



Australian Government

Australian Research Council

End of Year Financial and Progress Reporting:

RMS User Guide and Instructions for processing the 2019 EOYRs

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Information to note regarding submission of reports

End of Year (EOYR) and Progress Reporting is required to be submitted for each Australian Research Council (ARC) funded Project that was still active during 2019.

The purpose of the EOYR in the Research Management System (RMS) is to collect information regarding the financial activity relating to ARC funding received during the 2019 calendar year and reconcile it against the ARC's records.

The purpose of the Progress Report is to collect information regarding any significant issues affecting the progress of a Project during the 2019 calendar year, from an administrative perspective.

It is the responsibility of each Administering Organisation to ensure that all of the information contained in the Reports are accurate and that all required fields are completed as comprehensively as possible.

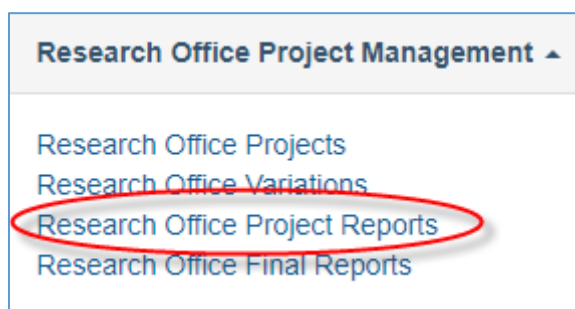
All 2019 reports must be submitted in RMS by **31 March 2020**. Extensions will not be allowed unless approved by the ARC Post-award team prior to this date.

Report forms can be accessed in RMS by Research Office staff and ARC approved EOY Delegates, relevant to their organisation. For any RMS access issues, please contact the ARC RMS Helpdesk at ARC-Systems@arc.gov.au. All requests for EOY Delegate access must go through the ARC Post-award team at ARC-Reports@arc.gov.au.

Please note: RMS is most compatible with the latest version of Google Chrome browser. Only the latest version of Internet Explorer is supported.

Accessing EOYR reports

- a) Login to [RMS](#).
- b) In the *Research Office Project Management* section of the *Action Centre*, click on 'Research Office Project Reports'.



Searching for and editing Reports

Research Offices are able to search for and edit reports for all Projects administered by their organisation during the 2019 calendar year that have a net value greater than \$0.

In the *Monitoring Reports* tab, reports can be searched by selecting the relevant EOYR round in the 'Report' dropdown list. Reports can then be searched by:

- using the relevant information under either the 'Program, Scheme and/or Scheme Round' dropdown lists
- searching for a specific Project ID, Title or Investigator under the 'Search' bar
- searching on the status of the Report/s under the 'Status' dropdown list.

Once the relevant Report has been found it can be edited by selecting the ‘Form’ button, located on the furthest right for each Project’s row.

Reports can also be searched for by inputting the Project Title, Project leader name or status using the universal search field on the top right of the screen in RMS.

Mandatory fields

Several fields within each individual form are mandatory, meaning that they are required to be completed before the form can be certified and submitted to the ARC. These fields will be highlighted in red and/or a warning will occur when there is information missing.

End of Year Report status

The progress of an EOYR can be tracked by using its status, which can be found on the *Monitoring Reports* tab, as show below.

Research Offices can also filter all reports based on these status’, by selecting the relevant ‘Status’ in the last drop for of the *Monitoring Reports* tab, as shown below.

