EDITH COWAN UNIVERSITY
RESEARCH SERVICES

Edith Cowan University

Research Management System

Contracts and Variations: A Guide for Research Support

V6 – August 2019

Contents

Introduction 2
Contents 3
Agreements 3
Agreement details 3
Agreement Status history 5
Uploading documents 5
Additional information 6
Entering contract data 7
Deliverables 7
Deliverable Complete 8
Outstanding Deliverables 9
Deliverable Linked to an Invoice 10
Scheduled payments 10
Variations 16
Recording a variation 16
Variation approved 17
Variation declined 18
Further assistance 18

Introduction

The aim of this document is to provide the user with a guide to completing the areas of ECURMS relevant to contract coordination. It will cover creating a new agreement in ECURMS, entering data from the contract schedule, and dealing with variation requests and their outcomes.

Contracts

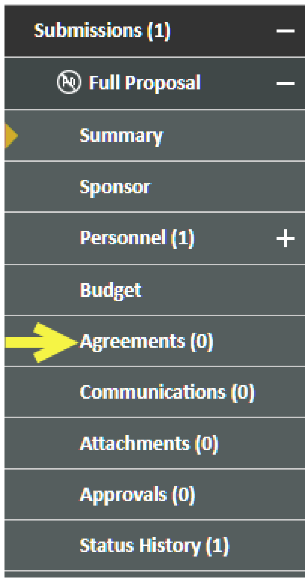
Once the Chief Investigator has accepted their award in ECURMS the Research Contracts and Funding Team (RCFT) will receive an email alert and an action item informing them that contract preparation can begin.

Agreements

Agreement details

When the relevant documentation has been received from the funding body or partner organisation RCFT will create an agreement type.

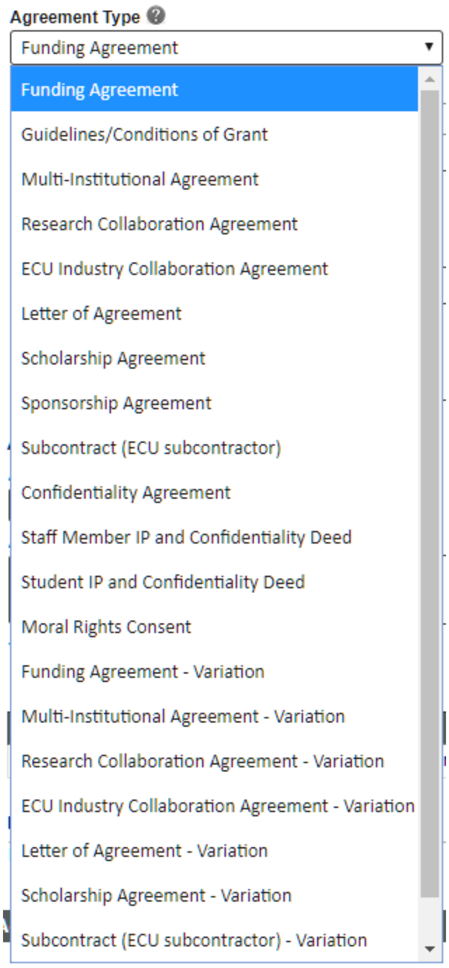
1. Expand the **Submissions** menu and select **Agreements**.



2. On the Agreements screen, click **Create New**.

This will create a new agreement record.

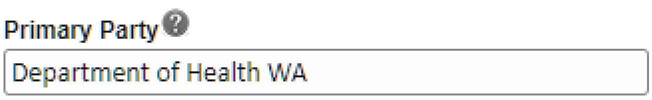
3. Click the **Agreement Type** drop-down menu and **select the agreement type**.



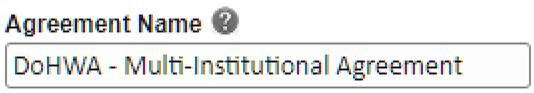
4. In the **Agreement From** and **Agreement To** fields, enter the range of dates covered by the contract.

