**Guidelines for Involvement in any Not-Deakin led Grant Application**

Collaboration with researchers at other institutions is a key feature of a successful research eco-system and Deakin strongly encourages researchers to develop productive national and international collaborations.

Deakin expects your involvement will be appropriately recognised and resourced in any not-Deakin led grant applications. You must ensure any not-Deakin led grants will cover all financial requirements to successfully complete your component of such projects. It is important to note, any Not-Deakin Led Grants requiring co-investment must also meet the mandatory requirements established in the Deakin University [Guidelines for Co-Investment for external research funding Awards and Contracts.](https://deakin365.sharepoint.com/sites/DeakinResearchSeniorLeadershipTeamSite/Strategic%20Plans%20%20Documents/Guidelines%20and%20Frameworks/Co-Investment%20Guidelines/20210526%20DRAFT%202021%20Co-Investment%20Guidelines%20BCP%20environment.docx?web=1)

It is also important to recognise participation as an Investigator in certain National Health and Medical Research Council (NHMRC) and Medical Research Future Fund (MRFF) schemes, are capped. [Further details are available here](https://www.nhmrc.gov.au/funding/new-grant-program/eligibility). For Australian Research Council (ARC) opportunities please refer to the [ARC website](https://www.arc.gov.au/grants/grant-application/eligibility-matters).

Thus, participation in any programs of work led by other researchers as Investigators, including possibly as Associate Investigators, at other institutions, will reduce opportunities for you to fund your own research projects through the major NHMRC and ARC schemes. Similarly, most MRFF schemes limit participation to one application per grant scheme opportunity. Therefore it is ***crucial*** to monitor your participation ensuring you do not breach these rules resulting in applications being disqualified as ineligible.

Please discuss your involvement in any not-Deakin led grant as early as possible prior to submission deadlines with the Lead Investigator, and your Associate Dean Research (ADR) or Institute Director. Universities now expect their staff to ensure external funds flow back to their home university to appropriately support their involvement; you must raise this expectation as early as possible with the Lead Investigator prior to formalising any agreement towards participation.

The following examples are provided to prompt discussions and negotiations with the Lead Investigator for consideration and inclusion in budgets involving not-Deakin led grant applications; the following activities reflect essential support for your contribution to the project’s outcomes:

* Your time commitment to the project, if permitted and appropriately calculated, under the grant scheme guidelines, including for co-CIs;
* Essential travel and other activities to undertake your research, including any interstate or local field work, visits to communities or health services;
* A research assistant or post-doctoral fellow (at relevant time fractions) if essential to support your involvement, e.g.: for data collection, interviews, transcriptions or data analysis etc;
* Access to national research facilities, e.g. national high-performance computing infrastructure.
* Consumables, equipment needs or other experimental or computational activities;
* One or more HDR scholarships;
* Conference participation or teaching relief (if permitted by the Scheme).
* Open access publication costs

When participating in any Not Deakin Led grant application, you must complete and submit a Request for [PVC Research Strategy & Performance Approval – Not DU Led Grant Applications](https://deakin365.sharepoint.com/sites/DeakinResearchSeniorLeadershipTeamSite/Strategic%20Plans%20%20Documents/Guidelines%20and%20Frameworks/Co-Investment%20Guidelines/20210527%20MCb%20DRAFT%20Not%20DU%20Led%20NHMRC-MRFF%20form%20for%20DVCR%20certification_Faculty%20changes.docx?web=1) FORM (APPENDIX-A). Make sure budget items adequately reflect the requirements to successfully undertake your component contribution to the project within the expected timeframe. In instances where it is not possible to receive project funds this must be fully explained at section 6 of the Request for [PVC Research Strategy & Performance Approval – Not DU Led Grant Applications](https://deakin365.sharepoint.com/sites/DeakinResearchSeniorLeadershipTeamSite/Strategic%20Plans%20%20Documents/Guidelines%20and%20Frameworks/Co-Investment%20Guidelines/20210527%20MCb%20DRAFT%20Not%20DU%20Led%20NHMRC-MRFF%20form%20for%20DVCR%20certification_Faculty%20changes.docx?web=1) FORM (APPENDIX-A).

