



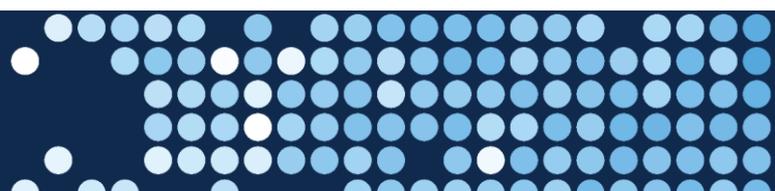
**Australian Government**  
**Australian Research Council**



# Variations of Grant Agreement for the National Intelligence and Security Discovery Research Grants (NISDRG) Program

Research Office instructions for  
Completing and Submitting a Variation and/or  
Participating/Partner Organisation Agreed  
Contribution Report (POACR)

Version 2.0 2022



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# 1. Introduction

The Australian Research Council (ARC) provides grants administration services to other Australian Government entities who fund grant programs focused on the research sector. This research grants administration, which utilises our Research Management System, is called Research Grants Services.

As a specialist provider of research-based grants management services, Research Grants Services provides other entities with reliable access to the ARC's systems and experts through streamlined grants administration processes to assist with the management of their grants – achieving efficiencies for government, improving consistency for grant applicants and grantees, and drawing on the technical capability, experience and expertise of the ARC to help ensure the best research and researchers are funded in line with policy expectations.

The ARC's Research Management System (RMS) is a web-based application that provides a flexible, robust, stable, innovative platform for administering research grants. Through Research Grants Services (RGS), individual instances of RMS are established for other funding entities, for the submission, management and assessment of applications, offer and establishment of grant agreements, and post-award grant management activities. More detailed information on the agencies utilising RMS is available on the [RGS website](#).

RGS is administering the *National Intelligence and Security Discovery Research Grants (NISDRG) Program* with two Funding Entities: Office of National Intelligence (ONI) and Department of Defence National Security Science and Technology Centre (Defence).

This document provides the steps and requirements in submitting variations to the Grant Agreement (variations) and changes to the Participating/Partner Organisation Agreed Contribution Report (POACR) for the NISDRG program.

All screenshots provided within this document have been sourced from the ONI instance of RMS although will be applicable to the Defence instance of RMS. The only variation between the instances is the name of buttons or links that reference the Funding Entity, for example 'ONI Grants' will be labelled as 'Defence Grants' within the Defence RMS instance.

## RMS Access

The web address to access RMS is dependent on the Funding Entity that you are needing to interact with.

- ONI (NISDRG) RMS instance – <https://rmsoni.researchgrants.gov.au>
- Defence (NISDRG) RMS Instance – <https://defence.researchgrants.gov.au>

**Note:** You only need one account to access RMS, regardless of agency or program you are accessing, however you will require specific roles for each instance of RMS to access different functionality.

# 2. Submission of Variations

The Funding Entities require a variation to be submitted for all major changes that occur on NISDRG funded Grants. Variations are submitted in the relevant RMS instance by the Administering Organisation that has been awarded grant funding.

Variations have been grouped into 2 categories – those reviewed and approved by RGS on behalf of the Funding Entity and those that require approval by the Funding Entity:

Group A – reviewed by RGS and recommended to the Funding Entity for approval

- Budget – Change notification
- Organisation – Add/update
- Organisation – Withdrawn
- Person – Add/Update
- Person – Withdraw
- Grant – Breach
- Grant – Full Relinquishment
- Grant – Partial Relinquishment
- Grant – Scope
- Grant – Suspension
- Grant – Transfer
- Grant – Termination

Group B – reviewed and approved by RGS on behalf of the Funding Entity

- Grant – Defer Commencement
- Grant – End date
- EOYR – Expenditure Correction
- Grant – Transfer Correction

Variations can only be submitted using categories within the same group. Where a variation requires multiple variation types across the two groups, separate variations must be submitted. For example, a request to defer the commencement of a Grant and to add a Person to the Grant would need to be submitted in separate variations as they are approved by different entities.

Each type of variation will require justification and where required, specific agreements and/or evidence to be submitted as part of the request. For quick reference, a list of the documentation/approvals required for variations can be found in [Appendix A](#). It is the responsibility of the Administering Organisation to ensure the appropriate approvals are included with the supporting documentation when submitting variation requests.

For a variation to be assessed, the following conditions must be met:

1. A variation must be created in RMS when there is certainty that one is required.
2. Only Research Office staff that have the ‘Research Office Staff’ role in RMS can create a variation in RMS.
3. The variation must be submitted by the Administering Organisation via RMS, unless RGS has instructed otherwise. Direct requests from researchers or other organisations (even if listed on the Grant) will not be accepted.
4. The Administering Organisation that is responsible for the Grant must retain approvals but also be able to provide a copy of the relevant participant’s approval or confirmation that all relevant participants have been notified of the change, if requested by RGS or the Funding Entity.

5. For the following variations, Research Offices must email the relevant details/documentation to [arc-nisdrg@arc.gov.au](mailto:arc-nisdrg@arc.gov.au) for processing.
  - Grant – Transfer Corrections
  - EOYR – Expenditure Corrections
  - the addition of a new investigator where their RMS account is not administered by the Research Office.
6. Once a variation has been submitted to RGS, the Research Office will not be able to make edits unless the variation is de-submitted.
7. If edits are required, a request to de-submit the variation must be made to the RGS team by email to [arc-nisdrg@arc.gov.au](mailto:arc-nisdrg@arc.gov.au).
8. Once the variation has been approved by the RGS Delegate or Funding Entity Delegate, no further edits can be made. A new variation must be created and submitted for additional changes.
9. Collaborating or Other Eligible Organisation agreements must be from an authorised representative such as the Research Office or other University staff member that has the appropriate authority to provide approval.
10. A Partner or Other Organisation agreement may be submitted by the Partner Investigator (PI) on behalf of their organisation, provided the PI has the appropriate internal approval agreeing to the change. It is up to the Administering Organisation to ensure the PI has this authority.
11. Requesting to add a person or organisation to the Grant will be subject to due diligence checks by both the RGS on behalf of the Funding Entity, and by the Funding Entity themselves.
12. Requested person(s) or organisation(s) cannot participate in the Grant until Delegate approval by the Funding Entity has been granted in RMS.

## 2.1. Creating and submitting a variation in RMS

- a) Login to the relevant RMS portal
  - Office of National Intelligence (ONI) RMS portal <https://rmsoni.researchgrants.gov.au>
  - Department of Defence (Defence) RMS portal: <https://defence.researchgrants.gov.au>
- b) From the Action Centre, locate the Research Office Grant Management Section and select 'Research Office Grants'



Figure 1: Research Office Grants link from Action Centre

- c) Search for the relevant Grant by filtering on the Scheme, Scheme Round or Status drop down lists.

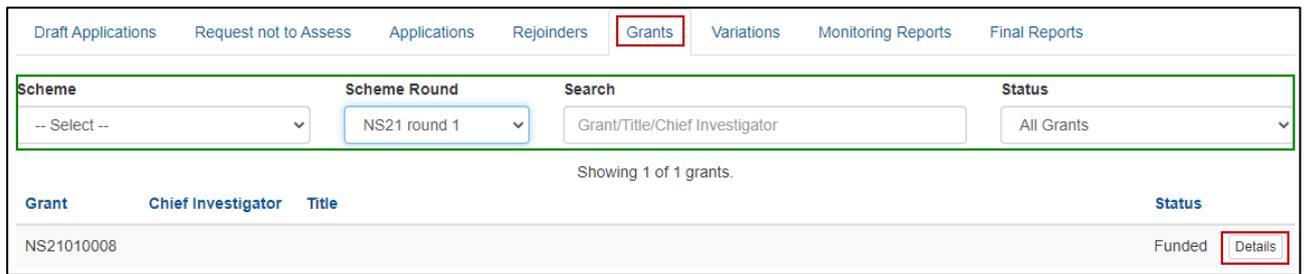


Figure 2: Grants page including filters and Search functionality

- d) Once you have found the relevant Grant, select the 'Details' button
- e) Once the Grant details are displayed select the 'Variations' tab and select the 'Create Variation' button.