5. Enter the **date of the agreement** in the **Date Signed** field.

6. Enter the **Name the organisation** with whom the contract will be held in the **Primary Party** field.



7. If applicable, **enter the agreement name** in the **Agreement Name** field.
   Please Note: As much as possible, it is recommended this be something original or unique to this record - it will help differentiate the record when reporting.



Agreement Status history

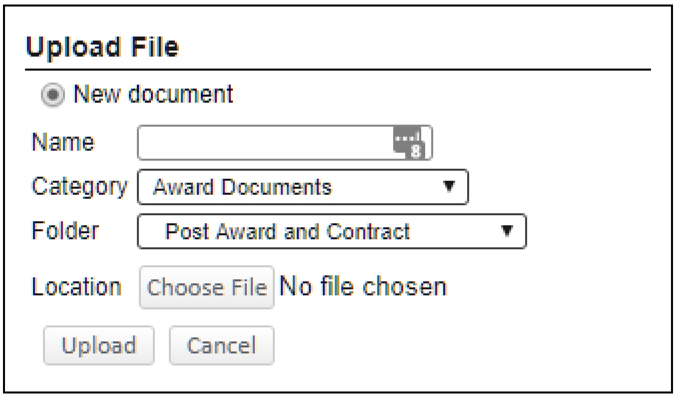
Per request by the Research Contracts Adviser, the Agreement Status has been defaulted to Contract Executed as contracts are entered into ECURMS at this stage.

Uploading documents

Copies of contracts, correspondence of note and any other appropriate documents should be uploaded to the **Documents Summary** section under **Agreements**. These documents are accessible via **Agreements** or **Attachments**.

1. Locate the **Document Summary** section and click **Add**.

2. Complete the details requested in the **Upload File** dialog.
   a. Name the file;
   b. Locate the document;
   c. Assign the **Award Documents** category;
   d. Select the **Post Award and Contract** folder;
   e. Click **Upload**.



The document will added to the Document Summary.

Additional information

The ‘Additional Information’ fields capture relevant information and clauses relating to any unspent funds, the return of assets, and if the agreement is with an international partner.

1. **Select an option** from the drop-down menu.

+Does the Sponsor require the return of any unspent funds

- Yes
- No
- Unspecified: there’s no mention of the unspent funds in the contract
- Not applicable: this issue doesn’t apply to the contract (for example, if the contract is a scholarship)

2. **If Yes**, record details of any relevant contractual clause(s) within the text box.

+If Yes, please indicate the details of the contract clause(s) that deal with any unspent funds

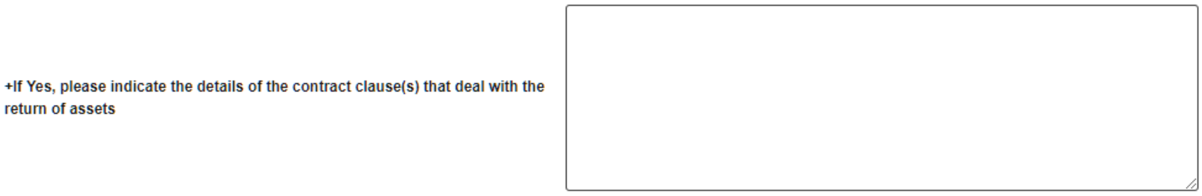
3. **Select an option** from the drop down menu.

+Does the contract include any provisions for the return of assets

- Yes
- No
- Unspecified: there’s no mention of the return of assets in the contract

- Not applicable: this issue doesn't apply to the contract

4. **If Yes**, record details of any relevant contractual clause(s) within the text box.



5. **Select an option** from the drop down menu.

- Yes
- No

Entering contract data

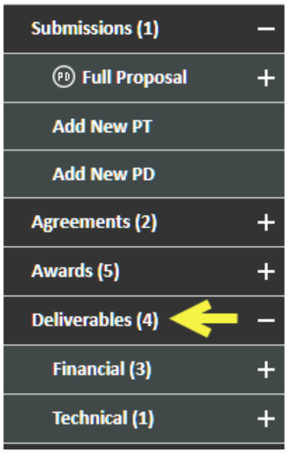
It is the responsibility of the Research Contracts & Funding Team to enter the deliverables and scheduled payments data in ECURMS on receipt of the executed contract.