The status and their meanings are as follows:

Status type	Explanation
Draft	Either nothing has been entered or not all mandatory fields are complete
Ready to Submit	All mandatory information has been entered and the form is ready to be submitted to the EOY Delegate for certification
Returned to Research Office	The ARC has returned the form to the Research Office to be amended
Submitted to RO EOY Delegate	The form has been submitted to the EOY Delegate and is waiting to be certified
Certified	The RO EOY Delegate has certified the form and it is now ready to be submitted to the ARC
Resubmitted to ARC	The form has been resubmitted to the ARC and is ready to be reassessed
Submitted to ARC	The form has been submitted to the ARC and is ready to be assessed
Accepted	The ARC has assessed and accepted the form
Waived	The ARC has waived the requirement for this form

Completing EOYRs

Project Title

Administering Organisation

Chief Investigator

Start Date 30/06/2013	Has the start date changed? <input type="text"/>	Amended Start Date <input type="text"/>
- This item must be answered		

Part A →

End Date 30/06/2016	Has the end date changed? <input type="text"/>	Amended End Date <input type="text"/>
- This item must be answered		

Part B →	2016 Allocations: \$0.00 Total Amount Available: \$100,196.00	2015 Carryover Amount: \$100,196.00 Total Amount Unspent: \$100,196.00
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Amount Spent ← **Part C**

\$

- This item must be answered

Unspent Reason ← **Part D**

Add

- This item must be answered

Research Office Comments only ← **Part E**

0 characters. 250 characters maximum.

Justification ← **Part F**

0 characters. 750 characters maximum.

- This item must be answered

Were there any significant issues that affected the project during the past calendar year?

Part A - Amending Start and End Dates

The Project Start Date is the date that the Project commenced as approved in the Funding Agreement or via a Variation approved by the ARC. If any funding has been spent, the start date cannot be changed to a year that is after the first year expenditure has commenced.

If the project Start Date is within six months of the Project Initialisation Date, updating the start date via the EOYR process is sufficient. However, if the start date is more than six months after the Project Initialisation date, a Defer Commencement Variation will need to be submitted.

If updating the Start Date please ensure the End Date is updated for the same period.

The Project End Date is the estimated date that ongoing Projects will conclude or if the Project has already been completed, it is the actual date that all ARC funds were expended. End dates cannot be changed to be in the future if all funds have been spent (no carryovers) or there are no future allocations.

Start and End Dates can be amended as follows:

- a) Select 'Yes' or 'No' from the 'Has the start/end date changed' drop-down menus.
- b) If 'Yes' is selected, input the new date into the 'Amended Start/End Date' box.

Please note: Dates cannot be amended for the following reasons:

- the start date cannot be before the intended date of funding commencement
- the start date cannot be changed into a future year, if spending has already commenced
- the end date cannot be changed into a future year if all funds have been spent and there are no future allocations, or if a recovery has been requested in the 2019 EOYR
- the end date cannot be in a previous year if there are either a carryover reported, there are future allocations or if a recovery has been requested in the 2019 EOYR
- the end date cannot be changed to be beyond 3 years after the original allocation via the EOYR process until it has reached the final year. Once the project has reached its final year, it can request an additional year, one year at a time
- **if the project is already 3 or more years after the original allocation, the end date cannot be later than 31 Dec 2020.**

If any of these changes are made, a warning will be displayed, and the form will not be able to be certified.

IMPORTANT: To ensure eligibility limits are not breached, please take care to ensure End Dates are adjusted accurately, to match when the Project is expected to end and not just entered until the end of any given calendar year (31st December). Please note, that although the ARC will consider all End Date requests, if it is found that End Dates are significantly changed to circumvent eligibility rules, the ARC will decline these requests.

Part B - Project allocations table

The following information is auto-populated from the ARC records.

Field	Explanation
2019 Allocations	The net income received by the Administering Organisation during pays made in 2019
2018 Carryover Amount	The approved EOYR carryover amount from 2018 to 2019. This will also include any approved variations processed in 2019 (if relevant)
Total Amount Available	This is the sum of the '2019 Allocations' + the '2018 Carryover Amount'
Total Amount Unspent	This is the carryover request from 2019 to 2020.

Please note: If expenditure has been incorrectly charged within the organisation, this amount must be amended internally prior to the completion of the EOYR and not put off until the following year. Please send an email to ARC-Reports@arc.gov.au as soon as possible to have the corrections made.

Part C - Reporting the Amount Spent

Mandatory field

Enter the total amount spent in 2019 for the entire Project (including funds spent at Collaborating Organisations).