Figure 3: Create Variation

## 2.2. Add a variation request line

- a) Select the appropriate variation type from the 'Add Grant Variation' drop-down menu

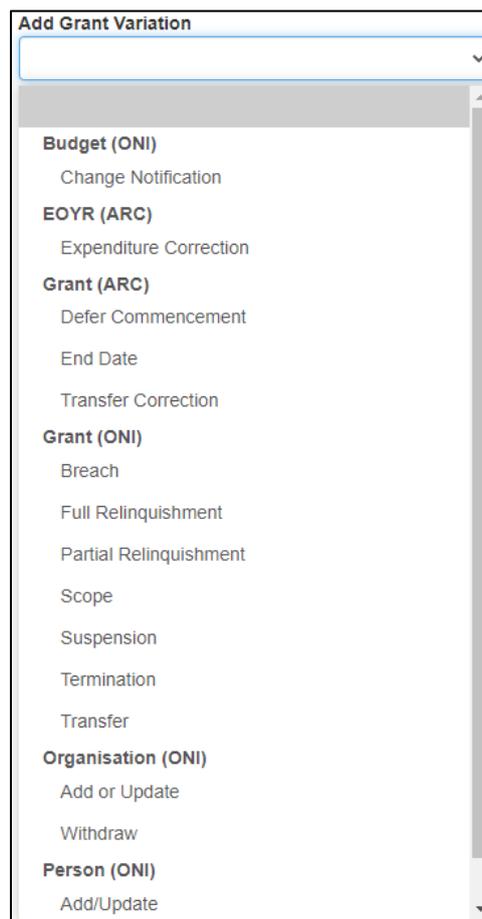


Figure 4: Grant Variation Request

- b) Complete the required fields including the justification field.

**Note:** Each variation type requires different information to be input. Further details on the required fields for each variation type can be found in [Appendix B](#) of this document.

- c) Select 'Add' when details are complete

**Note:** If you do not select 'Add' all entered details will not be saved and the variation cannot be progressed for review

- d) Repeat the above steps to add in additional lines for each variation as required, ensure to save as you go.
- e) Justification for the request must be entered in the justification field. Please note this is a text box only and will not accommodate attachments or graphics.
- f) Select the 'Choose File' button and then 'upload' to attach the relevant supporting documentation for the request where required. This field only permits one upload therefore all documentation will need to be saved in one file or a zip folder.



Figure 5: Attach a file

- g) Once a variation line is added, the line can be edited by selecting 'Edit'. If the line does not have an edit button the line will need to be removed and recreated.



Figure 6: Edit a variation line

- h) At the bottom of the screen select 'Save.' If further information or review is required select 'Close', alternatively select 'Submit to [Funding Entity]' to submit the variation to RGS for review.

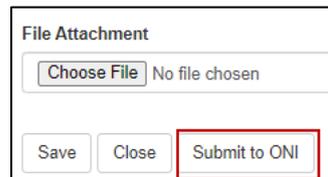


Figure 7: Save, Close or Submit variation buttons

- i) A variation can also be edited or submitted to RGS from the Variations tab.

Code	Type	Status	Created	Completed	Conditional
2100002		Submitted to Research Office (Valid)	21/09/2021 12:02 PM		
<div style="display: flex; justify-content: flex-end; gap: 10px;"> <span>Edit</span> <span>Delete</span> <span style="border: 1px solid red; padding: 2px;">Submit to ONI</span> </div>					
<i>Grant Variations</i> Person (ONI) - Add/Update    Pending					

Figure 8: Submit to [Funding Entity] button

### 2.3. Remove a variation request line

- a) If the request line needs to be removed, locate the request line and select the 'Remove' button, located on the right of the relevant line.

Grant Variations		
Grant Variation	Original	New
Person (ONI) - Add/Update	Chief Investigator Affiliated Organisation: The University of Adelaide FTE Effective Date: 01/07/2021 FTE: 0	Chief Investigator Affiliated Organisation: The University of Adelaide FTE Effective Date: 01/12/2021 FTE: 1 Effective Date: 01/01/2022
		<input type="button" value="Edit"/> <input type="button" value="Remove"/> <input type="button" value="↑"/> <input type="button" value="↓"/>

Figure 9: Remove a Variation line

- b) A confirmation box will appear asking you whether you are sure you wish to remove this Grant variation line. Select 'OK'.

Are you sure you wish to remove this grant variation? ×

Figure 10: Remove a Variation Confirmation

- c) Repeat as necessary for any lines to be removed.  
 d) Once completed 'Save' the variation and complete as required.

## 2.4. Re-order multiple request lines

- a) Within the variation request, locate the request line to be moved and select the up or down arrows, located on the right side of the relevant line. This will allow you to re-order the request lines.



Figure 11: Re-order variation request line

- b) Repeat as necessary for any lines to be moved.  
 c) Once completed, Save the variation and complete as required.

## 2.5. Deleting a variation request

If you create a variation in error, it may be deleted.

- a) Open the variation that you want to delete  
 b) Select the 'Remove' button located within all request lines as described in section 2.3.  
 c) Save and Close the variation. This will take you back to the variation tab within the Grant file  
 d) Once in the variation tab of the Grant file, select the 'Delete' button on the far right of the screen

Code	Type	Status	Created	Completed	Conditional
2100002		Submitted to Research Office (Valid)	21/09/2021 12:02 PM		<input type="button" value="Edit"/> <input type="button" value="Delete"/> <input type="button" value="Submit to ONI"/>
<i>Grant Variations</i> Person (ONI) - Add/Update    Pending					

Figure 12: Variation delete button

- e) A warning will pop up, to confirm the variation is to be deleted. Selecting 'Yes' will remove the variation from the Grant.

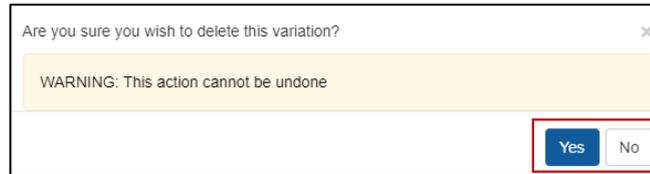


Figure 13: Variation delete button

**IMPORTANT:** Once you have selected ‘Yes’ – this cannot be undone.

## 2.6. Justification field

The justification field is mandatory and must be completed with all variations. This field should be used to provide details of the changes/actions proposed and to provide adequate justification for the request. The information provided here should be clear, concise, and include:

- What the requested changes/actions are.
- The personnel/organisations involved.
- The reason for the changes/actions taking place.

If the request includes confidential information, it should be excluded from this field and only be included within the supporting documents, if appropriate.

Figure 14: Variation delete button

**Note:** To avoid duplication, the justification should not be an exact copy of the request but a clear reason as to what the variation is requesting.

## 2.7. Mandatory field warning messages

Several fields within each individual variation type are mandatory, meaning that you are required to complete these fields before the variation line can be added to the variation request. These fields will be highlighted in red and/or a warning will occur when there is information missing.

Figure 15: Variation mandatory field warning

## 2.8. Supporting documentation

As specified in [Appendix A](#), some variations submitted require additional evidence/agreements from participants on the Grant. Although all document types and sizes are accepted in RMS, only one file can be attached to the request in RMS.

- Select ‘Choose File’ and search the computers file directory for the file to be added.
- Once located select ‘Upload’ to add the file to the variation.

- c) Select 'Save'
  - If the file is saved before 'Upload' is selected the file will not save to the variation.
  - Multiple files can be attached by saving them to a 'zipped' file. This zipped file can then be attached to the Variation. Alternatively, individual supporting agreements can be scanned as one document before attaching.



Figure 16: Variation file attachment

## 2.9. Retrospective requests

All variations are expected to be submitted in a timely manner. If RGS or the Funding Entity is not notified of changes as they occurred, then a retrospective variation may be sought from the Administering Organisation's Research Office. Failure to notify the Funding Entity of changes to Grants is a breach of the Agreement and may result in a full or partial recovery of funds.

## 2.10. External Feedback Comments and Special Conditions

If a variation has been de-submitted to the Research Office by RGS or the Funding Entity, there will be a Feedback comment. This comment will include details as to why the variation was de-submitted and/or declined and any further action required.

Feedback Comments	
Comment	Last Updated
Additional Information required	21/09/2021 12:14 PM
Justification	

Figure 17: External Feedback and Comments

External feedback comments may also be included to outline any special conditions the RGS or Funding Entity may have placed on the approval. Special conditions are identified by the 'Conditional' column being populated with a 'Yes'.

Code	Type	Status	Created	Completed	Conditional	
2100002		Completed	21/09/2021 12:02 PM	21/09/2021 12:18 PM	Yes	<input type="button" value="View"/>
Grant Variations	Person (ONI) - Add/Update	Approve				

Figure 18: Special conditions – Conditional

## 2.11. Finding a variation request

Variations can be located through different links within RMS.

### 2.11.1. Searching the Grant

- a) Variations can be found by looking up the Grant ID, Investigator name or email address, Grant title, or variation code in the RMS 'Search bar' in the top right corner of the screen.



Figure 19: RMS Search bar

- b) Once the appropriate grant is located select the 'Details' button listed under 'Research Office Grants'.

Grant	Chief Investigator	Title	Status
NI2101001			Funded

Figure 20: Details Button from Grant Search results

- c) Select the 'Variations' tab

Figure 21: Variations tab of a Grant

- d) This will display all variations associated with the Grant, select 'View' to see the details of the variation

Code	Type	Status	Created	Completed	Conditional
2100002	Person (ONI) - Add/Update	Completed	21/09/2021 12:02 PM	21/09/2021 12:18 PM	Yes

Figure 22: 'View' button within the variation tab of a grant

- e) Once created, each variation is assigned an individual seven-digit code, which can be viewed under the 'Code' column. The assigned code is based on the year it was created and the order it was created. This means that a variation created in 2021 would have an 21 pre-fix followed by five digits, for example: 2100002.