Deliverables

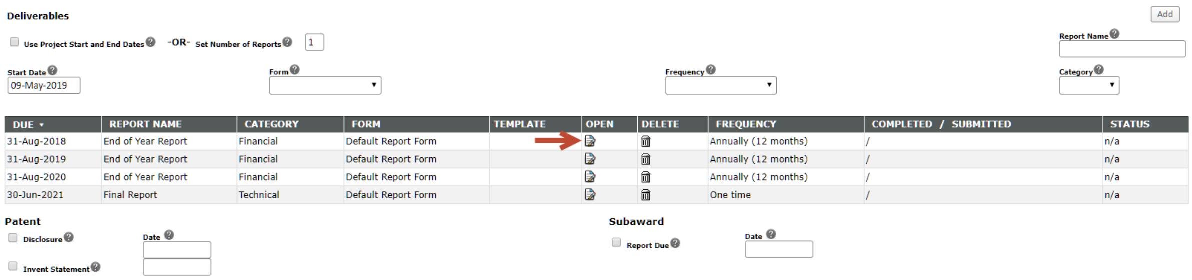
Deliverables contains information on all contractual obligations held by the Chief Investigator. These are most often:

- Technical: progress, annual or final reports; or
- Financial: financial statements or acquittals.

Each category of deliverable is a sub-menu item under the deliverables menu. The information is entered by the Research Contracts and Funding Team on receipt of the executed contract and schedule.



Expand Deliverables and the appropriate deliverables category to select the deliverable you would like to view in detail. Alternatively, you can **click Deliverables** to open a summary of all deliverables required from the project.



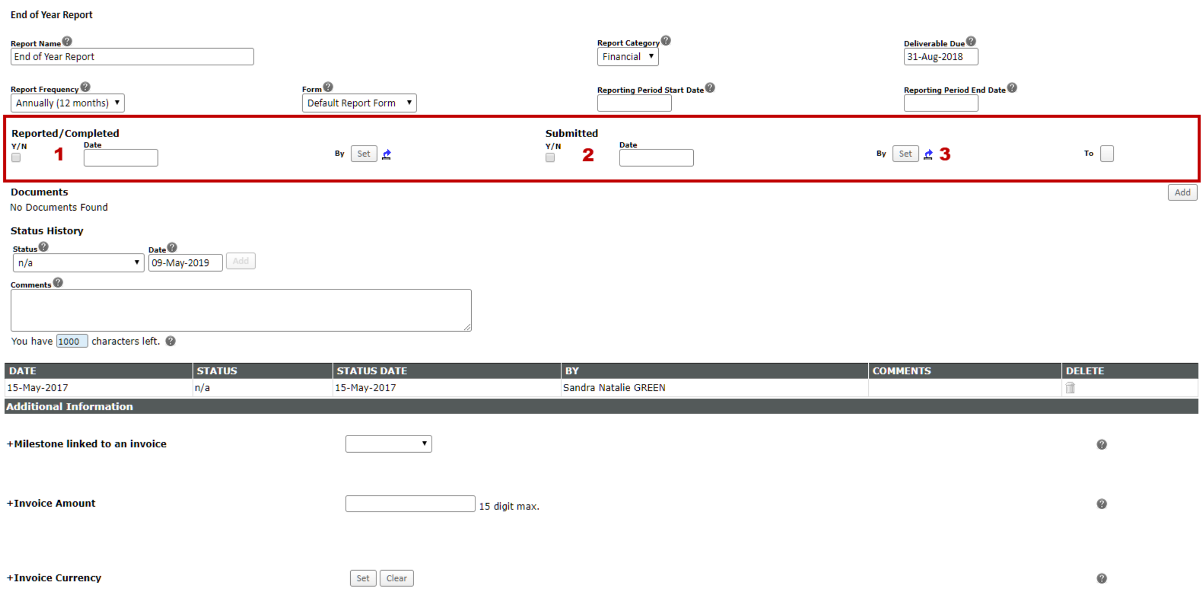
DUE	REPORT NAME	CATEGORY	FORM	TEMPLATE	OPEN	DELETE	FREQUENCY	COMPLETED / SUBMITTED	STATUS
31-Aug-2018	End of Year Report	Financial	Default Report Form				Annually (12 months)	/	n/a
31-Aug-2019	End of Year Report	Financial	Default Report Form				Annually (12 months)	/	n/a
31-Aug-2020	End of Year Report	Financial	Default Report Form				Annually (12 months)	/	n/a
30-Jun-2021	Final Report	Technical	Default Report Form				One time	/	n/a

