



Procedure: External project funding and agreements

Purpose

The procedure describes the principles by which projects for external funding are sought and accepted by the University consistent with University community standards, values and interests.

Procedure

Scope

1. This procedure applies to all ANU staff (academic, professional, honorary appointments) and students, including subsidiaries managing work undertaken by the University.
2. This procedure applies to all projects, as defined in the [Costing and Pricing of externally Funded Research Projects, University Consultancies and Commercial Services policy](#), with the exception of:
 - a. Philanthropic gifts, bequests and endowments;
 - b. Student scholarships that are not for a research project; and
 - c. Procurement activities.
3. Funding received under [Paid Outside Work](#) is outside the scope of this procedure.

Applying for external funding and projects

4. All project applications are made by the University at the discretion of the Vice-Chancellor or delegate in accordance with the University Delegations of Authority policy.
5. Staff, Students and Persons of Interest requesting authority to apply for externally funded projects (regardless of the source of funding) must utilise the University's Costing, Pricing and Approval tool to obtain approval from a delegate.
6. All externally funded projects must be properly costed in accordance with the [Costing and Pricing of Externally Funded Research Projects, University Consultancies and Commercial Services policy](#).

Acceptance of projects and agreements

7. All projects are approved (accepted) by the University at the discretion of the Vice-Chancellor or delegate in accordance with the University [Delegations of Authority policy](#).
8. Staff, Students and Persons of Interest requesting authority to accept externally funded projects (regardless of the source of funding) must utilise the University's Costing, Pricing and Approval tool to obtain approval from a delegate.
9. The accepting delegate is responsible for ensuring:
 - a. the best possible outcomes for the University in agreements, supported by Legal Officers, Research Services staff and the Technology Transfer Office;
 - b. All agreements are consistent with ANU policies and procedures including the [Intellectual Property](#) and [Costing and Pricing of Externally Funded Research Projects, University Consultancies and Commercial Services](#) policies.

Roles and responsibilities for applying for and managing projects

10. When applying for projects, participants are responsible for:
 - a. Identifying in the proposal all participants contributing to proposed project outcomes, and their organisations and affiliations, and identifying a Lead Chief Investigator.
 - b. Ensuring that: (1) applications comply with relevant University policies, procedures and guidelines; (2) the quality, content and correctness of applications; and (3) applications are compliant with prospective funder requirements.
11. When managing projects, participants are responsible for:
 - a. Compliance with ANU policies and procedures including the [Responsible Conduct of Research policy](#);
 - b. Ensuring any required ethical approvals are obtained and ensuring that the project is undertaken in agreement with approved protocols and conditions;
 - c. Ensuring that the project does not commence until the fully executed agreement and ANU approvals are in place;
 - d. Managing the project effectively, including understanding and communicating ANU and agreement requirements and milestones to all staff and students involved on the project;
 - e. Timely delivery of all obligations and deliverables required by the agreement;
 - f. Undertaking risk assessment and management consistent with the [Risk Management policy](#); and

- g. Ensuring effective financial management in line with ANU policies and the requirements of the relevant agreement.
12. College Deans are responsible for ensuring a rich academic environment supporting high quality research; this includes adequate peer review, encouraging pursuit of appropriate funding and completing obligations and deliverables to a high standard.
13. The Deputy Vice-Chancellor (Research) is responsible for institutional oversight of research and University-wide research management policies and procedures.
14. The Vice-Chancellor or a Deputy Vice-Chancellor can suspend or terminate any externally funded project. Appropriate grounds include failure to comply with ANU policies or procedures, or non-compliance with agreements.
15. All applications, projects and associated activity and artefacts must be provided for accurate record in the University research management enterprise system in accordance with the [ARIES Grant Data Entry Manual and Standard Operating Procedures](#).

Delegations relevant to this procedure

- **000326:** Submit applications for grants, research contracts or consultancies on behalf of the university to any funding agency.
- **000327:** Sign all grant agreements and research contracts (excluding contracts involving the commercialisation of IP).
- **000328:** Sign consultancy agreements
- **000329:** Determine the level and extent of the University's involvement in a CRC, partnership, joint venture or other formal research collaboration where the University contributes cash or in-kind
- **000330:** Sign contracts involving the commercialisation of IP within portfolio responsibilities
- **000331:** Sign non-disclosure agreements relating to ANU Intellectual Property
- **000332:** Sign materials transfer agreements relating to ANU Intellectual Property

Document information

| | |
|---------------------|---|
| Title | External project funding and agreements |
| Document Type | Procedure |
| Document Number | ANUP_012818 |
| Version | 8 |
| Purpose | The procedure describes the principles by which projects for external funding are sought and accepted by the University consistent with University community standards, values and interests. |
| Audience | Staff-Academic-Research, Students-Graduate-Research |
| Category | Academic |
| Topic | Research |
| Subtopic | Grants & Consultancies |
| Effective Date | 1 Jan 2016 |
| Review Date | 1 Jan 2019 |
| Responsible Officer | Director, Research Services (douglas.robertson@anu.edu.au) |
| Approved By | Deputy Vice-Chancellor (Research and Innovation) (dvc.research@anu.edu.au) |
| Contact Area | Research Services (douglas.robertson@anu.edu.au) |
| Authority | Australian National University Act 1991 Public Governance, Performance and Accountability Act 2013 Public Governance, Performance and Accountability Rule 2014 |
| Printed On | 11 Aug 2022 |

Please ensure you have the latest version of this document from the Policy Library website before referencing this.