Research Infrastructure Scheme & ARC LIEF

Post-Award Information Session
30th November 2018

Grainne Moran, PVC (Research Infrastructure)
Julia Muenchhoff, Senior Project Officer, Research Infrastructure
Alper Yasar, Project Officer, Research Infrastructure
William Lao, Senior Project Officer, Research Services
Petr Prazan and Camille Soncini, Strategic Procurement
Estate Management
Topics Covered

- Summary of grant outcomes
- Brief information for LIEF recipients (both UNSW-led and where UNSW is a collaborator)
- Cancer Institute NSW equipment grants
- RIS outcomes – FAQ
- RIS reporting requirements
- Support for your RIS project
- Procurement (Petr Prazan/Camille Soncini)
Congratulations on being funded!

69 RIS applications funded:

- 52 Faculty projects
- 9 MWAC projects
- 1 cross-Faculty or Faculty/MWAC projects
- 2 new Network Labs and 5 continued Network Labs
  - 2 Engineering, 2 Science, 1 FASS, 1 A&D, 1 Business

ARC LIEF: 3 out of the 12 UNSW-Led proposals were successful
ARC LIEF – Multi-Institution Agreement (MIA)

LIEFs led by UNSW

ARC requires a multi institution agreement to be in place before funds can be spent: G08 has a template MIA for LIEF

The GMO will automatically initiate the MIA process and send to lead UNSW CI to check contributions and arrangements

The GMO will send to collaborating universities and arrange signatures. This can take months

If anyone needs to act urgently due to quote validity or foreign currency, please advise and we can fast track

For urgent hedging of foreign currency or advice on currency risk – contact Treasury (more on this later)

Once MIA is signed, the GMO will set up accounts to release ARC and UNSW funding
ARC LIEF – Multi-Institution Agreement (MIA)

Non-UNSW led LIEFs

ARC requires a multi institution agreement to be in place before funds can be spent

If you receive an MIA from the lead organisation, please send to the GMO

GMO will coordinate review and provide feedback to UNSW CI and the lead organisation

GMO will arrange UNSW signature

Once MIA is signed, GMO will set up accounts to release ARC (where applicable) and UNSW funding
ARC LIEF – General points for next round

Start now – NOI/EOI deadlines usually range from late January to mid-February

• UNSW NOI deadline: Early Feb 2019
• Many other universities have earlier deadlines than UNSW

An NOI to UNSW is needed if you are partner on a LIEF led by another University – since you will need approval of matching funds

Re-submit of unsuccessful LIEFs can be a good strategy – but get advice and support on where improvements can be made

Informal ARC LIEF information session for LE20 potential applicants

Friday 7th December: 1:30pm Room 251 Robert Webster
Cancer Institute NSW – Research Equipment Grants

Dates for 2019 round not yet announced but 2018 round opened in January and closed in March
RIS Award FAQ

Why is my allocated budget less than requested?
• Last project in the fundable range for your Faculty
• GST or ineligible items included (e.g. site fit out, salary of research management staff)
• No competitive quote: individual items rather than ”package deal”
• For Network Labs: The Specialist Panel requested to fund for 2019 only.

When will my funds be released?
• Projects have been set-up at the time the award letter was sent
• Funds will be released in January 2019.

Can funds for 2019 one-year projects carry forward to 2020?
• Yes, allocation to RF444 project code allows for carry forward BUT needs to be justified and requested during the reporting period.
RIS – Further tightening up on compliance

Formal quotes and signed site checklists need to be attached to the application. Do not include casual email correspondence as a quote.

Salaries are awarded based on UNSW salary rates – use the salary calculator provided. Make sure the necessary adjustments for step-increases and indexation have been factored in. Any under-quoting of salaries will not be corrected.

Do NOT request ineligible items! This may impact the overall eligibility of your proposal.

Do NOT include GST!

Ensure you are not named on more than the maximum number of RIS proposals permitted per applicant.