This page offers information on the deliverable due date, category, reporting frequency and whether or not the report has been completed and submitted.

Click the icon to open a deliverable's record.

Deliverable Complete

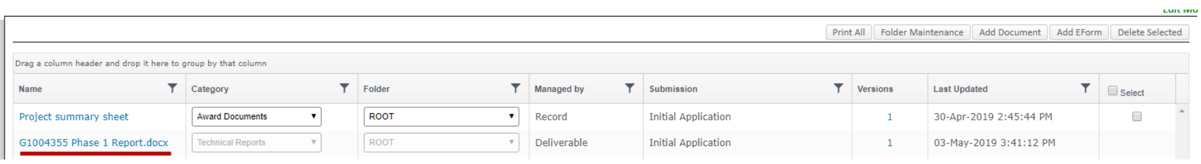
You will be able to check whether a deliverable has been completed and submitted to the funding body by viewing the top section of the deliverable record.



1. If a report has been completed and submitted, the 'Reported/Completed' and the 'Submitted' boxes will be ticked.
2. The date that the reports were completed and submitted will be displayed in the 'Date' field.
3. Under 'By' in the 'Reported/Completed' section will be the name of the person who completed the report and submitted it to Research Services; under 'By' in the 'Submitted' section will be the name of the person who submitted the report to the funding body.

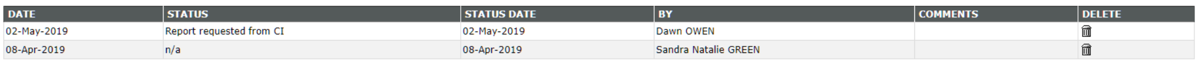
If the 'Submitted' fields are blank the deliverable has not been submitted to the funding body.

A copy of the deliverable will be found within the record's 'Documents' section. Click the 👓 con to view the document.



Outstanding Deliverables

Monitoring the fulfilment of deliverables is a task that is distributed amongst the Research Administration Team with reminders and requests sent on a monthly basis. These follow-ups are recorded within ECURMS attachments and, also, may have been included as a comment in the deliverable status history. This can be found towards the bottom of the screen.



DATE	STATUS	STATUS DATE	BY	COMMENTS	DELETE
02-May-2019	Report requested from CI	02-May-2019	Dawn OWEN		
08-Apr-2019	n/a	08-Apr-2019	Sandra Natalie GREEN		

Deliverable Linked to an Invoice

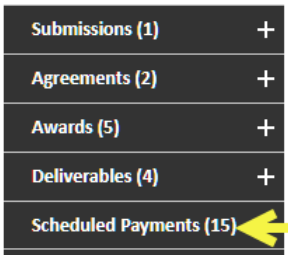
The final section of the deliverable record indicates whether or not the deliverable is linked to an invoice.

1. Milestone linked to an invoice: this will have the answer ‘Yes’, ‘No’, or ‘Unspecified’.
2. Invoice amount: the amount that should be invoiced on submission of the deliverable.
3. Invoice currency: an alternative currency will have been selected if the invoiced amount will not be in Australian dollars.

