




DOCUMENT TYPE	D	
ACADEMIC	1	
RESEARCH AND RESEARCH TRAINING	3	
GRANTS AND FUNDING	5	
NUMBER	003	
		Policy Database Document Reference Number 135003D

RESEARCH CONTRACTS, GRANTS, CONSULTANCIES, COLLABORATIONS AND JOINT VENTURES PROCEDURES

Parent Policy Title	Contracts, Grants, Consultancies, Collaborations and Joint Ventures Policy															
Associated Documents	Personal Outside Work Procedures Contract Signing Delegation Procedures Coversheet for Applications for External Research Funding Contract Proposal Form Business Case for Participation in Joint Ventures Form Contract Proceeds Request Form															
Preamble	<p>The University's research and other relations with external organisations should be formed and approved in accordance with clear principles and consistent criteria.</p> <p>Commitments can only be made to other organisations to undertake research and other services if all resources required to undertake the work have been identified and the cost of performing the work has been determined. Decisions about prices to be charged or costs to be recovered must be based on consistent principles that comply with all relevant legal requirements and codes.</p>															
General	<p>Contracted services or duties to be performed by a staff member on behalf of the University for another person or body and work to be undertaken under any grant funding agreement must be approved by authorised officers of the University. Income from contracts and funding agreements must be dealt with in accordance with these Procedures.</p> <p>These Procedures are to assist staff members of the University in planning projects with external organisations and to assist officers of the University who are required to approve proposals to ensure that the necessary resources are available to perform the work and that costs have been fully identified. All proposals for Contracts and Consultancies must be costed in accordance with these procedures.</p>															
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1. Contract proposals	Proposals for all externally funded research projects except applications for competitive grant funding must be set out in writing using the Contract Proposal Form or containing substantially all of the information required in the Form and lodged with Research Services. All resources required to undertake the proposed project must be identified and costed in accordance with the Research and Consultancy Costing and Pricing Procedures.
2. Costing Contract Proposals and Grant Applications	Staff members proposing to undertake research or consultancy services or collaborative research on behalf of the University under a University Contract or Consultancy or research under a competitive grant must ensure that the proposed work is properly costed in accordance with the Costing and Pricing Guidelines for Research. Costs include direct costs, including all academic staff time, and indirect costs calculated using the current University multipliers. Costs must be fully identified and declared in the course of obtaining approval for a contract proposal or grant application. In the case of Contract Proposals, cost estimates must be certified by the relevant Faculty Resource Manager.
3. Pricing Proposals and Grant Applications	<p>In the case of Contract Proposals, if it is proposed to charge less than the full cost a justification must be provided based on specific benefits to the University, which may include commercial benefits or academic or reputational benefits. In all circumstances the pricing decision must comply with competitive neutrality requirements, where applicable, in accordance with the Costing and Pricing Guidelines. Pricing proposals must be endorsed by the relevant Delegate.</p> <p>In the case of grant applications the funding sought must include direct costs and a recovery for indirect costs at the applicable rate in accordance with the Costing and Pricing Guidelines unless:</p> <ul style="list-style-type: none"> (a) the Delegate has waived the indirect cost recovery; or (b) the grant is a Competitive Grant; or (c) the published conditions of the granting body to whom the application is to be made explicitly exclude recoveries of indirect costs.
4. Approval of Contract Proposals and Grant Applications	<p>Contract Proposals and grant applications will not be approved unless certified by the Delegate using the Coversheet for Applications for External Research Funding (http://www.latrobe.edu.au/rgso/coversheet.html).</p> <p>Contract Proposals may not be approved by a person other than the officer with the delegation to sign the relevant contract or funding agreement should the proposal or application be successful.</p>
5. Contract signing	Contracts may not be signed by any person except an officer authorised under the Contract Signing Delegation Procedures.
6. Income and contract proceeds	Income under contracts must be paid into the University's bank account and managed in accordance with the University's business procedures and any contractual conditions pertaining to use of funds.

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	<p>Subject to any contractual conditions to the contrary, the Delegate may approve the distribution of Net Proceeds: either to be used as discretionary funds in support of the teaching or research activities of the staff members involved in performing the contract; or as a personal payment through the payroll.</p> <p>Requests for the distribution of contract proceeds must be certified by the Project Leader and the Delegate. The Contract Proceeds Request Form must be used for this purpose.</p>
Status	<p>Approved by Council, 7 September 2009, Minute 393.8.2. Revised Content, prior approval Council 12/1999, m.323.2.2. This version of these procedures supersedes all previous versions.</p>
Approval Body	University Council
Initiating Body	Research and Graduate Studies Office
Definitions	<p>Net Proceeds means financial proceeds of a contract remaining after the contract has been acquitted and all costs directly arising from the performance of the contract have been met and the relevant infrastructure charge has been deducted.</p> <p>Project Leader means the staff member proposed to be primarily responsible for the services or duties to be performed under a contract.</p>
Date Effective	7 September 2009
Next Review Date	30 th June 2011
Keywords	Contract, Consultancy
Owner/Sponsor	Deputy Vice-Chancellor (Research)
Author	Commercialisation Manager
Contact person or area	<p>Peter Janssen p.janssen@latrobe.edu.au</p>