Please note: An amount that is less than \$0 or greater than the 'Total Allocations' displayed for the Project cannot be entered into this field. **The use of symbols such as \$, or comma's must not be entered into this field.** Only numbers may be entered into this field and a full stop to show the cents.

IMPORTANT: The Administering Organisation is responsible for reporting all ARC funding for Projects, regardless of the location of funds. ARC funding is only to be reported as spent by the Administering Organisation if the funds are actually spent, including the funds located at other Organisations. Funds are not to be 'written off' because they are located outside the Administering Organisation. If this is done, it will be seen as committing a fraudulent act and may result in serious action taken by the ARC.

Part D - Unspent Reason

Mandatory field

If there is any carryover requested (i.e. less than the '2019 Total Allocations' have been spent), at least one 'Unspent Reason' Code must be selected (see table on following page). More than one 'Unspent Reason' code may be selected from the list provided. Reason codes let the ARC know why funding is being requested to be carried over into 2020.

Reporting on issues that affected the academic progress of the Project during the 2019 calendar year should be reported in the Progress Reporting section of the form.

If the Project's End Date has passed, only the 'Recovery' reason code should be selected, as a carryover cannot be requested after a Project has been completed. If a carryover needs to be

requested, and the End Date has past then the End Date of the Project will need to be updated in the form as well.

To add a reason code:

- a) select the most appropriate code from the list provided
- b) click 'Add'.

To remove a reason code:

- a) select the 'x' button associated with the appropriate code.

Please note: if the 'Other' reason code is selected, the Research Office Comments field will become mandatory and a reason must be entered.

In addition to this, if there are changes that need to be made to the Project, entering in a Reason Code does not replace the need for a submission of Variation.

The following unspent reasons can be found in RMS:

Reason code	Explanation
Late Project start	Project started late (e.g. due to late signing of agreement/s, ARC approved deferment, moved from overseas). Please do not use this for years 2 onwards unless the Project has not yet started (i.e. approved deferral)
Late Student Start	Late commencement of HDR/PGR Student funded directly from the grant
Late Staff Start	Late commencement of staff funded directly from the Project (that are not named participants)
Leave/suspension	Named participant/s took a period of leave or suspension during the reporting period
Withdrawal of named Investigator	Withdrawal of named participants (CIs and PIs only)
Student resigned	Resignation of student funded by the Project
Work Hours Change (salary position only)	ARC approved change in work hours (% of FTE) for a position funded by the Project
Project Transfer	Project transferred during the reporting period
Investigator Organisation change	Delays due to movement of named investigators (CIs and PIs only)
Seasonal Fieldwork	Seasonal nature of fieldwork (e.g. wet season, migratory practices, remote community access, natural disaster etc.)
Equipment Issue/s	Equipment Issues (e.g. breakdown of Project equipment, unavailability of new equipment causing delays, delay in new equipment being available from supplier, delay in construction of equipment)
Late Invoicing	Late invoicing for services or equipment that were not paid in the reporting period
Task Rescheduling	Rescheduling of tasks, resulting in expenditure being moved into the following year

Reason code	Explanation
Other (must specify reason)	If Other is chosen, a mandatory reason must be submitted. (Please provide details in the Research Office Comment field).
Recovery	<p>A recovery occurs when unspent ARC funding is or needs to be repaid to the ARC. When funds have not been spent and there is no approved carryover, ARC funding will be recovered. Please make sure to only include this reason if there are funds to be recovered by the ARC. Please make a reference to variation if a recovery has already been entered into RMS.</p> <p>IMPORTANT - the FULL amount of carryover funds will be recovered unless a different amount is listed in the comments. ARC may still contact the Research Office for confirmation if over \$10,000. It is the responsibility of the Administering Organisation to confirm the correct amount to be recovered.</p>
Transfer Correction	There is a need to correct the figures provided to the ARC at the time of the Transfer of the Project. If this is selected, additional information must be entered into the justification stating what has happened and the amount that needs to be transferred and/or corrected. The ARC will then contact the Research Office for confirmation before accepting the EOYR, unless the correction is already processed in RMS.