Those participating in any application led by another University or Research Institute, ***must*** have the support of their Head of School (if relevant) or Institute Director and Deakin Research approval. Please allow sufficient time to gain appropriate approvals prior to the final submission of the application before the deadline.

**Note:-** in the case of ARC applications only the DVCR/PVC- Research Strategy & Performance is authorised to countersign mandatory ARC certification forms on behalf of Deakin. Deakin CIs must complete and sign the certification form in their capacity as CI, then submit to Deakin grants team research-grants@deakin.edu.au along with this completed form. The grants team will arrange for Deakin execution of the certification form.

**InstructionS**

**Procedure:**

1. Complete all sections of the Request for PVC Research Strategy & Performance approval – Not DU Led Grant Application FORM and sign as Deakin Lead investigator.
2. Each contributing DU researcher must obtain approval of their Head of School or IFM/A2I2/ADI/IISRI Director to participate. *By signing and submitting this form, the Deakin Lead Investigator assumes responsibility for any and all contributing researchers having obtained necessary approvals to participate.*
3. The following must be completed and submitted to the Pro Vice Chancellor, Research Strategy and Performance, email [pvc-rsp@deakin.edu.au](mailto:pvc-rsp@deakin.edu.au) for approval:
   1. This completed and signed form (minus the preamble and instructions page).
   2. The Full funding application (final or penultimate version), if this is not available, please provide a comprehensive summary of the project.
   3. The [Request for Co-Investment Funding FORM](https://deakin365.sharepoint.com/sites/DeakinResearchSeniorLeadershipTeamSite/Strategic%20Plans%20%20Documents/Guidelines%20and%20Frameworks/Co-Investment%20Guidelines/20210526%20DRAFT%202021%20Co-Investment%20Guidelines%20BCP%20environment.docx?web=1) if Deakin co-investment is required.
   4. Requests missing the above information will be rejected.
4. The Pro Vice Chancellor, Research, Strategy will advise you if you are approved to take part in the proposed not-Deakin led application.
   * 1. For ARC not DU led applications if approved, DR-Grants will contact the applicant to arrange the certification form the administering organisation will require.

* For ARC submissions only the DVCR or PCV RS&P is authorised to countersign the mandatory ARC certification form on behalf of Deakin. Your Head of School/Institute Director is **not** authorised to sign these certification forms on behalf of Deakin.
  + 1. If the request to participate is not approved, the Pro Vice Chancellor, Research Strategy and Performance will provide feedback to the DU Lead Investigator with a *cc* to the Head of School/Institute Director and relevant ADR.

**Privacy Notice:**

*Deakin University complies with the Information Privacy Act 2000 (Vic) in the collection, use, disclosure and ongoing management of your personal information. The information collected in this form is used primarily to assess whether the Deputy Vice-Chancellor Research consents to your participation on a Not DU Led Project application. It will be distributed to the DVCR (or delegate) for consideration. The information may be de-identified and used for statistical purposes*

Project Title: Click or tap here to enter text.

Funding Source:  NHMRC  MRFF  ARC  Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of Scheme: Click or tap here to enter text.

Application ID: Click or tap here to enter text.

Lead Institution: Click or tap here to enter text.

2. Provide the Total Amount of Funding Being Requested from NHMRC/MRFF/ARC/ or Other sources

**AUD$** Click or tap here to enter text.

3. List all DU Investigators, their proposed time commitment and the cost of their in-kind contribution

|  |  |  |  |
| --- | --- | --- | --- |
| DU Investigator Title and Name | Brief description of Investigator Role | FTE contribution to project | \* In-Kind ($) contribution |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

*Add additional rows as required*.