### 2.11.2. Research Office Variations Action Centre link

- a) Locate the Research Office Grant Management section within the RMS Action Centre  
 b) Select the 'Research Office Variations' link

Figure 23: 'Research Office Variations' link from the Action Centre

- c) This will display a list of all Variations associated with the Administering Organisation  
 d) The results can be filtered on a number of parameters including scheme, scheme round and status

Figure 24: Filters within the Research Office Variations link

**Note:** For variations that have been completed or submitted to RGS, you may view the details by selecting the 'View' button. For variations which have been created, but have not yet been submitted, you can view its details and edit it by selecting the 'Edit' button. Once a variation is submitted to RGS, it cannot be edited by the Research Office.

Code	Type	Status	Created	Completed	Grant Code	Conditional	
2100002	Grant Variations	Completed	21/09/2021 12:02 PM	21/09/2021 12:18 PM	NI210100139	Yes	View
2100003	Grant Variations	Submitted to Research Office	21/09/2021 12:29 PM		NI210100139		Edit Delete

Figure 25: Components of a Variation

### 3. Variation Request types

Below is a description of each Variation type when the variation would be required and any special conditions to be aware of when processing the request.

#### 3.1. Budget Change notifications

A *Budget Change* variation is requested when funding is being moved across line items for the purpose of completing the Grant.

##### Some examples of acceptable budget changes

- moving funding between high-level budget categories such as personnel, travel, maintenance, equipment, other, workshops (as allowable within the relevant Agreement)
- from domestic to international travel
- reduction of Grant aims due to reduced budget (this may also involve a *Grant – Scope Change*)
- movement of funds between years if they have been received (i.e. same funding year or carryover).

### **When would a variation not be required?**

If funding is being spent differently from what was outlined in the original proposal but the intention of the expenditure is the same, a variation is not required. For example:

- a Research Associate was planned to be hired but now a Research Assistant or PhD/HDR will undertake those tasks
- a conference in Melbourne has been replaced by a conference in Perth
- a type of software was initially intended to be purchased but now a better/updated version is available so that version will be purchased instead
- budget changes in timing with field work, due to natural disasters or change of environmental circumstances.

### **When would a variation not be approved?**

A *Budget Change* variation will not be approved if funding is being spent differently from what was outlined in the original application and the request is:

- asking for items that are not allowed (as per the Agreement)
- approving the change would push the allowable item over the limits (i.e. travel or teaching relief)
- the request is asking to purchase an item at the end of the Grant, not for the benefit of the Grant, but for another Grant, or just so the university doesn't lose the funds (for example – buying \$50,000 worth of computers with only 1 month to go to the end of the Grant)
- asking for future years funding (that have not been paid yet) to be brought forward (i.e. funds to be brought forward from year 3 to year 1, in the first year of funding).

### **Special Conditions**

Changes to funds linked to special conditions may be requested, however they are still required to abide by the conditions as outlined in the Agreement. If the request is not in line with the original intention of the funding or will push the funding amounts over the allowable limits or is requesting the use of non-allowable items the request will be declined.

### **Travel – economy to business class**

Travel may also be upgraded from economy to economy business/business class if a medical certificate covering the travel period is provided to the HR area and certified as the Administering Organisation. Medical certificates that are dated far in advance of the travel are normally not acceptable, unless the condition is on-going or lifelong (i.e. a disability or chronic illness). Medical certificates for a specific period of time in the past to cover a specific injury (a medical certificate for 6 weeks for a broken arm) would not be acceptable.

*To submit a Budget Change variation, the Funding Entity will require the following:*

- a) The variation should include the following lines:

#### **Budget Change**

The *Budget Change* should outline what is being changed, where it is going to and the amount being changed. For example, transferring \$15,000 from Year 3 maintenance to Year 3 travel. For multiple changes, across different years and items, there should be a separate line for each change.

### **Grant – Scope Change (if relevant)**

If a *Grant – Scope Change* is required, details on what is being removed or added to the Grant and how funds will be changed to cover the change needs to be listed. It should refer to the original Grant, so scope changes can be easily identified. Please see instructions for [Grant – Scope Changes](#) for examples of when this is needed.

- b) Up to 500 words should be entered into the justification outlining the budget changes and any additional changes.
- c) Supporting documentation should only be attached if requested. The details of the request must be listed within the justification.
- d) For further details on how to complete a Budget Change line please refer to [Appendix B](#) of these instructions.

## **3.2. Organisations – Add/update**

All changes to participating organisations must be requested via a variation. All organisations must meet the eligibility criteria specified in the relevant Agreement and should benefit the Grant. Changes to participating organisations will need approval of the Funding Entity before proceeding. This approval is actioned through the variation request.

**Requested organisation(s) cannot participate on the Grant until delegate approval by the Funding Entity has been granted in RMS.**

This variation type is commonly used to:

- add a new organisation to a Grant, possibly due to the movement or addition of investigators
- change the role of the organisation on the Grant (used during a transfer)
- add an organisation due to a name change (this is combined with an organisation withdraw).

*To submit an Organisation – Add/Update variation the Funding Entity will require the following:*

- a) The variation should include the following lines:

#### **Organisation – Add/Update**

The organisation line should list the organisation name, the role of the organisation while they are on the Grant, the effective date at which the organisation was added/updated (this date should match the request or approvals). If the Grant is being transferred but the current Administering Organisation is remaining on the Grant, their role will have to be changed using the *Organisation – Add/Update* line.

#### **Person – Add/Update (if relevant)**

If the organisation is being added/updated due to personnel movement, a *Person – Add/Update* line will have to be added to update the relevant personnel's affiliated organisation. The effective dates should match the dates the organisation is being added/updated. Ensure personnel have updated their details in RMS.

- b) Up to 500 words should be entered into the justification outlining the reason for adding/updating the organisation and any additional changes.
- c) Check that the required documentation is attached as per [Appendix A](#) of these Instructions.

- d) Once the variation has been completed, a revised Participating/Partner Organisation Agreed Contribution Report (POACR) must be submitted within three months off the variation approval.
- e) For further details on how to complete an Organisation or Person Add/Update line please refer to [Appendix B](#) of these instructions.

**Note:** If an organisation cannot be located in RMS, the Research Office will need to collect the relevant information from the Organisation and provide it to RGS via email to [arc-nisdr@arc.gov.au](mailto:arc-nisdr@arc.gov.au) for processing.

For Australian Organisations the following information is required:

- Organisation full name;
- ABN;
- Organisation Type (i.e. Private Organisation, Public Organisation, Government Organisation).

### 3.3. Organisations – Withdraw

All changes to participating organisations must be requested via a variation. Organisations are commonly withdrawn due to the movement of investigators as well as changes in contributions and research direction. Changes to participating organisations will need approval of the funding entity before proceeding. This approval is actioned through the variation request.

This variation type is commonly used to:

- remove an existing organisation from a Grant, possibly due to the movement/withdrawal of investigators or transfer of Grant or the organisation no longer wants to participate
- remove an organisation due to a name change (this is combined with an organisation add/update).

*To submit an Organisation Withdrawal variation the Funding Entity will require the following:*

- a) The variation should include the following lines:

#### **Organisation – Withdraw**

The organisation line should list the organisation name, the role of the organisation while they are on the Grant, the effective date at the time the organisation was being removed (this date should match the request or approvals). If the Grant is being transferred and the current Administering Organisation is leaving the Grant, they will need an *Organisation – Withdraw* line to be added, as the transfer line alone will not remove them from the Grant.

#### **Person – Add/Update (or) Person – Withdraw (if relevant)**

If the organisation is being removed due to personnel movement, a *Person – Add/Update* line will have to be added to update the relevant personnel's new affiliated organisation. If the person is being removed from the Grant a *Person – Withdraw* line will need to be added. The effective dates should match the dates the organisation is being added/updated or removed. Ensure the investigator has updated their details in RMS.

- b) Up to 500 words should be entered into the justification outlining the reason for removing the organisation and any additional changes.
- c) Check that the required documentation is attached as per Appendix A of these Instructions.

- d) Once the variation has been completed, a revised Participating/Partner Organisation Agreed Contribution Report (POACR) must be submitted within three months of the variation approval.
- e) For further details on how to complete an Organisation or Person Withdraw line please refer to [Appendix B](#) of these instructions.

### 3.4. Person – Add/update

All changes to named participants must be requested via a variation. All existing and new participants must meet the eligibility criteria as specified in the relevant Agreement. RMS profiles should be updated by Investigators to ensure their details are correct. Changes to named participants will need approval of the funding entity before proceeding. This approval is actioned through the variation request.