Part E - Research Office Comments

This field should be used if the ‘Other’ reason code is selected and to communicate any additional administrative issues with the ARC. For example, if a carryover has been amended after Pay 12 has closed, and it will therefore not be reflected in RMS, this should be noted in the ‘Research Office Comments’ field.

Part F - Justification

If the ‘Total Amount Unspent’ (carryover request) is more than 75% of the 2019 calendar year allocation or over 12 months (includes a carryover from 2018) a mandatory ‘Justification’ must also be entered.

Completing Progress Reporting

This part of the report enables Progress Reports by exception to be submitted to the ARC.

Were there any significant issues that affected the project during the past calendar year? ← **Part a**

Yes

Project Issues ← **Part b**

Add

• This item must be answered

Part A - Were there any significant issues that affected the Project during the past calendar year

Mandatory field

This question will only have to be answered as ‘Yes’ if the Project’s progress was affected during the 2019 calendar year and this was not already reported in a previous calendar year.

If no additional changes or issues have affected the Project than those already reported and approved by the ARC, then this question may be answered as ‘No’.

If the answer to this question is ‘Yes’, at least one ‘Project Issue’ must be selected from the dropdown menu provided.

Please note: If ‘yes’ is selected this does not replace the need for a submission of a Variation, as set out in the ARC Agreement.

Part B - Selecting Project issues

Mandatory field if Yes is selected above

The Project issues selected should only relate to any academic issues that affected the progress of the Project during the 2019 calendar year.

This is not where funds being carried over from 2019 to 2020 should be justified. More than one ‘Project Issue’ code may be selected from the list provided.

To add a project issue reason code:

- a) select the most appropriate code from the list provided
- b) click ‘Add’.

To remove a project issue reason code:

- a) select the ‘x’ button associated with the appropriate code.

The following Project Issues can be selected from in RMS:

Project Issues
Project was delayed as it was transferred during the reporting period and this significantly impacted the Project
Named participants had to take time off the Project to attend to personal health/carer matters
Issues with Partner Organisation such as: contributions not received, change in Partner investigator, change in Organisational structure, Organisation left the Project, issues with Partner Agreement
Changes within the research team that significantly impacted the progress of the Project
Changes to the scope/budget of the Project significantly impacted the progress of the Project
Equipment issues have delayed the Project during the reporting period
Fieldwork issues have caused a significant delay to the Project during the reporting period

Certification and submission of reports

Once all required information has been entered, Research Office staff can submit reports to the EOY Delegate for assessment and certification. The EOY Delegate can then either desubmit the reports back to Research Office staff to make changes or certify and submit the report to the ARC for assessment.

Certification and accuracy of information

EOYRs must be checked and certified by the Research Office EOY Delegate before they can be submitted to the ARC. Research Office EOY Delegates are required to certify that the Project has complied with the relevant schemes Funding Rules/Grant Guidelines and Funding/Grant Agreements and that all information provided within the report is accurate and up to date. Submission of this report must only be done by a person who has the financial delegation to do so on behalf of the Administering Organisation, as this is a legal document that is being supplied to the ARC.

The 'Submitted to Research Office (Valid)' status will appear against each Report which is ready to be certified. Once certified, the status of the report will appear as 'Certified' and may then be submitted to the ARC by Research Office staff.

Please note: the Delegate cannot make changes to the reported information unless they have 'Research Office Staff' access in RMS. Having both access levels will allow the Delegate to enter/edit details in the report and submit directly to the ARC, without the need for desubmission.

IMPORTANT: Only staff approved by the ARC Post-award team to have EOY Delegate access will be granted this access in RMS. The ARC Helpdesk is not authorised to make these changes in RMS. If anyone is found to have this access in RMS without the relevant approvals they will have their EOY Delegate access removed immediately.