*\* Calculate in-kind based on DU Investigator time commitment x Investigator salary + on-costs.*

*Scheme specific Deakin salary information available:*

*NHMRC/MRFF:*  [*https://www.deakin.edu.au/research/support-for-researchers/find-funding/nhmrc-funding*](https://www.deakin.edu.au/research/support-for-researchers/find-funding/nhmrc-funding)

*ARC:* [*https://www.deakin.edu.au/research/support-for-researchers/find-funding/arc-funding*](https://www.deakin.edu.au/research/support-for-researchers/find-funding/arc-funding)*,*    
 Other opportunities: Contact your finance partner if unsure of correct rate to use

1. List any other in-kind contribution provided by DU

|  |  |
| --- | --- |
| Brief description of contribution | \*\*In-Kind ($) contribution |
|  |  |
|  |  |
|  |  |

*Add additional rows as required*.

\*\*If required contact your finance partner to provide an accurate costing of any other associated in-kind contributions including any facilities fees, equipment access or consumables.

5. Deakin University Co-Investment Cash Contribution and Return on Investment (ROI)\*

Provide a total of any DU co-investment cash contribution requested to support the bid.

|  |
| --- |
| Nil or AUD$ |

**\*** The Request for Co-Investment funding [FORM](https://deakin365.sharepoint.com/sites/DeakinResearchSeniorLeadershipTeamSite/Strategic%20Plans%20%20Documents/Guidelines%20and%20Frameworks/Co-Investment%20Guidelines/20210526%20DRAFT%202021%20Co-Investment%20Guidelines%20BCP%20environment.docx?web=1) must also accompany this application.

6. List Anticipated Direct cash income to be received and administered by DU if the bid is successful

|  |
| --- |
| AUD$ |

**Note:** Under normal circumstances not-Deakin Led applications require a ROI of 4:1. If less than a 4:1 ROI is expected to flow to Deakin then a detailed explanation is required. If no co-investment is required, the anticipated distribution should warrant participation at the level outlined at 3 and should reflect the DU Investigator role and the level of their involvement in the project.

7. Indicate the benefit of this collaboration (for the individual researcher/s and for DU)

|  |  |  |
| --- | --- | --- |
| **Benefit for Researcher and/or Deakin University** | **Indicate YES / NO** | **If Yes, describe how this will benefit** |
| Establishes or consolidates a strategic academic partnership that will lead to tangible research outputs |  |  |
| For ECRs/MCRs: Provides access to nationally/internationally renowned experts in my discipline and recognises my reputation as an expert in my field |  |  |
| Provides access to expertise in translational research or specific skill sets that compliments my expertise and will expand the reach of my research |  |  |
| Is a cutting edge, innovative proposal that will lead to significant new discoveries |  |  |
| Provides access to technology or technical expertise that is currently lacking at DU |  |  |
| Proposal is aligned with School, Faculty, Institute and/or University strategic directions |  |  |
| Other (please specify): |  |  |

*Indicate all that apply and add additional rows as required.*

8. A copy of the full or penultimate proposal is attached to this request



*If ‘No’ selected, please provide a comprehensive summary of the project here*

|  |
| --- |
| PROJECT SUMMARY: |

9. list all OTHER INVESTIGATORS and their institutions

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Title | Name | Role | Institution | Confirmed/ Potential |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

*Add additional rows as required.*

10. CODES mandatory, all codes must be provided for government reporting purposes

1. Type of Research (total percentage should be 100)

Refer to [ANZSRC ToR](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/Wg615FKY3OhnyOzL) for research type definitions

|  |  |  |  |
| --- | --- | --- | --- |
| **Type of Research and Percentage** | **%** | **Type of Research and Percentage** | **%** |
| Strategic Basic Research |  | Pure Basic Research |  |
| Experimental Development |  | Applied Research |  |

1. 2008 Fields of Research (FoR) and Socio-Economic Objective (SEO) Codes

Enter **up to** **three SIX digit** classifications and the percentage allocation for each. Percentage should total 100 for both FoR and SEO.