#### **Requested person(s) cannot participate in the Grant until delegate approval by the Funding Entity has been granted in RMS.**

Each request must include the new participants updated affiliated organisation, relevant to the Grant. Noting that not on all occasions will this organisation be the same as the organisation that administers their RMS account. For example: an investigator may be employed at two universities and their RMS account administered by one, however they are participating on the Grant with the connection to the second university.

**Note:** The RGS team will be required to add participants whose RMS account is not administered by the Administering Organisation. If you are trying to add a participant whose account is not administered by your organisation, you will have to submit the participants details including Name, email address, organisation, FTE and effective date to RGS via email including any required documentation to [arc-nisdr@arc.gov.au](mailto:arc-nisdr@arc.gov.au) for processing.

This variation type is commonly used to:

- add a new investigator to a Grant
- change the role of the investigator on the Grant (from a Chief Investigator to Partner Investigator)
- change the organisation affiliation for an investigator on the Grant.

*To submit a Person – Add/Update variation the Funding Entity will require the following:*

- a) The variation should include the following lines:

#### **Person – Add/Update**

If the person is being added or updated, the following lines will need to be populated for each investigator – full name, role, affiliated organisation on the Grant, FTE the investigator is working on the Grant and the effective date the addition/change happened. The effective dates should match the dates the personnel is added/updated.

#### *Updating an Affiliated Organisation*

When adding a person to a Grant or updating their organisation and the Affiliated Organisation is not appearing, the person will need to update their employment history in their RMS profile.

If the organisation is appearing in the profile (employment history) but cannot be chosen when entering a variation, this may be the way the organisation's name was originally added to the profile (i.e. it was typed in and not selected from a drop down list, or entered in a previous version of RMS).

### **Organisation – Add/Update (or) Organisation – Withdraw (if relevant)**

If a person is joining the Grant with their organisation or changing organisations and a new one is to be added to the Grant, an *Organisation – Add/Update* line should be added or an *Organisation – Withdraw* line needs to be used if the organisation is being removed. The organisation line should list the organisation name, the role of the organisation while they are on the Grant, the effective date at which the organisation was added/withdrawn (this date should match the request or approvals). Although not mandatory to add /withdraw an organisation if a person is being updated, if the justification states that there are changes then the relevant line should be added to the variation.

- b) Up to 500 words should be entered into the justification outlining the reason for adding/updating the person and any additional changes.
- c) Check that the required documentation is attached as per [Appendix A](#) of these Instructions.
- d) For further details on how to complete an Organisation or Person Add/Update or Withdraw line please refer [Appendix B](#) of these instructions.

### **3.5. Person – Withdraw**

All changes to investigators must be reported via a variation. Investigators are commonly withdrawn due to, for example, withdrawals of organisations (such as PIs) as well as changes in contributions and research direction.

This variation type is used to remove an existing person from a Grant:

- due to the withdrawal of organisations
- transfer of Grant or
- investigator no longer wants to participate

*To submit a Person – Withdrawal variation the Funding Entity will require the following:*

- a) The Variation should include the following lines

#### **Person – Withdraw**

If the person is being removed from the Grant a *Person – Withdraw* line will need to be added. The effective date should match the date the person is being removed.

#### **Organisation – Withdraw (if relevant)**

If the organisation is being removed due to personnel leaving, an *Organisation – Withdraw* line will have to be added. The effective date should match the date the person is being removed.

- b) Up to 500 words should be entered into the justification outlining the reason for removing the person and any additional changes.
- c) Check that the required documentation is attached as per Appendix A of these Instructions.
- d) For further details on how to complete an Organisation or Person Withdraw line please refer to [Appendix B](#) of these instructions.

### **3.6. Grant – Defer Commencement**

If a Grant is unable to commence by the listed start date a request for deferral should be requested via a variation. This must occur before the final date of commencement, as per the relevant

Agreement. Although it may be allowed, there are strict limits on when and for how long a deferment may be requested. The request means that no funds will be spent on the Grant until the new commencement date. Please refer to the relevant Agreement for guidance on whether the start date falls within the allowable period or the limit on when a request may be submitted.

This variation type is commonly used when:

- contracts have not yet been signed by all named organisations
- an ethics plan or clearance is not in place
- a data management plan is not in place
- a revised budget is required due to the Grant awarded less than originally requested (If the revised budget impacts the Grant scope, a variation to funding agreement must be submitted)

*To submit a Grant – Defer Commencement variation the Funding Entity will require the following:*

- a) The variation should include the following lines:

#### **Grant – Defer Commencement**

The request must list the new commencement date and also provide the new end date, as a result of the commencement. The Funding Entity would expect the length of the Grant will remain the same length of time, as per the original funded Grant.

**Note:** A Grant – End date is NOT required for this type of request as it is already included in the Grant – Defer Commencement line.

- b) Up to 500 words should be entered into the justification outlining how the deferment will benefit the Grant.
- c) Supporting documentation should only be attached if requested. The details of the request must be listed within the justification.
- d) For further details on how to complete a Defer Commencement line please refer to [Appendix B](#) of these instructions.

### **3.7. Grant – End date**

End dates are defined as when a funded Grant has concluded and all funds for that Grant have been expended. Once Funding Entity funds are fully expended, the Funding Entity considers the Grant to be completed and the end date should match this activity. Requests to extend the end date beyond this time will not be approved.

End dates are normally revised via the End of Year Reporting (EOYR) process. However, if an end date is required to be changed before or after this time, it may be requested providing it meets the conditions listed below.

Requests to change the End Date outside of the EOYR process that do not meet the conditions listed below will not be approved and the variation will be returned to the RO to be withdrawn.

#### **Conditions for changing an End Date:**

- If the end date needs to be changed for the purposes of submitting a Final Report, written confirmation must be provided, confirming that the Grant has ended (including the actual end date) and that all funds have been expended. This action will confirm that if any carryovers are requested after this time, all remaining funds from the change of the end date will be recovered by the Funding Entity.

This variation type is commonly used:

- in conjunction with a suspension request
- to reduce the length of a Grant due to all funds being spent

*To submit a Grant – End date variation the Funding Entity will require the following:*

- a) The variation should include the following lines:

**Grant – End date**

The new end date will be entered, based on the request. There are limits on how far an end date can be extended and requests should be limited to be within the allowable timeframes as advised in the Grant Guidelines.

**Note:** *The Funding Entity generally allows up to three years' carryover (excluding any approved extensions). End dates requested beyond this are not approved without suitable justification.*

- b) Up to 500 words should be entered into the justification outlining the reason for changing the end date.
- c) Supporting documentation should only be attached if requested. The details of the request must be listed within the justification.
- d) For further details on how to complete a Grant End date line please refer to Appendix B of these instructions.

### 3.8. Grant – Full Relinquishment

If a Grant has come to an end and there are residual funds, a Grant has not commenced and the Administering Organisation is now relinquishing the grant, or the Investigators are unable to complete the grant, a *Grant – Full Relinquishment* variation will be submitted to return all remaining funds to the Funding Entity.

For a Grant to be relinquished, full expenditure figures (to date) must be included within the request. Universities are not to include commitments after the Grant has been agreed to be relinquished as expenditure, but they may include expected costs (i.e. outstanding invoices).

Future years' allocations may also not be claimed as expenditure after the relinquishment effective date. Administering Organisations should also ensure they have acquitted all funds prior to submitting a *Grant – Full Relinquishment* request, as the Funding Entity will not reimburse recovered funds.

**Note:** *If the request for relinquishment is only for a specific amount and the Grant is still ongoing, a Grant – Partial Relinquishment variation should be requested. A Grant – Full Relinquishment variation should only be requested where the Grant is returning all remaining funds to the Funding Entity and the Grant will end.*

This variation type is commonly used when:

- an Awardee does not take up the grant or leaves before completion
- the investigators do not meet the eligibility criteria to hold the grant
- contract negotiations fail and the Grant is not eligible to commence
- there is a serious breach or integrity misconduct issue and the Funding Entity recovers all funding.

## Considerations of the Agreement when submitting a Full Relinquishment

- do not include salary commitments after the Grant has been relinquished as expenditure
- all figures reported to the Funding Entity must include **ALL** spent and unspent funds, regardless of their location. This includes funds that are not located at the Administering Organisation, and/or funds that are currently credited to another account code such as salaries, instead of the Grant itself.

*To submit a Grant – Full Relinquishment variation the Funding Entity will require the following:*

- a) The variation should include the following lines

### **Grant – Full Relinquishment**

The full amount to be kept for the Grant (i.e. not to be recovered) will have to be entered into the request line. The difference between the two amounts will be the amount recovered by the Funding Entity.

The amounts should be entered so that all funds being relinquished match up with the original years funded. (All first years funding should be spent before subsequent years) The effective date of the relinquishment also needs to be entered. This is the date the Funding Entity will consider the Grant ended and the date the funds to be recovered from.

