

Edith Cowan University
Research Management System

Contracts and Variations: A Guide for Research Support

V6 – August 2019

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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

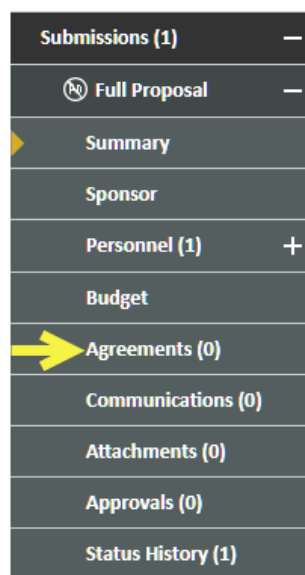
Once the Chief Investigator has accepted their award in ECURMS the Research Contracts and Funding Team (RCFT) will receive an email alert and an action item informing them that contract preparation can begin.

Agreements

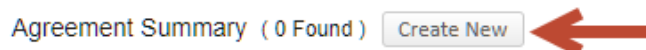
Agreement details

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**.

Agreement Type ?

Funding Agreement

Funding Agreement

Guidelines/Conditions of Grant

Multi-Institutional Agreement

Research Collaboration Agreement

ECU Industry Collaboration Agreement

Letter of Agreement

Scholarship Agreement

Sponsorship Agreement

Subcontract (ECU subcontractor)

Confidentiality Agreement

Staff Member IP and Confidentiality Deed

Student IP and Confidentiality Deed

Moral Rights Consent

Funding Agreement - Variation

Multi-Institutional Agreement - Variation

Research Collaboration Agreement - Variation

ECU Industry Collaboration Agreement - Variation

Letter of Agreement - Variation

Scholarship Agreement - Variation

Subcontract (ECU subcontractor) - Variation

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

Agreement From ?

20-Apr-2019

Agreement To ?

19-Apr-2020

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

Date Signed ?

01-Apr-2019

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

Primary Party ?

Department of Health WA

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 Name ?

DoHWA - Multi-Institutional Agreement

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**.

Document Summary

Add

No Documents Found

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**.

Upload File
☒ New document
Name
Category
Folder
Location No file chosen

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.

+If Yes, please indicate the details of the contract clause(s) that deal with the return of assets



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

+Is this Agreement with an International Partner?



- 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.

Submissions (1)	—
PD Full Proposal	+
Add New PT	
Add New PD	
Agreements (2)	+
Awards (5)	+
Deliverables (4)	—
Financial (3)	+
Technical (1)	+

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.

Deliverables

☐ Use Project Start and End Dates ☐ -OR- Set Number of Reports

Start Date Form

Frequency

Report Name Add

Category

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

Patent

☐ Disclosure Date

☐ Invent Statement

Subaward

☐ Report Due Date

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.

End of Year Report

Report Name

Report Category

Deliverable Due

Report Frequency

Form

Reporting Period Start Date

Reporting Period End Date

Reported/Completed

Y/N ☒ **1**

By

Submitted

Y/N ☒ **2**

By **3**

To

Documents

No Documents Found

Status History

Status Date

Comments

You have 1000 characters left.

DATE	STATUS	STATUS DATE	BY	COMMENTS	DELETE
15-May-2017	n/a	15-May-2017	Sandra Natalie GREEN		

Additional Information

+Milestone linked to an invoice

+Invoice Amount 15 digit max.

+Invoice Currency

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.

Print All Folder Maintenance Add Document Add EForm Delete Selected

Drag a column header and drop it here to group by that column

Name	Category	Folder	Managed by	Submission	Versions	Last Updated	Select
Project summary sheet	Award Documents	ROOT	Record	Initial Application	1	30-Apr-2019 2:45:44 PM	
G1004355 Phase 1 Report.docx	Technical Reports	ROOT	Deliverable	Initial Application	1	03-May-2019 3:41:12 PM	

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.

Additional Information	
+Milestone linked to an invoice	1. Yes ▼
+Invoice Amount	15000 15 digit max.
+Invoice Currency	Set Clear

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.