The following prompt will appear once the ‘Certify’ button has been selected:

Certify 2017 End of Year Report for

Certification by the Research Office, on behalf of the Deputy/Pro Vice-Chancellor (Research) or equivalent in the Administering Organisation

I certify that I have read, understood and complied with the ARC's Funding Rules (the Funding Rules) and Funding Agreement (the Funding Agreement) with relation to the End of Year Report/s that are being submitted to the ARC. To the best of my knowledge all details provided in the End of Year Report/s, including dates, amounts and justifications, are true and complete in accordance with the Funding Rules and the Funding Agreement.

By submitting the End of Year Report/s I can confirm that:

- All salaries were used in accordance with the ARC Funding Rules and Funding Agreement, unless otherwise approved by the ARC.
- All Special Conditions were adhered to, unless otherwise approved by the ARC.
- No non allowable items were purchased using ARC funds.
- All funds have only been spent for the purpose for which they were provided, unless otherwise approved by the ARC.
- As the Administering Organisation for the End of Year Report/s that are being submitted, all unspent funds, regardless of their location, have been accounted for and reported to the ARC within the End of Year Report/s.
- I understand that by providing false information to the ARC, the ARC may impose penalties, including recovery of funds or termination of a Project.
- If a Final Report has already been submitted and assessed by the ARC, stating that the following Project/s have been completed, that I am not requesting a carryover of funds into the next calendar year.

I am also able to provide additional information and documentation with regards to the End of Year Report/s, upon ARC's request.

Agree to certification Cancel

The EOYR Delegate must select the ‘Agee to certification’ for each EOYR before they can be submitted to the ARC.

Submission to the ARC

Action Centre / Research Office Project Reports

Draft Proposals Proposals Rejoinders Projects Variations Monitoring Reports Final Reports

Report 2018 - End of Year Report

Scheme -- Select --

Search Project ID/Title/Investigator/Organisat

Status All States

Bulk Submission

Select All Deselect All Submit Selected Reports to Delegate Submit Selected Reports to ARC

Submission of EOYR’s to the ARC can be submitted by the EOY Delegate or Research Office staff with RMS access once Certified by the EOY Delegate and can be done in two ways:

- To submit individual/blocks of reports to the ARC, select the Project/s that are required to be submitted to the ARC and select ‘Submit Selected Reports to ARC’.
- To submit reports in bulk, click the ‘Select All’ button and then select ‘Submit Selected Reports to ARC’.

Once submitted to the ARC, the progress of the EOYRs can then be tracked using its status in RMS.

Frequently Asked Questions

Some information on screen maybe incorrect, how can this be adjusted?

For any queries regarding the information on screen, please contact the Post-award team ARC-Reports@arc.gov.au. Make sure to include the Project ID and the details of the issue.

What is a carryover?

A carryover may occur when there is remaining ARC funding for a Project unspent in a calendar year. Funds may be made available to spend in the subsequent calendar year through the approval of a carryover request via the EOYR process. Funds not spent and not approved for a carryover may be recovered* by the ARC.

**A recovery occurs when unspent ARC funding is repaid to the ARC. When funds have not been spent and there is no approved carryover, ARC funding will be recovered.*

How many years can a carryover be requested for?

The ARC will normally only allow a carryover to be approved for up to three years after the original funding years, or equivalent years if a deferred commencement is approved by the ARC. Extensions will only be allowed beyond this if there are extenuating circumstances, such as an extended period of leave or suspension approved by the ARC.

Are the limits on Fellowships/Awards enforced by the ARC?

Yes. The ARC will check to see if the Fellowship has been undertaken in the number of years allowed as per the ARC Agreement, plus any period of leave or suspension approved by the ARC. For example:

- DECRA/Future Fellowships (FT09-FT12) - six years
- Future Fellowships (FT13 onwards) – eight years
- Australian Laureate Fellowships/Future Fellowships (FT13 onwards) - eight years

Does RMS show if an EOYR has been approved?

The status of the EOYR will appear as “Accepted” in RMS.

What circumstances might cause a carryover request to be rejected?

