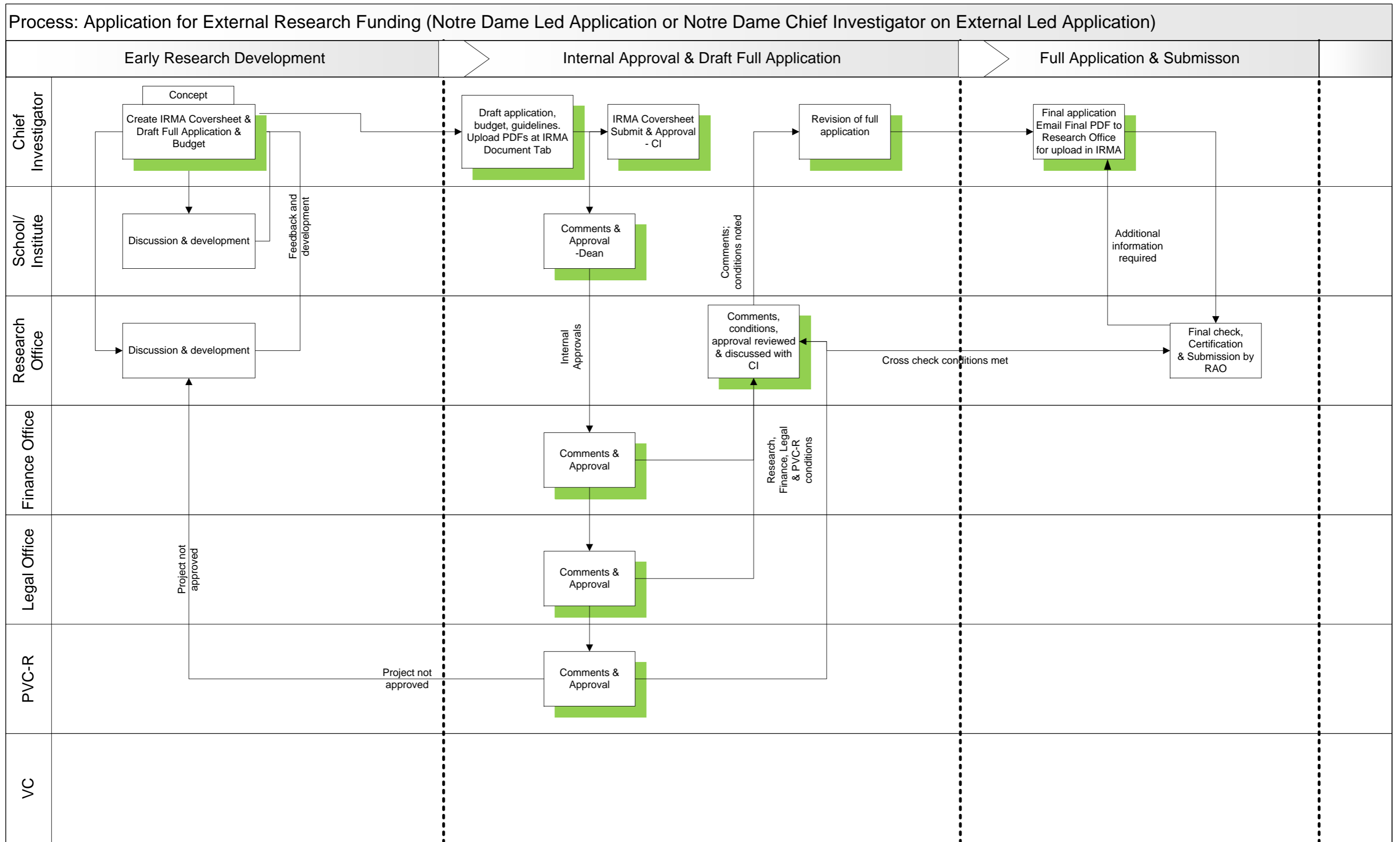
Up to \$10,000	10%
\$11,000 to \$25,000	15%
\$26,000 to \$100,000	20%
Over \$100,000	30%

Exemptions from Indirect Cost Recovery

The following exemptions apply:

- (i) Commonwealth schemes, as listed on the Australian Competitive Grants Register.
[http://www.innovation.gov.au/Section/Research/Pages/AustralianCompetitiveGrantsRegister\(ACGR\).aspx](http://www.innovation.gov.au/Section/Research/Pages/AustralianCompetitiveGrantsRegister(ACGR).aspx) The Commonwealth specifically provides infrastructure funding for such projects via the Research Infrastructure Block Grant;
- (ii) *Bona fide* donations to the University;
- (iii) Scholarships for educational and research purposes, including operating grants for student projects;
- (iv) Where the project provides a significant financial or other tangible benefit to the University, such as the retention of intellectual property ownership, support for charitable foundations or not-for-profit organisations;
- (v) Schemes which specifically prohibit or cap the recovery of indirect costs in their Terms and Conditions.