Submissions (1)	+
Agreements (2)	+
Awards (5)	+
Deliverables (4)	+
Scheduled Payments (15)	←

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

Auto Generate Scheduled Payments

☐ Use Project Start and End Dates

--OR--

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.

General

Invoice Number Set TBA 1	Invoice Amount 20,000.00 2	Invoice Due Date 17-Jun-2019 3	From	To
Account No Accounts Found	Frequency Once 4	Payment Basis Milestone Driven Invoice 5		
Description 6	Budget Category Administration			

Reported/Completed

V/N	Date	By Set

Submitted

V/N	Date	By Set	To Set
			Defence Science and Technology Group of the Department of Defence

Documents

Name	Category	View	History	Versions	Last Updated	Actions
						Add, Delete

Status History

Status Default	Comments
Effective Date 29-Aug-2019	

Effective Date	Status	Update Date	Updated By	Comments	Remove
08-Apr-2019	Default	08-Apr-2019	Sandra Natalie GREEN	Auto-Spawned on Invoice creation	

The record holds the following information:

- 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'.
- Invoice amount.**
- The **date the invoice is due to be issued** to the funding body.
- The **frequency with which the payments will be made** (although there will be a separate scheduled payment record for each payment).
- 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.
- Description.** If a scheduled payment is linked to a deliverable the name of the deliverable will be entered here.

Scheduled Payment Complete

Reported/Completed

V/N	Date	By Set
<input checked="" type="checkbox"/>	08-Nov-2016	RMS System Administrator

Submitted

V/N	Date	By Set	To Set
<input checked="" type="checkbox"/>	08-Nov-2016	RMS System Administrator	Default Sponsor

Documents

1 2 3 4 Add

- To mark a scheduled payment as raised and submitted, click the 'Reported/Completed' and the 'Submitted' boxes.
- 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.
- 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.

- 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.

Documents							Add
Name	Category	View	History	Versions	Last Updated	Delete	
900010729	Invoices			1	03-Sep-2014 2:43:39 PM		

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

Documents							Add
Name	Category	View	History	Versions	Last Updated	Delete	
900010729	Invoices			1	03-Sep-2014 2:43:39 PM		

Creating a Scheduled Payment

- Select **Scheduled Payments**.

Submissions (1)	+
Agreements (2)	+
Awards (5)	+
Deliverables (4)	+
Scheduled Payments (15)	

This will open the scheduled payments form.

- In the 'Number of Payments' field **enter the number of scheduled payments to be created**.

Number of Payments
2

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

Starting on
28-Oct-2016

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

Payment Amount
\$

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';

Invoice Number

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

Invoice Number

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

Invoice Number

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

Frequency

Once
Monthly (1 month)
Quarterly (3 months)
Annually (12 months)
Bi-Annually (6 months)

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

Payment Basis ?

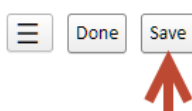
- Milestone Driven Invoice
- Date Driven Invoice
- Outgoing Funds

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.

Description

Annual Report

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.

General

Invoice Number Set ? TBA Invoice Amount ? 81,795.00 Invoice Due Date ? 01-Jan-2020 From ? To ?

Account ? No Accounts Found Get Additional Frequency ? Quarterly (3 months) Payment Basis ? Date Driven Invoice

Description ? Budget Category ? Administration

Reported/Completed

V/N ? Date ? By Set ?

Submitted

V/N ? Date ? By Set ? To Set ?

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'.

Submitted

V/N	Date	By Set	To Set

This will open the 'Sponsor' window.