Projects that have been completed, terminated or relinquished cannot carryover any unspent funding. Funds can also not be carried over if the Final Report has been submitted or if the ARC has not approved the Project to go over the allowable timeframe (as listed above).

Can carryover funds be spent before the ARC has approved it?

The ARC will allow funds to continue being spent, however it is the responsibility of the Administering Organisation to ensure that by doing so, the Project has not gone beyond the allowable timeframe (as listed above).

What if the ARC approved a deferment of commencement? Does this change when the limits are calculated?

The number of active years are calculated based on the ARC approved start date in RMS. If there has been an ARC approved deferment of commencement, the ARC will calculate the number of years the project has been active from that date.

Can additional information be included in the EOYR?

There is an optional Research Office Comments field in every EOYR. This field is limited to 250 characters and should contain notes from the Research Office to ARC staff only.

What if there was an overspend on the Project?

The ARC will not reimburse overspends and the funding should be reported as fully expended in the EOYR. RMS will not accept negative figures.

Can the University salary contributions be charged to the ARC Project and then the University just pay the difference in the final years?

No. This is a breach of the ARC Agreement and will be treated as fraudulent activity if it is found that the Administering Organisation has not acquitted the salary correctly. Any Administering Organisation found to undertake this practise risks losing the funds for these projects.

When should salaries be acquitted?

Salaries should be acquitted each and every year. It is the responsibility of the Administering Organisation to ensure funds are accurately expended and acquitted each year and this activity is not withheld until the end of the Fellowship/Award/Project.

When does a Progress Report by exception need to be submitted?

If no additional changes or issues have affected the Project than those already reported to the ARC, then a report does not need to be submitted and 'no' should be selected. If changes are made to the project without the ARC approving a Variation, then a report will need to be submitted.

Example:

If a Project has been approved by the ARC to be transferred and the Project was able to be resumed at the new Administering Organisation within the originated timeline expected, then the first question may be answered as 'no'.

However, if the approved transfer resulted in unexpected delays that significantly affected the Project's progress, then the first question should be answered 'yes'.

Who can submit to the ARC?

Those with Research Office Staff role access in RMS can edit, save information and can submit EOYRs to the ARC once they have been certified by the EOY Delegate. Only EOY Delegates can certify EOYRs. If an EOY Delegate has both access levels, they can enter details into RMS and submit directly to the ARC.

A maximum of two EOY Report Delegates should have been nominated from each Administering Organisation. Each Delegate **must** have the appropriate financial/legal delegation within their University to certify the reports and cannot be granted to a lower level staff member. If the EOYR Delegates needs to be updated for the Administering Organisation, please contact the ARC (ARC-Reports@arc.gov.au). The ARC has the right to not accept a nomination for an EOY Delegate if we believe that the person does not have the appropriate delegate authority.

What if a Project finished in 2019, does an EOYR still need to be completed?

An EOYR must still be completed for any Projects that were completed in 2019 if any funds were spent in 2019 (including any carryover from 2018) or retained at the Administering Organisation.

If the Project has any ARC funds to be recovered, select reason code 'Recovery' and include a comment noting that the Variation request has been or will be sent to the ARC.

What if a Project was transferred in 2019, does an EOYR still need to be completed?

An EOYR must still be completed if any funding was reported as spent in 2019 in the transfer documentation.

Enter the 2019 expenditure in the 'Amount Spent' field, select reason code 'Project Transfer' and include a comment noting that the Variation request has been approved by the ARC.

What if there is a mistake in the EOYR and it needs to be changed?

Email ARC-Reports@arc.gov.au to request a report be resubmitted back to the Research Office. However, if the Report has been accepted by the ARC, the change will have to be made manually outside of the EOYR application. Any issues from previous years' reports may also be able to be fixed manually but must be done directly through the Post-award team (ARC-Reports@arc.gov.au) via a Variation request as per the ARC *Research Office instructions for completing and submitting a Variation and/or POACR*, available on the ARC website.