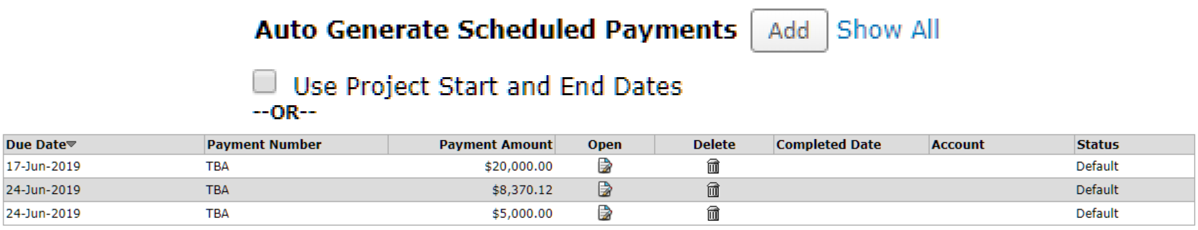
Scheduled payments

The scheduled payments information will have been entered by the Research Contracts Advisor (RCA) on receipt of the executed contract and schedule.

Click ‘**Scheduled Payments**’ on the menu to access the information.

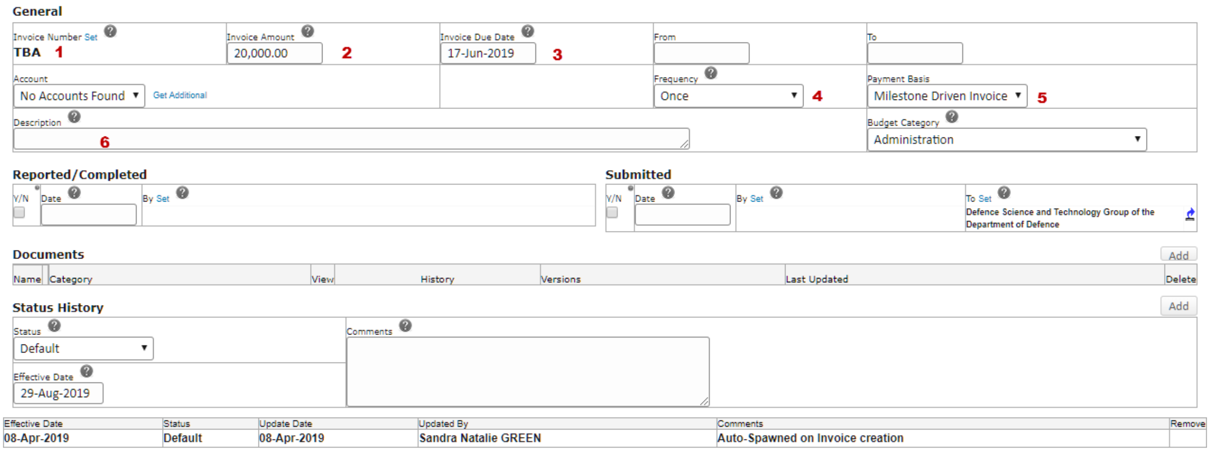


The summary screen will display all pending payments. To view a complete list of pending and completed scheduled payments click ‘Show All’.



Due Date	Payment Number	Payment Amount	Open	Delete	Completed Date	Account	Status
17-Jun-2019	TBA	$20,000.00					Default
24-Jun-2019	TBA	$8,370.12					Default
24-Jun-2019	TBA	$5,000.00					Default

Click the icon to open a scheduled payment record.



The record holds the following information:

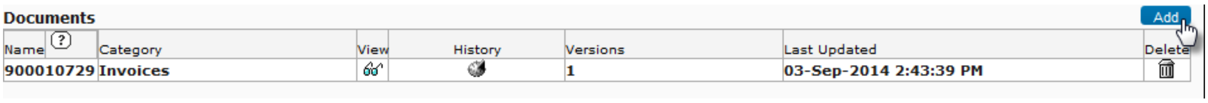
1. **Invoice number.** This is only present if a cash invoice has been issued. If the cash payment is pending then this field will be populated with ‘TBA’; if it’s a transfer or in-kind it will contain the words ‘Transfer’ or ‘In-Kind’.
2. **Invoice amount.**
3. The **date the invoice is due to be issued** to the funding body.
4. The **frequency with which the payments will be made** (although there will be a separate scheduled payment record for each payment).
5. **Payment basis.** This will either be a ‘Milestone Driven Invoice’, to indicate that the invoice is linked to the completion of a deliverable, or ‘Date Driven Invoice’, which indicates that the invoice is determined by a date specified in the contract.
6. **Description.** If a scheduled payment is linked to a deliverable the name of the deliverable will be entered here.