Select Sponsor Close

0-9 A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

a' Beckett, Cynthia - University of Notre Dame
A Healthy Start to Life for Aboriginal & Torres Strait Islander Children
A Healthy Start to Life for All Australians
A Survivor Action Partnership
AADRF - Dementia Grants Program
AADRF - Postdoctoral Fellowships
AADRF - Project Grant (post 2012)
AADRF - Rosemary Foundation Travel Fellowship
AAG - R M Gibson Scientific Research Fund
AAMIR, Muhammad - Graduate Research School
AAMIR, Muhammad - Graduate Research School
AAR Postgraduate Research Scholarship
Aarhus University
Aarhus University (*)
Aarhus University/Grant (**)

Select

Search for a particular entry

- 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'.**

Select Sponsor Close

0-9 A B C D **E** F G H I J K L M N O P Q R S T U V W X Y Z

Ednainghe, Indika - Centre for Women's Research
EDRISINGHE, Rukmini - Information Technology Services Centre
Edin, Rob - Royal Perth Hospital
Edith Cowan Institute for Education Research
Edith Cowan University
Edith Cowan University
Edith Cowan University
Edith Cowan University (*)
Edith Cowan University Foundation
Edith Cowan University Foundation/Donation (**)
Edith Cowan University Resources for Learning Ltd
Edith Cowan University Resources for Learning Ltd
Edith Cowan University/AIS PhD Scholarship (***)
Edith Cowan University/Australia-Germany JRC Scheme (UA-DAAD) (***)
Edith Cowan University/ECU Collaborative Enhancement Scheme - 2018 Round 1 (***)

Select

Search for a particular entry

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

Submitted

V/N	Date	By Set	To Set
			Edith Cowan University

- 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

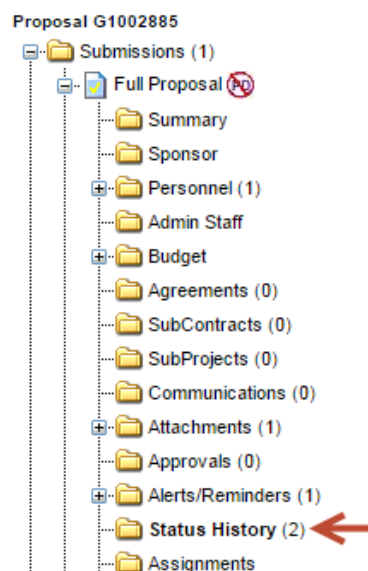
The Research Contracts Adviser (RCA) will normally be responsible for organising variations; however, if the variation can be covered by a letter of variation, this is facilitated by the RCFT's.

Recording a variation

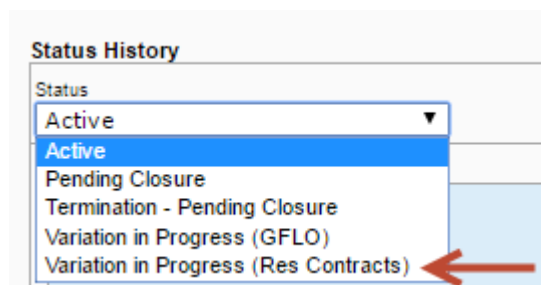
The person dealing with the variation will assign the ECURMS record a status of **'Variation in Progress (Res Contracts)'**, using the status history.

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.

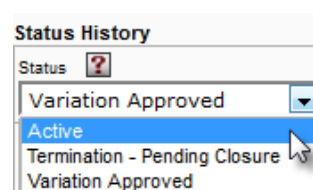
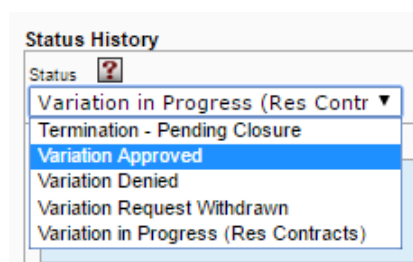
Variation approved

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).

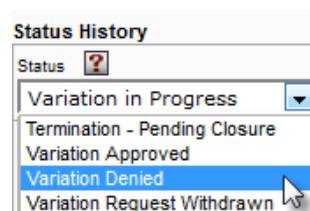
For detailed instructions on using the 'Communications' tab please see [ECURMS Grants Administration: A guide for Research Operations](#).

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.