***Requests to vary the University Indirect Cost Recovery Factor, under any of the exemptions above, must be made via IRMA and authorised in writing by the PVC-R.**

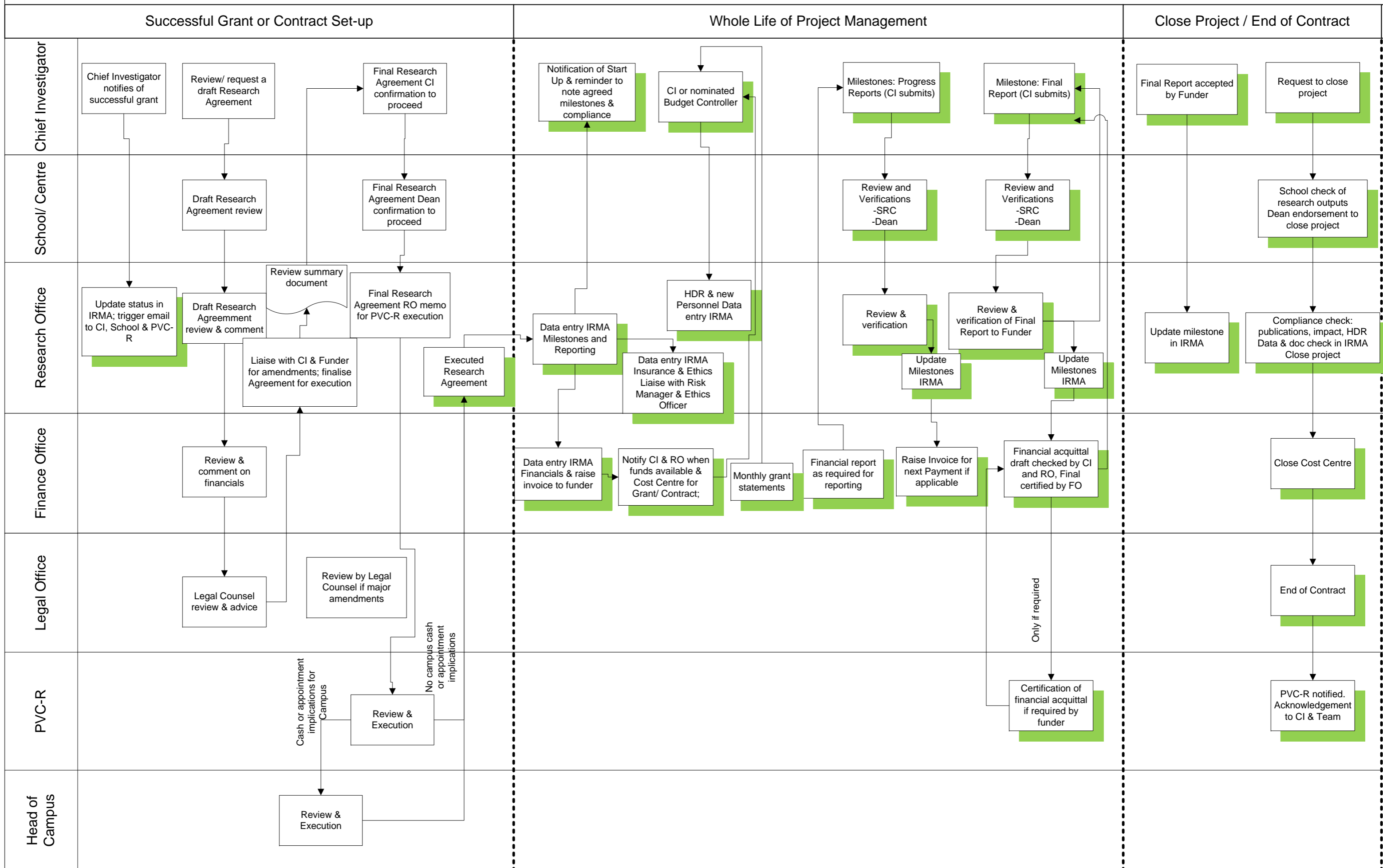


Steps in process, indicated by an arrow, will trigger an email to the responsible office. For example, completion and submission of an IRMA Coversheet will trigger an email to school Dean that a Coversheet has been submitted to the School for review and verification

Process with green shadow occur within IRMA

Process: Post Award Management of External Research Funding

GRANTS & CONTRACTS MODULE ----- Project set up, management, compliance, close



Steps in process, indicated by an arrow, will trigger an email to the responsible office. For example, completion and submission of an IRMA Coversheet will trigger an email to school Dean that a Coversheet has been submitted to the School for review and verification

Process with green shadow occur within IRMA