Scheduled Payment Complete

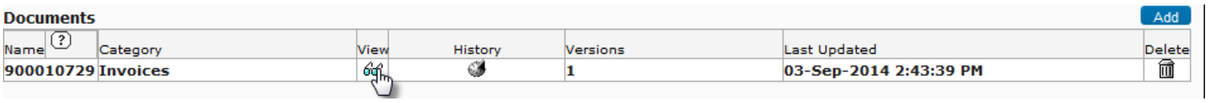
1. To mark a scheduled payment as raised and submitted, click the ‘Reported/Completed’ and the ‘Submitted’ boxes.
2. The current date will appear in the ‘Date’ field. If you are entering the information into ECURMS retrospectively you can type an alternative date in the field, using the format DDMMYYYY.
3. Clicking ‘Save’ will assign your name to the ‘By – Set’ fields. If another person raised and sent the invoices you can select their name from the personnel list by clicking the ‘Set’ link.

4. Under ‘To – Set’ will be the name of the person or organisation to which the invoice will be sent.

You should upload a copy of the invoice, ensuring that the invoice number is captured in the document’s name. Click the ‘Add’ button to upload the document.

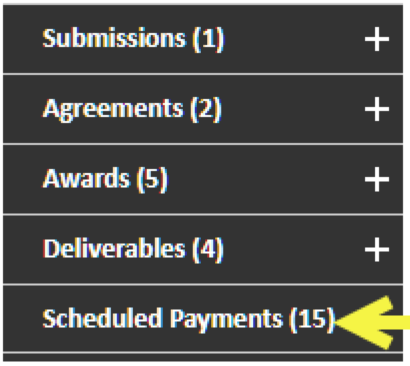


A copy of the invoice will be found within the record’s ‘Documents’ section. **Click the** 👓 to view the document.



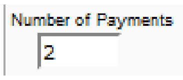
Creating a Scheduled Payment

1. Select **Scheduled Payments**.

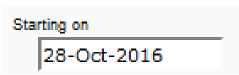


This will open the scheduled payments form.

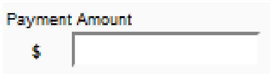
2. In the ‘Number of Payments’ field **enter the number of scheduled payments to be created**.



3. **Record the date the invoice is due**. If there are multiple scheduled payments this should be the date that the first invoice is due.



4. **Enter the invoice amount**, excluding GST.

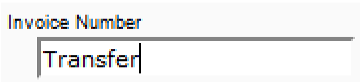


5. It is unlikely that you will know invoice numbers when creating the initial scheduled payment record. Therefore the following information should be entered:

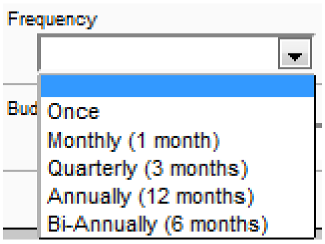
   - For **cash payments** enter 'TBA';

   - For **in-kind contributions** enter 'In-Kind';

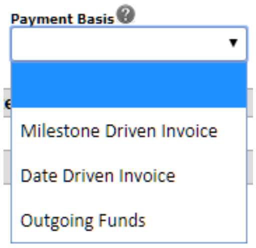
   - For **transfers** enter 'Transfer';



Select the frequency of the payments from the 'Frequency' drop-down menu.



6. From the 'Payment Basis' drop-down menu **indicate whether the invoice is date or milestone driven or outgoing funds**.



