# Checklist for Transfer of ARC projects out of the ANU

<table>
<thead>
<tr>
<th>Funds Provider Reference #</th>
<th>1st Named CI</th>
<th>ARIES ID</th>
</tr>
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<tbody>
<tr>
<td>GLC</td>
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This checklist is for use by College Research and College Finance Offices, Research Accounting and the Research Services Division.

### Step 1

<table>
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<tr>
<th>College Research Office (CRO) completes the following</th>
<th>Completed</th>
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<tbody>
<tr>
<td>1.1 Notify the College Finance Office of the intended transfer, cc’ing Research Accounting. College Finance begins the process of finalising accounts associated with the Project.</td>
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<td>1.2 Check that arrangements have been considered for PhD students associated with the grant. Any formal variations in their management, however, should be done after the transfer has been approved.</td>
<td>☐</td>
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</table>
| 1.3 Contact the receiving university’s Research Office to obtain written agreement to receive the grant.  
  - Send all information regarding the grant, including all third party agreements, to the new institution, so ensure that they are aware of their potential commitments on accepting administration of the Project.  
  - Please request confirmation as part of the written agreement to receive the grant that they will take over management of associated sub-contracts.  
  - If the grant is for a Fellowship (FL, FT, FS) or an Award (DORA, DECRA, DIA), the written agreement to manage the grant must be from the receiving institution’s DVC-R. It must include the information stipulated in the Funding Agreement regarding the transfer of a Project to another eligible institution. | ☐         |
| 1.4 Attach written agreement all named CIs, PIs and Organisations named on the Project (please refer to application and Letter of Award).  
  - This can be in the form of a letter or an email (with the official email address of the investigator clearly identifiable). | ☐         |
| 1.5 Attach a copy of any outstanding progress reports (if applicable). | ☐         |
| 1.6 Attach written agreement of the transfer of grant from the College Dean/Director.  
  - The agreement should be in the form of a letter or email from the appropriate delegate. Delegations are listed here: [http://about.anu.edu.au/governance-structure/delegations/budget-unit/academic](http://about.anu.edu.au/governance-structure/delegations/budget-unit/academic) | ☐         |
| 1.7 Complete the ARC’s Variation of Funding Agreement proforma, leaving the transfer calculations blank.  
  - Please note, you will need to identify if the ANU is to remain on the Project. | ☐         |
| 1.8 Email VFA to RSD (arcpostaward@anu.edu.au). Upload the VFA to ARIES. | ☐         |

### Step 2

<table>
<thead>
<tr>
<th>Research Services Division</th>
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</table>
| 2.1 Checks VFA request, writes cover letter support the request and emails to the ARC.  
  - If the grant is for a Fellowship (FL, FT, FS) or an Award (DORA, DECRA, DIA), RSD will obtain a support letter from the DVC-R. | |
| 2.2 Sends VFA to Research Accounting and requests that they complete the Transfer Calculation (this must be completed within 4 weeks).  
  Once this is completed, RSD provides the transfer calculation to the ARC via email, cc’ing the CRO. | |
| 2.3 When the ARC notification is received, RSD will email the CRO, cc’ing Research Accounting. | |

### Step 3

<table>
<thead>
<tr>
<th>College Research Office must complete the following (ARIES business process for recording the transfer of an ARC grant out of the ANU)</th>
<th></th>
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</table>
| 3.1 The CRO updates the ARIES record as follows:  
  1. If the ANU has no further involvement in the project  
     Use the following processes to record the transfer of administration from the ANU and the end of ANU’s involvement in the project:  
     MAIN DETAILS tab | |
• Select ‘Transferred from ANU’ in the Focus field;
• In ‘Date transferred’ field record the effective date of the transfer. This is the date recorded in the ARC letter (NOT the date the letter was signed);
• Change Amended End Date to match the date recorded in the ‘Date transferred field’.

FUNDING AMOUNTS tab
• Change the funding details for the year of the transfer to record the amount awarded (if the grant was transferred in year 2 of funding, change the record for that year). For example, if the grant requested 200,000 from the ARC in year 2 of the Project and was awarded 150,000, change the ‘Awarded Amount’ to show the amount expended by the ANU during that year.

Use this equation: Original Amount Awarded – Amount transferred to new Admin Org = New Amount Awarded.