- b) Up to 500 words should be entered into the justification outlining the reason for relinquishing the grant.
- c) Supporting documentation should only be attached if requested. The details of the request must be listed within the justification.
- d) For further details on how to complete a Grant – Full Relinquishment line please refer to [Appendix B](#) of these instructions.

**Note:** *Final Reports for relinquished Grants are still required to be submitted for all Grants that have been active for at least 12 months or have spent up to 12 months of expenditure prior to the relinquishment, unless otherwise approved by the Funding Entity.*

## 3.9. Grant – Partial Relinquishment

There are occasions where some funds are to be returned to the Funding Entity, however the Grant is still ongoing (i.e. has not come to an end). If this happens, a *Grant – Partial Relinquishment* variation will be completed.

For a Grant to be partially relinquished, only the years that funding is being relinquished must be completed. To relinquish the funds, you must enter the amount that is to remain on the Grant and the Funding Entity will recover the difference.

**Note:** *If the request for the full amount or the Grant has come to an end, a Grant – Full Relinquishment variation should only be requested. A Grant – Partial Relinquishment should only be requested when a partial amount is being recovered and the Grant is ongoing.*

This variation type is commonly used:

- when funds allocated for a special condition cannot be used for their original purpose and are not approved to be used for another purpose by the Funding Entity
- there is a serious breach or misconduct and the Funding Entity recovers partial funding.

To submit a Grant – Partial Relinquishment variation the Funding Entity will require the following:

- a) The variation should include the following lines

**Grant – Partial Relinquishment**

The full amount to be kept on the Grant (i.e. not to be recovered) is entered into the request line. The difference between the two amounts will be the amount recovered by the Funding Entity.

The amounts should be entered so that all funds being relinquished match up with the original years funded. The effective date of the relinquishment must also to be entered. This is the date the Funding Entity will consider the date the funds to be recovered from.

- b) Up to 500 words should be entered into the justification outlining the reason for relinquishing the funds.
- c) Supporting documentation should only be attached if requested. The details of the request must be listed within the justification.
- d) For further details on how to complete a Grant – Partial Relinquishment line please refer to [Appendix B](#) of these instructions.

### 3.10. Grant – Scope Change

A *Grant – Scope Change* variation is used if there is a significant change in the Grants scope, e.g. the direction of the Grant is changing significantly from the original application. This can be from the result of budget restraints, changes in methodology, to avoid duplication of funding, fieldwork affected by natural disasters, political/civil unrest in another country or an opportunity arises to expand the existing Grant.

As the Agreements have strict guidelines as to how the Funding Entity will allow its funds to be used, it is important to consider if the changes will impact on how the originally funded Grant will be affected and if the scope change will drastically change the Grant moving forward.

This variation type is commonly used when:

- major changes are made because the current Grant budget does not allow for all aims to be completed with the Grant funding with the removal of some funded activities, the researchers can seek other funds, but must avoid Commonwealth overlap
- events such as natural disasters inhibit a component of the research from being undertaken by the current Grant.

**Tip:** The Funding Entity will not approve Grant – Scope Changes if they are being requested in order to meet a Partner Organisations requirements (i.e. contract research).

To submit a Grant – Scope Change variation the Funding Entity will require the following:

- a) The variation should include the following lines:

**Grant – Scope Change**

If a *Grant – Scope Change* is required, details on what is being removed or added to the Grant and how funds will be changed to cover the new scope changes should be listed. It should refer to the original Grant to enable scope changes to be easily identified.

**Budget Change (if relevant)**

If a *Budget Change* variation is required outline what is being changed, where it is going to and the amount being changed. For example, transferring \$15,000 from Year 3 maintenance

to Year 3 travel. Please see instructions for [Budget Change Notification](#) for examples of when this is required.

- b) Up to 500 words should be entered into the justification outlining the scope changes and any additional changes.
- c) Supporting documentation should only be attached if requested. The details of the request must be listed within the justification.
- d) For further details on how to complete a Grant – Scope change or Budget change line please refer to [Appendix B](#) of these instructions.

### 3.11. Grant – Suspension

A *Grant – Suspension* is normally requested when, due to exceptional circumstances no-one is able to work on the Grant, usually for 4 weeks or more. When suspending a Grant funding cannot be spent on the Grant.

This variation type is commonly used for:

- serious illness, care for family member or maternity leave (usually for a sole CI)
- delays in transferring a grant
- restrictions in fieldwork resulting in ability to access the site or would result in danger to the researcher, such as natural disaster or political unrest.

**Note:** *Grant – Suspensions cannot be requested to delay the commencement of a Grant. If a Grant has not commenced, a **Defer Grant Commencement** variation must be submitted.*

*To submit a Grant – Suspension variation the Funding Entity will require the following:*

- a) The variation should include the following lines:

#### **Grant – Suspension**

The start and end date must be supplied for the suspension period. It would be expected that participants will be working on the Grant until the start of the suspension and would resume after the suspension period.

#### **Grant – End date**

The new end date will be entered, based on the request (if the suspension period is 4 weeks the end date will be extended by 4 weeks). There are limits on how far an end date can be extended and requests should be limited to be within the allowable timeframes as advised in the Grant Guidelines.

If the suspension period is outside the current end date, an End Date variation will need to be submitted first noting in the justification field the period of suspension to be requested.

- b) Up to 500 words should be entered into the justification outlining why the suspension is required and how it will benefit the Grant.
- c) Supporting documentation should only be attached if requested. The details of the request must be listed within the justification.
- d) For further details on how to complete a Grant – Suspension or Grant – End Date line please refer to Appendix B of these instructions.

### 3.12. Grant – Transfer

A *Grant – Transfer* may be requested if the Grant is still active and there are funds still available for expenditure, and if all parties agree to the transfer.

This variation type is commonly used when:

- the Grant Leader changes institutions and wants to take the grant with them
- there is a change in Grant leader and the Grant moves to the new leader's employing institution.

For a Grant to be transferred, the new organisation must be listed as an Eligible Organisation as specified in the relevant Agreement. If they are not listed, they will not be able to become the Administering Organisation for the Grant. Transferral of Grants will need approval of the Funding Entity before proceeding. This approval is actioned through the variation request.

**Note:** A Grant Agreement will have to be accepted in RMS, prior to the organisation being able to become the new Administering Organisation. If the receiving organisation does not yet have an accepted Grant Agreement in RMS for the relevant scheme round, (indicated by a validation error when processing the transfer request) the Research Office will have to contact RGS at [arc-nisdrg@arc.gov.au](mailto:arc-nisdrg@arc.gov.au) and request that a Grant Agreement be made available in RMS. Once an Agreement has been accepted by the Funding Entity and the new eligible organisation, the transfer request can be submitted.

Transfer requests must always be fully justified and outline the reason for the transfer, how it will benefit the Grant and what (if any) affect it will have on any students or employees involved in the Grant. Transfer requests are also expected to have the agreement of all parties listed on the Grant.

To submit a Grant – Transfer variation the Funding Entity will require the following:

- a) The variation should include the following lines

#### **Grant – Transfer request**

The transfer request should include the name of the new Administering Organisation, the amount to be transferred and the effective date of the transfer.

All funds must be declared before the transfer. By not declaring all funds at the Administering Organisation will be in breach of the Agreement and may be considered as fraudulent activity.

When calculating the transfer amount, the following MUST be adhered to:

- the total amount that the Grant was allocated for all years up to and including the current year must be included, not just the amount that the organisation has received so far
- future years' allocation will not appear in the 'Total Allocated' column as this will be transferred automatically and the relinquishing Administering Organisation cannot claim this funding as expenditure
- if the Grant had previously been transferred, only the amount paid to the relinquishing Administering Organisation will appear in the 'Total Allocated' column
- full expenditure figures (to date) must be included within the request. Do not include salary commitments after the Grant has been transferred as expenditure

- all figures reported to the Funding Entity must include ALL spent and unspent funds, regardless of their location. This includes funds that are not located at the Administering Organisation, and/or funds that are currently credited to another account code such as salaries, instead of the Grant itself
- the last year's EOYR should be confirmed with the transfer amount, so that the transfer amount is not less than the amount previously reported as spent in the EOYRs
- transfers cannot be requested if all funds have been spent.

#### **Organisation – Withdraw (or) Organisation – Add/Update**

The current Administering Organisation on the grant must either be withdrawn from the Grant or change its affiliation to the Grant to another status. The effective date for the change must be the same as the transfer date.

#### **Person – Add/Update**

Transfer requests must also be accompanied by a *Person – Add/Update* request, in order to change any moving investigators affiliated organisation on the Grant.

#### **Grant Defer Commencement (if relevant)**

If the transfer request has been requested to happen prior to the Grant commencing, then a *Grant – Deferred Commencement* should be requested, provided it is within the allowable limits, as per the Agreements. The deferred commencement date and new end date will be entered into the line, ensuring that the new dates match the originally funded length of time (i.e. number of years funded).