7. If the invoice is milestone driven, you can **enter the name of the relevant deliverable in the 'Description' field**. Otherwise, this field can be used to enter any information which may be useful when invoicing; for example, any instructions or conditions attached to the payment.

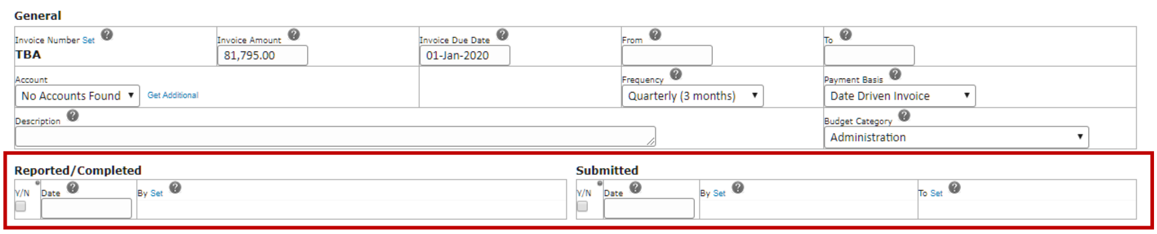
8. To create the record **save all changes** by clicking the 'Save' icon at the top, left of the screen.

9. You will then need to **record the name of the party that will be invoiced**.

a. Select the 'Open' icon next to the relevant scheduled payment.

Due Date	Payment Number	Payment Amount	Open
01-Jan-2019	TRANSFER	$12,522.50	
01-Jan-2020	TBA	$81,795.00	

b. Underneath the fields completed earlier will be a 'Reported/Completed' and a 'Submitted' section.

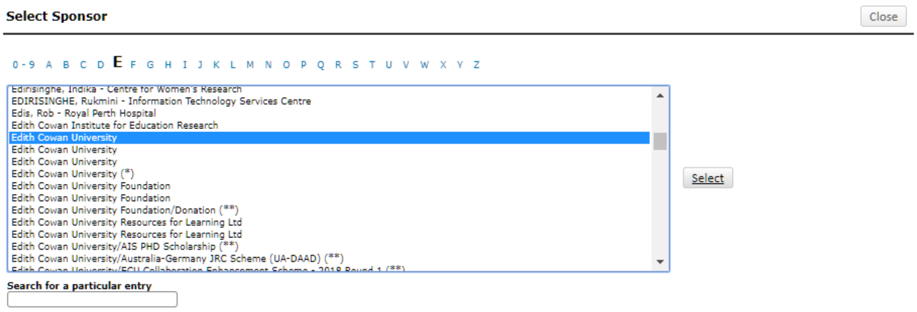


The 'Submitted' section has two 'Set' options: one for 'By' and one for 'To'. You will use the 'To' 'Set' option, as this indicates the name of the party that should be invoiced.

Click the 'Set' link next to 'To'.

This will open the 'Sponsor' window.

c. **Select the first letter of the party's name** from the menu along the top of the screen, and then **select the party from the drop-down menu**. **Click 'Select'**.



The name of the party to be invoiced will then appear in the 'submitted – to' box.

d. **Save all changes**, and then **close the window** to return to the 'Scheduled Payments' screen.

e. **Repeat steps (a) to (d)** for each scheduled payment.

Variations

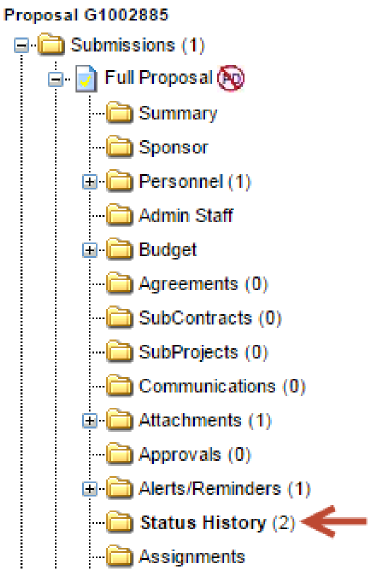
The Research Contracts Adviser (RCA) will normally be responsible for organising variations; however, if the variation can be covered by a letter of variation, this is facilitated by the RCFT's.