For 2008 codes refer to: [ANZSRC2008 FOR codes](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/CARS6108)

[ANZSRC2008 SEO codes](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/CARS6344)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **First (Primary)** | | **Second** | | **Third** | | **Total percentage** |
|  | **Code** | **%** | **Code** | **%** | **Code** | **%** |  |
| **FoR** |  |  |  |  |  |  | 100 |
| **SEO** |  |  |  |  |  |  | 100 |

1. 2020 Fields of Research (FoR) and Socio-Economic Objective (SEO) Codes

Enter **up to** **three SIX digit** classifications and the percentage allocation for each. Percentage should total 100 for both FoR and SEO.

For 2020 codes refer to [ANZSRC2020 FOR codes](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/d3TYSTsmz2uc8CY1)

[ANZSRC2020 SEO codes](http://aria.stats.govt.nz/aria/#ClassificationView:uri=http://stats.govt.nz/cms/ClassificationVersion/d1iJyaEzjWHJiRej)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **First (Primary)** | | **Second** | | **Third** | | **Total percentage** |
|  | **Code** | **%** | **Code** | **%** | **Code** | **%** |  |
| **FoR** |  |  |  |  |  |  | 100 |
| **SEO** |  |  |  |  |  |  | 100 |

1. Impact Themes

Select **up to three** Deakin ResearchImpact themes from the list below which your application best aligns with. Place an X against the appropriate research impact theme in the table below and add the % weighting for the selected theme, ensuring the total comes to 100%

|  |  |  |  |
| --- | --- | --- | --- |
| Aligned theme (X) | % weighting | THEME | EXPLORE IMPACT THEMES |
|  |  | Improving health and wellbeing  (IHW) | <https://www.deakin.edu.au/research/research-impact/improving-health-and-wellbeing> |
|  |  | Enabling a sustainable world  (ESW) | <https://www.deakin.edu.au/research/research-impact/enabling-a-sustainable-world> |
|  |  | Creating smarter technologies  (CST) | <https://www.deakin.edu.au/research/research-impact/creating-smarter-technologies> |
|  |  | Building safe and secure communities  (BSSC) | <https://www.deakin.edu.au/students/research#Building_safe_and_secure_communities-2270555> |
|  |  | Advancing society, culture and the economy  (ASCE) | <https://www.deakin.edu.au/research/research-impact/advancing-society-culture-and-the-economy> |

SECTION 3: ETHICS AND SAFETY CLEARANCES

Research cannot commence until approvals are obtained for work involving humans, animals, genetic manipulation and/or use of hazardous materials. This includes work undertaken outside Deakin*.* Information on ethics requirements can be found on Deakin’s [Research Integrity](https://www.deakin.edu.au/research/research-integrity) webpage.

|  |  |  |
| --- | --- | --- |
| **Does the project involve the use of any of the following?** | **Yes / No** | **Ethics approval no.**  *Please quote DU # if clearance/s already in place* |
| Human subjects |  |  |
| Animals |  |  |
| Genetic manipulation / carcinogenic / teratogenic / ionising radiation / biohazard /infectious materials |  |  |
| Children under the age of 18 |  |  |

|  |  |
| --- | --- |
| Chain of Approval for participation in Not-Deakin Led Grant Applications | |
| **Deakin Lead Investigator\*** | SIGNATURE:  PRINT NAME: Date: / / 202 |
| *\*By signing and submitting this form, the Deakin Lead Investigator assumes responsibility for any and all contributing DU researchers having obtained necessary approvals from their respective Heads of School or Institute Director to participate.* | |
| **Head of School (if relevant), or**  **IFM/A2I2/ADI/IISRI Director or delegate** | SIGNATURE:  PRINT NAME: Date: / / 202 |
| **Pro Vice Chancellor, Research Strategy & Performance or delegate** | SIGNATURE:  PRINT NAME: Date: / / 202 |