#### **Grant Suspension / End date (if relevant)**

If the transfer request has been requested to happen during the Grant and it encountered long delays, then a *Grant – Suspension* and *Grant – End Date* may be requested, as long as it is within the allowable limits, as per the Agreements. The Grant suspension dates and new end date will have to be entered into their relevant lines, ensuring that the new dates match the originally funded length of time (i.e. number of years funded).

- Up to 500 words should be entered into the justification outlining why the transfer is required and how it will benefit the Grant.
- Check that the required documentation is attached as per [Appendix A](#) of these Instructions and that the dates match the 'Effective Date' entered.
- For further details on how to complete a Grant – Transfer line please refer to Appendix B of these instructions.

### **3.13. Grant – Transfer Corrections**

If the amount previously reported during a transfer was incorrect, a *Grant – Transfer Correction* may be requested. This type of variation request should be reported to RGS via email.

This variation type is commonly used when:

- there are additional funds to be transferred to the new Administering Organisation that were not included in the original transfer (i.e. funds located at another organisation on the grant)

- there are funds to be returned to the previous Administering Organisation as costs associated with the Grant were not identified at the time of transfer.

**Note:** if the previous Administering Organisation is requesting that funds be returned to them, they must first communicate with the new Administering Organisation and seek their agreement. The Funding Entity will not process this type of request unless both organisations have agreed to the request in writing, and it is provided to the Funding Entity.

To submit a Grant – Transfer Correction the Funding Entity will require the following:

- The email should include

**Agreement from the Administering Organisation/s**

The Funding Entity requires agreement from both organisations if funds are to be moved from the current organisation to the previous organisation. If the previous Administering Organisation wishes to provide additional funds to the new Administering Organisation, then an email from the previous Administering Organisation will suffice.

**Details of the correct transfer amount to be transferred**

Details of the exact amount that should have been reported as spent in total.

- Up to 500 words should be provided outlining why the transfer correction is required.

For these variations, Research Offices must email the relevant details/documentation to RGS at [arc-nisdr@arc.gov.au](mailto:arc-nisdr@arc.gov.au) for processing.

### 3.14. Grant – EOYR Expenditure Correction

If the amount previously reported during an EOYR was incorrect, an EOYR Expenditure Correction may be requested. This type of variation request should be reported to RGS via email.

This variation type is commonly used when funds were incorrectly reported during a previous EOYR, resulting in carryover figures being incorrect.

To submit a Grant – EOYR Expenditure Correction the Funding Entity will require the following:

- The email should include

**Details of the correct expenditure amount**

The below table should be completed and emailed to RGS with the details of the exact amount that should have been reported as spent each year and a reason for the change.

Reporting Year	Amount funded	Original Expenditure reported	Revised Expenditure	Revised Carryover balance	RO Comments
2021/22	\$100,000	\$80,000	\$80,000	\$20,000	Amount correctly reported – no changes
2022/23	\$100,000	\$60,000	\$50,000	\$70,000	Expenditure not reported correctly, amount adjusted
2023/24	\$100,000	\$30,000	\$20,000	\$150,000	Expenditure not reported correctly, amount adjusted

<b>TOTAL</b>	<b>\$300,000</b>	<b>\$170,000</b>	<b>\$150,000</b>		
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Table 1 Grant EOYR correction table

**Note:** If there is no change to a previous year this should be noted using the 2021/2022 example row in the above table

- b) Up to 500 words should be provided outlining why the EOYR expenditure correction is required.
- c) For these variations, Research Offices must email the relevant details/documentation to the [arc-nisdrg@arc.gov.au](mailto:arc-nisdrg@arc.gov.au) for processing.

## 4. Partner/Participating Organisation Agreed Contribution Report (POACR)

All Administering Organisations are required to enter agreed Cash and In-Kind Contributions during the application process.

Prior to the commencement of the Grant the Administering Organisation will enter into written agreements with participating organisations. Once complete if there is a difference to the previously advised contributions, or if there are changes to the participating organisations throughout the grant an updated POACR will need to be submitted by the Administering Organisation.

Where a POACR has been submitted in RMS, RGS will review the report. When the POACR is approved by RGS the status will appear as 'Accepted' and the Organisation Contributions table on the 'Grant Details' page will be updated.

**IMPORTANT:** Please **do not** create a POACR for a new organisation's contribution, until the Funding Entity has **approved the addition of the new organisation**. The POACR will **only** populate with the organisations listed on the Grant. If the POACR has been created in error (i.e. before a new organisation was approved to be added), please submit the POACR with no changes to the report so it matches what was previously approved. This is because the report will not update even once the organisation has been approved to be added to the Grant. A new POACR can then be created after the organisations have been added.

### 4.1. Create and submit a POACR in RMS:

- a) Search for the Grant that a POACR is required for using the 'Research Office Grants' link ([Figure 1](#)) or the Search bar to the top right ([Figure 19](#)).
- b) Once the grant is located select the 'Details' button ([Figure 2](#)).
- c) Select the 'Reports' tab within the Grant and press the *Create New Partner Organisations Agreed Contribution Report* button



Figure 26: Create new POACR report from Grant report tab

- d) Confirm the report creation by selecting the 'Create Report' button



Figure 27: Confirm report creation button

- e) Once selected, a DRAFT report will appear on the list.
- f) Select 'Form' located next to the report that you want to update

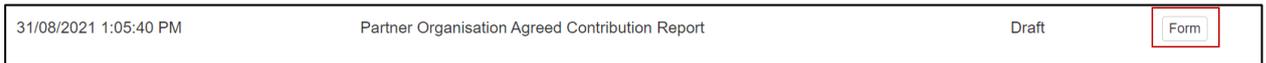


Figure 28: Draft POACR in the list

- g) Enter each Organisation's cash and in-kind contributions in the Updated Contributions section in the lower half of the screen (in white). As information is populated, the Updated Contribution Totals will automatically update.

Current Organisation Contributions							
Organisation	Role	2017		2018		2019	
		Cash	In Kind	Cash	In Kind	Cash	In Kind
The University of New South Wales	Administering Organisation	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Current Contribution Totals							
Organisation Role	Total Cash	% Of Total Allocation	Total In Kind	% Of Total Allocation	Total Contribution	% Of Total Allocation	
Administering Organisation	\$0.00	0 %	\$0.00	0 %	\$0.00	0 %	
<b>Total</b>	<b>\$0.00</b>	<b>0 %</b>	<b>\$0.00</b>	<b>0 %</b>	<b>\$0.00</b>	<b>0 %</b>	
Updated Contributions							
Organisation	Role	2017		2018		2019	
		Cash	In-kind	Cash	In-kind	Cash	In-kind
The University of New South Wales	Administering Organisation	7,000.00	17,782.00	7,000.00	17,823.00	6,000.00	20,851.00
Updated Contribution Totals							
Organisation Role	Total Cash	% Of Total Allocation	Total In Kind	% Of Total Allocation	Total Contribution	% Of Total Allocation	
Administering Organisation	\$ 20,000.00	5.83 %	\$ 56,456.00	16.46 %	\$ 76,456.00	22.30 %	
<b>Overall Total</b>	<b>\$ 20,000.00</b>	<b>5.83 %</b>	<b>\$ 56,456.00</b>	<b>16.46 %</b>	<b>\$ 76,456.00</b>	<b>22.30 %</b>	

Figure 29: Enter updated contributions

**IMPORTANT:** Only the years with an allocation upon grant commencement will appear in the table.

Any amendments to partner contributions should be reported against the allocation year the funds were intended to be spent. For example, if there was an approved defer commencement, or suspension period and a task that was budgeted for year two is not completed until year three the amended contribution should be reported against year two.

- h) Select 'Save' when all contributions have been entered and Close (at the top of the screen)

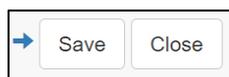


Figure 30: Save/Close buttons

- i) The POACR is now ready to be certified. Select the 'Certify' button



Figure 31: POACR Certification

- j) Select 'Agree to certification' to certify the contributions or Cancel to return to the form

Figure 32: POACR Certification Agreement

- k) Following certification there will be an option on the Reports page ‘Submit to [Funding Entity]’, Decertify, or ‘Form’ to edit the form
- l) Select ‘Submit to [Funding Entity]’ to submit POACR for RGS review.

Figure 33: POACR Submit to ARC

Once a POACR has been submitted, RGS will review the report. If RGS identifies an error or the Research Office requests that the POACR be returned, RGS will return the POACR and the status will revert back to the ‘Ready to Submit’.

Once the report has been returned to the Administering Organisation, the POACR can then be amended accordingly and resubmitted back to RGS (following the steps above). Once approved by RGS on behalf of the Funding Entity the status will appear as ‘Accepted’.