Recording a variation

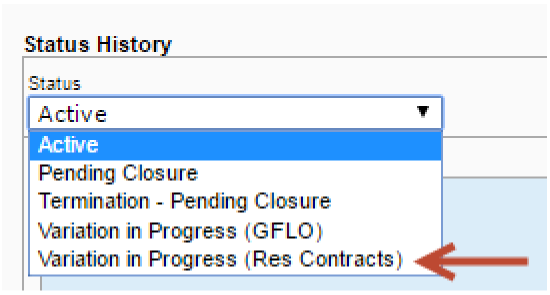
The person dealing with the variation will assign the ECURMS record a status of **'Variation in Progress (Res Contracts)'**, using the status history.

To record a variation:

1. Expand the 'Submissions' and 'Full Proposal' folders, and then **select 'Status History' from the menu**.



2. From the drop-down menu **select the status 'Variation in Progress (Res Contracts)'**.



This indicates that a variation has been requested and that a response has not yet been received. The status will remain as 'Variation in Progress (Res Contracts)' until the variation request has been approved or declined.

3. **Record a note in the 'Communications' tab**, providing a summary of the variation process and the reason behind the request.

For detailed instructions on using the 'Communications' tab please see *ECUMS Grants Administration: A guide for Research Operations*.

4. **Upload all documents relating to the requested variation** to the 'post award' subfolder within attachments. This subfolder can be found within the 'attachments – administration' folder.

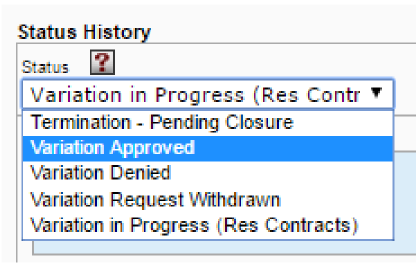
Variation approved

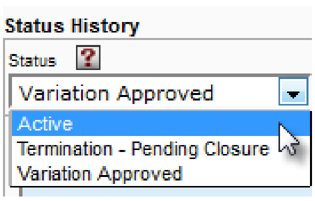
The process for recording the approval of a variation request in ECURMS will depend upon the request process. When receiving an informal confirmation (for example, an email) the GFLOs will upload the relevant documents to the most recent agreement within the 'Agreements' tab. When the variation process is more formal and has been organised by the CRC the variation should be recorded as a new agreement.

1. **Create a new agreement**, using one of the 'Variation' agreement types. For detailed instructions on creating an agreement see the 'Agreements' section of this document.

   Upload all related documents to the 'Agreements' tab.

2. **Update the status history** to reflect the approval. Navigate to the status history and **select the status 'Variation Approved'**. When 'Variation Approved' is displayed in the status history below, **select the status 'Active'**.





3. **Make a note in the communications tab**, providing a summary of the variation granted and the impact this will have on the project (for example, a change in deliverables dates).

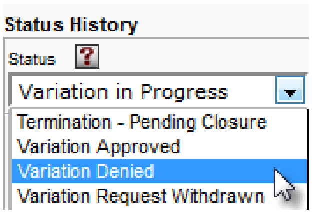
   For detailed instructions on using the 'Communications' tab please see *ECURMS Grants Administration: A guide for Research Operations*.

4. **Update the relevant information in ECURMS**. This could be the project's end date, scheduled payments information or the deliverables requirements.

Variation declined

If the sponsor will not approve the variation this should be recorded in the status history.

1. **Select the status 'Variation Denied'**.



   The next status will depend on how the Chief Investigator wishes to proceed.

2. **Upload a copy of the response** to the variation request within the 'attachments – administration – post award' folder.

Further assistance

If you require instructions on processes not included in this guide please consult the following manuals available from the ECURMS WebApps Resources web page:

- RMS Grants Administration: A Guide for Research Operations
- Viewing and Recording Data: A Guide for Research Support

If you require further assistance please contact researchsystemssupport@ecu.edu.au.