Replicate this amount in the Amount ‘Managed’ and ‘Net’ for the transfer year.
• Change the ‘Amount Awarded’, ‘Managed’ and ‘Net’ for the remaining years of the project to show “0”.

MILESTONES tab
• Change date for Final financial Report to 31/12/[transfer year].
• Delete all other future milestones.

NOTES tab
• Note new Admin Org’s name.

DOCUMENTS tab
• Upload all variation and ARC approval documents.

Navigate to Main Details tab and click SUBMIT to update the record status. The ARIES record status will now read “Completed – Pending Reports”.

2. If the ANU maintains involvement in the project
Use the following processes to record the transfer of administration from the ANU to a new Administering Organisation, and to record the ANU’s involvement in the project:

MAIN DETAILS tab
• Change ‘Administering Organisation’ field to reflect new Admin Org.
• Select ‘Transferred from ANU’ in the Focus field;
• In ‘Date transferred’ field record the effective date of the transfer. This is the date recorded in the ARC letter (NOT the date the letter was signed);

INVESTIGATORS tab
• Keep the ANU investigator as the Lead Investigator at ANU. This will allow them to be listed in reporting as the Lead Investigator at the ANU;
• Update the External Investigators listed on the grant to indicate that they are the Lead Investigator (click the edit button, and change the option for “Is this external investigator the first-named Investigator on this grant?” to “yes”).

FUNDING AMOUNTS tab
2a. In cases where ANU maintains involvement, but there are no incoming ARC funds arranged through an MIA:
• Change the funding details for the year of the transfer to record the amount awarded (if the grant was transferred in year 2 of funding, change the record for that year). For example, if the grant requested 200,000 from the ARC in year 2 of the Project and was awarded 150,000, change the ‘Awarded Amount’ to show the amount expended by the ANU during that year.

Use this equation: ‘Amount Awarded (managed by ANU)’ – Amount transferred to new Admin Org = ‘Amended Amount Awarded’.

28/11/2013. Developed by RSD.
Record this amount in the ‘Amended amount awarded (managed at ANU)’, ‘Amount Net @ ANU’ and ‘Actual HERDC Income’ field for the transfer year.

- Update the ‘Amended amount awarded (managed at ANU)’, ‘Amount Net @ ANU’ and ‘Actual HERDC Income’ for the remaining years of the project to show “0”.

**MILESTONES tab**
- Change date for Final financial Report to 31/12/[transfer year].
- Delete all future Progress Reporting milestones (these are now the responsibility of the new Admin Org.)

**NOTES tab**
- Note new Admin Org's name.

**DOCUMENTS tab**
- Upload all variation and ARC approval documents.

Navigate to Main Details tab and click SUBMIT to update the record status. The ARIES record status will remain ‘ACTIVE’.

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2b. In cases where ANU maintains involvement, and **will be receiving incoming ARC funds** arranged through an MIA:
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- Change the funding details for the year of the transfer to record the amount awarded (if the grant was transferred in year 2 of funding, change the record for that year). For example, if the grant requested 200,000 from the ARC in year 2 of the Project and was awarded 150,000, change the ‘Amended amount awarded’ to show the amount expended by the ANU during that year.

Use this equation: ‘Amount Awarded (managed by ANU)’ – Amount transferred to new Admin Org = ‘Amended Amount Awarded’.

Record this amount in the ‘Amended amount awarded (managed at ANU)’, ‘Amount Net @ ANU’ and ‘Actual HERDC Income’ field for the transfer year.

- Create a new funding year record to record the funds transferred from the new Admin Org to the ANU through the MIA:
  - Click Add under ‘Annual Funding Amounts’, type in the transfer year, and record the ARC amounts requested and awarded as recorded in the MIA (GST N/A).

- Update the ‘Amended amount awarded (managed at ANU)’, ‘Amount Net @ ANU’ and ‘Actual HERDC Income’ for the remaining years of the project to show the ARC funds to be transferred into the ANU via the MIA.

**MILESTONES tab**
- Change date for Final financial Report to 31/12/[transfer year].
- Delete all future Progress Reporting milestones (these are now the responsibility of the new Admin Org).
- Keep the Interim Financial Reporting milestones, as ANU will need to report annual expenditure of ARC funds to the new Admin Org.

**DOCUMENTS tab**
- Upload all variations, ARC approval documents and the revised MIA.

Navigate to Main Details tab and click SUBMIT. The ARIES record status will remain ‘ACTIVE’.