Accepted	13/08/21 12:48 PM	Details	Form
Accepted	20/08/21 07:52 AM	Details	Form
Certified	31/08/21 01:09 PM	Details	Form   Decertify   Submit to ARC

Figure 34: POACR option buttons

## 4.2. Finding a POACR in RMS

Once a POACR has been created in RMS, it can be located via the following methods:

### 4.2.1. Searching the Grant ID

- a) POACRs can be found by looking up the Grant ID in the RMS ‘Search bar’ in the top right corner of the screen (Figure 19).
- b) Once the appropriate grant is located select the ‘Details’ button (Figure 2)
- c) Select the ‘Reports’ tab

Figure 35: Reports tab of a Grant

- d) This will display all reports, including the POACR, associated with the Grant, select ‘Form’ to see the details of the completed report

#### 4.2.2. Research Office Grant Reports Action Centre link

- a) Locate the Research Office Grant Management section within the RMS Action Centre
- b) Select the 'Research Office Grant Reports' link



Figure 36: 'Research Office Grant Reports' link from the Action Centre

- c) This will display a list of all Grant Reports, including any created POACRs, associated with the Administering Organisation

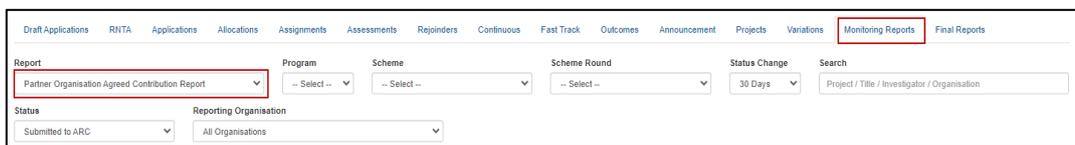


Figure 37: 'Research Office Variations' link from the Action Centre

- d) The results can be filtered on a number of parameters including scheme, scheme round and status
- e) Upon locating the required Grant number, select 'Details' to view to grant details page, 'Form' to view the POACR, 'Submit to ARC' to submit the POACR for review by RGS.

Accepted	13/08/21 12:48 PM	Details	Form		
Accepted	20/08/21 07:52 AM	Details	Form		
Certified	31/08/21 01:09 PM	Details	Form	Decertify	Submit to ARC

Figure 38: POACR option buttons

## 5. Appendix A – Funding Entity Variations – Supporting Documentation

The below variation types that require additional evidence/agreements from participants on the Grant to be attached to the variation.

### **New Chief Investigator added to the Grant**

- CV of new personnel (up to 2 pages)
- Participant eligibility template (available on the [RGS Grants Management Page](#))

### **New Partner Investigator added to the Grant**

- Agreement from the new Partner Investigator's Organisation
- CV of new personnel (up to 2 pages)
- Participant eligibility template (available on the [RGS Grants Management Page](#))

### **Named Personnel removed from the Grant**

- Agreement from the personnel to be removed

### **Personnel role change (e.g. Partner Investigator to Chief Investigator)**

- Agreement from the personnel changing
- Agreement from the relevant Partner Organisation
- Confirmation from named personnel that RMS personal profile and employment details are complete and up to date

### **Personnel changes to Affiliated Organisation (*Organisation is already on the Grant*)**

- Agreement from person changing organisations

### **New Organisation added to the Grant**

- Confirmation of Organisation ABN, that the company headquarters are in Australia and that the majority of Board members are Australian citizens
- Agreement from Organisation being added

### **Organisation changes – removed/updated**

- Agreement from Organisation being removed/updated

### **Grant Transfer**

- Agreement from receiving Administering Organisation
- Agreement from all named Organisations

### **Transfer Correction**

- Agreement from the new Administering Organisation that they agree to the new amount
- Details of the correct transfer amount to be transferred
- A statement as to why the information was reported incorrectly

## 6. Appendix B – Variation – How to complete a variation line

This section provides step by step instructions as to how to complete an individual variation line. Please refer to the [Variation Request Types](#) section for further information regarding what is to be included within a variation line.

### 6.1. Budget – Change Notification:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Budget – Change Notification line for review.

The screenshot shows a web form titled "Add Grant Variation". At the top left, there is a dropdown menu with "Change Notification" selected. Below this is a large text area labeled "Description" with the placeholder text "Enter description of Budget Change". At the bottom left of the form, there are two buttons: "Add" and "Cancel". Red boxes highlight the dropdown menu, the description text area, and the "Add" button.

Figure 39: Variation - Budget–Change Notification

- a) Select 'Change Notification' under the Budget heading from the 'Add Grant Variation' drop-down
- b) Enter a description of the proposed budget item changes, including the amount to be changed and the current budget item category or year to be changed from, using the format \$X from [current budget item category] Year X to [new budget item category] Year Y. For example, transferring \$15,000 from Year 3 maintenance to Year 3 travel
- c) Select 'Add' to add the line to the variation request
- d) Provide details of the budget changes in the Justification box
- e) Documentation is not required for this type of variation, unless requested
- f) Select 'Save'
- g) Add additional lines as required and submit for review.

See [Variation Request type – Budget – Change Notification](#).

### 6.2. Organisation – Add/Update:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Organisation – Add/Update line for review.

Figure 40: Variation – Organisation- Add/Update

Figure 41: Upload file

- a) Select 'Add/Update' from the 'Organisation' category within the 'Add Grant Variation' drop-down
- b) Using the 'Select Organisation' drop-down, select the organisation that you intend on updating on the Grant. Alternatively, if the organisation is not already on the Grant, you may search for the organisation's name using the search functions
- c) Select the organisation role from the 'Role' drop-down
 

**Please note:** Universities which are considered eligible organisations can only be added to Grants as an 'Other Eligible Organisation'. Please refer to the general eligibility requirements for organisations as defined in the relevant Agreement
- d) Provide the date that this is to take effect in the 'Effective Date' box as per the Agreement by the New Organisation
- e) Select 'Add'
- f) Provide details of why the new organisation is to be added in the Justification box
- g) Select the 'Choose File' button and then select 'Upload' to attach the relevant documentation for the entire request, noting that it can only be one attachment
- h) Select 'Save'
- i) Add additional lines as required and submit for review.

See [Variation Request type – Organisation – Add/Update](#).

### 6.3. Organisation – Withdraw:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Organisation – Withdraw line for review.

Figure 42: Variation – Organisation-Withdraw

Figure 43: Upload File

- a) Select '*Withdraw*' from the 'Organisation' category within the 'Add Grant Variation' drop-down
- b) Using the 'Organisations' drop-down, select the organisation that you intend to withdraw from the Grant
- c) Provide the date that this is to take effect in the 'Effective Date' field as per the agreement by the organisation
- d) Select 'Add'
- e) Provide details of why the organisation is being removed in the Justification box
- f) Select the 'Choose File' button and then select 'Upload' to attach the relevant documentation for the entire request, noting that it can only be one attachment
- g) Select 'Save'
- h) Add additional lines as required and submit for review.

See [Variation Request Type – Organisation – Withdraw](#).

#### 6.4. Person – Add/Update:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Person – Add/Update line for review.

**Add Grant Variation**

Add/Update

Select Participant

Select participant from the drop down box

Or

Search for Person

Search for participant then select from the drop down list

Search

Role

Chief Investigator

Select Role from the drop down list

**Grant Leader**

Affiliated Organisation

The University of Western Australia

Select Organisation from the drop down list

FTE Effective Date

01/07/2021

FTE

0

Remove

Add FTE

Effective Date

Enter effective date

- FTE must be greater than or equal to 0.10
- Please enter an Effective date

Add Cancel

Figure 44: Variation – Person-Add/Update

**File Attachment**

Choose File

No file chosen

Upload

Figure 45: Upload file

- Select 'Add/Update' from the 'Person' category within the 'Add Grant Variation' drop-down
- Using the 'Select participant' drop-down, select the participant that you intend updating on the Grant. Alternatively, if the person is not already on the Grant, you may search for their name using the search function
- Select the Participant role from the 'Role' drop-down menu
- Check the Grant Leader box if the leader of the Grant is changing (There can only be one Grant Leader on the Grant)
- Select the Affiliated Organisation from the 'Role' drop-down, relevant to this person's role on the Grant. If the Organisation does not appear, the CI/PI will need to update their employment profile in RMS
- Update the FTE date to the effective date of the change add the FTE the person will spend on the Grant
- Provide the date that this is to take effect in the 'Effective Date' box. This should reflect the date in which the change took place
- Select 'Add'
- Provide details on why the person is being added to the Grant in the Justification box
- Select the 'Choose File' button and then select 'Upload' to attach the relevant documentation for the entire request, noting that it can only be one attachment

- k) Select 'Save'
- a) Add additional lines as required and submit for review.

See [Variation Request Type – Person – Add/Update.](#)

## 6.5. Person – Withdraw:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Person – Withdraw line for review.

Figure 46: Variation – Person-Withdraw

Figure 47: Upload file

- a) Select 'Withdraw' from the 'Person' category within the 'Add Grant Variation' drop-down
- b) Using the 'Select Participant' drop-down, select the participants that you intend to withdraw from the Grant
- c) Provide the date that this is to take effect in the 'Effective Date' field
- d) Select 'Add'
- e) Provide details of why the person is being withdrawn in the Justification box
- f) Select the 'Choose File' button and then select 'Upload' to attach the relevant documentation for the entire request, noting that it can only be one attachment
- g) Select 'Save'
- h) Add additional lines as required and submit for review.

See [Variation Request Type – Person – Withdraw.](#)

## 8.1. Grant – Defer Commencement:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Grant – Defer Commencement line for review.

The screenshot shows the 'Add Grant Variation' form. At the top, a dropdown menu is set to 'Defer Commencement'. Below this, there are four date input fields: 'Current Grant Start Date' (01/07/2021), 'Current Grant End Date' (30/06/2024), 'Defer Grant Start Date' (with a placeholder 'Enter new grant start date'), and 'Defer Grant End Date' (with a placeholder 'Enter new grant end date'). At the bottom left, there are 'Add' and 'Cancel' buttons.

Figure 48: Variation – Defer Commencement

- Select 'Defer Commencement' from the 'Grant' category of the 'Add Grant Variation' drop-down.
- Provide the new start date in the 'Defer Grant Start Date' field. Provide the new end date in the 'Defer Grant End Date' field
- Select 'Add'.
- Provide details on why the Grant is to be deferred in the Justification box
- Documentation is not required for this type of variation, unless requested
- Select 'Save'
- Add additional lines as required and submit for review

See [Variation Request Type – Grant – Defer Commencement](#).

## 6.6. Grant – End date:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Grant – End date line for review.

The screenshot shows the 'Add Grant Variation' form. At the top, a dropdown menu is set to 'End Date'. Below this, there are two date input fields: 'Current Grant End Date' (30/06/2024) with a red note 'Current end date will auto populate', and 'New Grant End Date' (with a placeholder 'Enter new grant end date') with a red note 'Enter revised end date'. At the bottom left, there are 'Add' and 'Cancel' buttons.

Figure 49: Variation – Grant-End Date

- Select 'End Date' from the 'Add Grant Variation' drop-down
- Provide a revised Grant end date in the field provided.
- Select 'Add'

- d) Provide details on why the Grant date is to be changed in the Justification box
- e) Documentation is not required for this type of variation, unless requested
- f) Select 'Save'
- g) Add additional lines as required and submit for review

See [Variation Request Type – Grant – End date.](#)

## 6.7. Grant – Full Relinquishment:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Grant – Full Relinquishment line for review.

The screenshot shows the 'Add Grant Variation' form. At the top, there is a dropdown menu labeled 'Add Grant Variation' with 'Full Relinquishment' selected. Below this is a table with columns 'Category', 'Amount', and 'Amount Spent'. The 'Grant Funds' row shows an amount of '\$200,344.00'. To the right of the 'Amount Spent' column, there is a red note: 'Expend all funds in Year 1 before subsequent years regardless of the year the funds are spent'. Below the table, there are fields for 'Grant Start Date' (01/07/2021) and 'Grant End Date' (13/07/2021). The 'Grant End Date' field is highlighted with a red box. At the bottom, there are 'Add' and 'Cancel' buttons.

Figure 50: Variation – Grant-Full Relinquishment

- a) Select 'Full Relinquishment' from the 'Add Grant Variation' drop-down
- b) For each year of original allocation, enter the full amount of Grant funding that has been spent to date in the 'New Amount' column provided. This Variation type requires that an amount be entered into all 'New Amount' fields, for each year. Amount spent for previous years must show as fully expended before moving on to the next year
- c) Provide a revised Grant end date in the field provided
- d) Select 'Add'
- e) Provide details on the relinquishment in the Justification box. Please provide a total amount to be relinquished (returned to the Funding Entity) in the justification box
- f) Documentation is not required for this type of variation unless requested
- g) Select 'Save'
- h) Add additional lines as required and submit for review

See [Variation request type – Full Relinquishment.](#)

## 6.8. Grant – Partial Relinquishment:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Grant – Partial Relinquishment line for review.

Figure 51: Variation – Grant-Partial Relinquishment

- Select 'Partial Relinquishment' from the 'Add Grant Variation' drop-down
- For each year, enter the amount of Grant and/or Salary funding that has been spent to date in the 'Amount Spent' column provided
- Provide the date that this is to take effect in the 'Effective Date' box
- Select 'Add'
- Provide details on the relinquishment in the Justification box
- Documentation is not required for this type of variation, unless requested
- Select 'Save'
- Add additional lines as required and submit for review

See [Variation Request type – Partial Relinquishment](#).

## 6.9. Grant – Scope Change:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Grant – Scope Change line for review.

Figure 52: Variation – Grant-Scope Change

- Select 'Scope' from the 'Add Grant Variation' drop-down
- Provide a revised scope in the 'New Grant Scope' field provided (the Current Grant Scope field will only have text if the scope has been changed previously)
- Select 'Add'
- Provide details of the scope change in the Justification box

- e) Documentation is not required for this type of variation unless requested
- f) Select 'Save'
- g) Add additional lines as required and submit for review

**Note:** Scope changes will not appear anywhere on the Grant details tab. You will only know if the scope has changed when you are entering in a new Variation.

See [Variation Request Type Grant – Scope Change](#).

## 6.10. Grant – Suspension:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Grant – Suspension line for review.

The screenshot shows a form titled 'Add Grant Variation'. At the top, there is a dropdown menu with 'Suspension' selected. Below this are two date input fields: 'Grant Suspension Start Date' and 'Grant Suspension End Date', each with a placeholder text 'Enter suspension start/end date'. At the bottom left, there are two buttons: 'Add' and 'Cancel'. Red boxes highlight the dropdown menu, the two date input fields, and the 'Add' button.

Figure 53: Variation – Grant-Suspension

- a) Select 'Suspension' from the 'Add Grant Variation' drop-down
- b) Enter the intended suspension start and end dates into the appropriate fields
- c) Select 'Add'
- d) Provide details of the suspension in the Justification box
- e) Documentation is not required for this type of variation, unless requested
- f) Select 'Save'
- g) Add additional lines as required and submit for review

**Please note:** the suspension start date entered cannot be outside the start and end dates of the Grant.

See [Variation Request Type – Grant – Suspension](#).

## 6.11. Grant – Transfer:

Follow the steps outlined in the [Creating a Variation](#) section to create the variation. Once created follow the below steps to add the Grant – Transfer line for review.

Figure 54: Variation – Grant-Transfer

Figure 55: Upload File

- a) Select 'Transfer' from the 'Add Grant Variation' drop-down
- b) Select the Organisation which the Grant is being transferred to in the 'New Administering Organisation' drop-down.
- c) Provide the **total Grant expenditure to date**, via the 'Total Grant Expenditure' column. Note, the transfer amount will be calculated by subtracting the reported expenditure from the 'Total Allocated' amount
- d) Provide the date that this is to take effect in the 'Effective Date' box
- e) Select 'Add'
- f) Provide details of the transfer in the Justification box. Please include in the justification box what has spent during the period since the last end of year reporting period to the transfer date
- g) Select the 'Choose File' button and then press 'Upload' to attach the relevant documentation for the entire request, noting that it can only be one attachment
- h) Select 'Save'
- i) Add additional lines as required and submit for review

See [Variation Request Type – Grant – Transfer](#).

## 7. Definitions and Glossary

For the purposes of the Research Office Variation and POACR instructions, acronyms and terms have the meanings defined below.

ARC	Australian Research Council
Defence	Department of Defence National Security Science and Technology Centre
EOYR	End of Year Report

Funding Entity	The entity (ONI or Defence) that entered into the Grant Agreement for the awarded Grant.
Grant	The awarded grant under the NISDRG Program
Grant Funds	The funds awarded to the grant from the relevant Funding Entity
Investigator(s)	Named personnel on the Grant and can be either a Chief Investigator or Partner Investigator
NISDRG	National Intelligence and Security Discovery Research Grants Program
ONI	The Office of National Intelligence
POACR	Participating/Partner Organisation Agreed Contribution Report, which summarises the cash and in-kind contributions of Participating Organisations associated with the Grant across all funding years
RGS	Research Grants Services. The administrative team within the ARC which provides grants administration services to other Australian Government entities
RMS	The Research Management System (RMS): Office of National Intelligence (ONI) RMS instance: <a href="https://rmsoni.researchgrants.gov.au/">https://rmsoni.researchgrants.gov.au/</a> Department of Defence (Defence) RMS instance: <a href="https://defence.researchgrants.gov.au/">https://defence.researchgrants.gov.au/</a>
Variation	A requested variation to the signed Grant Agreement

## 8. Document control

Number	Date Published	Brief Description
1.0	29 September 2021	Creation and published to ARC website
2.0	4 August 2022	Repairing broken links and branding