Adhere to all deadlines, which will be enforced more strictly in 2019.
RIS requires annual reporting

Reporting is very simple and short.

Reporting is to fulfill our obligations to the University Executive and Council: RIS allocates approx $12M p.a. of strategic funds

Requests for extension to the project need to be made via the annual reporting process

Information from the reports will be used to establish a register of equipment / infrastructure funded under RIS

The register will be made available on the RIS website and will be updated following each round of the scheme
Reporting process

Annual reports are collected via Survey Monkey, or for Network Labs via a Word document.

The GMO Operations team will contact Lead Investigators in late November/Early December 2019 to request reports.

Any requests for extension to the project need to be made via the annual reporting process.

Reporting needs to be completed annually for each RIS project you hold, for as long as the project remains open.

*Reporting for RIS funds released in 2019 are due 31st January 2020*

*You can preview report questions at:*

https://research.unsw.edu.au/reporting-projects-funded-under-unsw-research-infrastructure-scheme
When starting your project:

Follow UNSW’s Procurement Policy – more to follow later

Be aware of compliance issues:
• Consult RECS prior to purchasing any items potentially requiring ethics approval
• Consult RECS for drones

Be aware of any space and installation issues:
• Funds not to be used for general site fit out / refurbishment
• Sensors, monitoring cameras … and anything that you install on campus outside of your own lab: seek approval
  – From EM for campus / roof / building installations

If in doubt – please ask!
Resources

**PVCRI:**
Resources (including these slides) are available on the Research Infrastructure website at:

https://research.unsw.edu.au/unsw-research-infrastructure-scheme

Enquiries: pvcresin@unsw.edu.au or x57785.

**GMO:**
GMO website:

https://research.unsw.edu.au/grants-management-office

Enquiries: mygrants.gmo@unsw.edu.au

**Strategic Procurement:**
Specialist support for Major Equipment and for IT procurement:

https://www.fin.unsw.edu.au/services/buying

Enquiries: financehelp@unsw.edu.au

**Research Ethics and Compliance Support:**

https://research.unsw.edu.au/recs
Procurement

How to manage the procurement of your equipment / infrastructure and get the best research value for your project funds

- Procurement process – and complying with the policy & guidelines
- Foreign exchange / currency variation risk
- Cold storage (freezers) projects must get advice from the Cold Storage Manager, Paul O’Brien
- Special RFI process for lab equipment this year
Procurement
30th November 2018

Camille Soncini & Petr Prazan – RME Procurement
If UNSW RFQ template used for the grant application and received quotes still valid (commercially and specification) Then, you are here!
What does the procurement process look like?

- Visit our Website: [https://www.fin.unsw.edu.au/services/procurement](https://www.fin.unsw.edu.au/services/procurement)

**HOW DO I BUY?** (Buying reference guide)

**START HERE**

Is there a UNSW supplier capable of providing the specific category of goods or services?  
**YES**

- UNSW panel suppliers (applicable for all panels except UNSW panel suppliers for building contractors and major construction works – see next section)
  - Between $0 to $350,000 = minimum 1 written quote from 1 supplier from the panel
  - Between $350,000 to $1M = minimum 3 written quotes from 3 different suppliers from the panel obtained via an RFQ process
  - More than $1M = sourcing activity with all suppliers from the panel or other strategy approved by Procurement

- A purchase order must be raised and approved in NS Financials with quote(s) or supporting documentation attached. UNSW credit card should not be used.

**OR**

- UNSW panel suppliers for building contractors and major construction works
  - Between $0 to $100,000 = minimum 1 written quote from 1 supplier from the panel
  - Between $100,000 to $10M = minimum 3 written quotes from 3 different suppliers from the panel obtained via an RFQ process
  - More than $10M = sourcing activity with all suppliers from the panel or other strategy approved by Procurement

- A purchase order must be raised and approved in NS Financials with quote(s) or supporting documentation attached. UNSW credit card should not be used.

**NO**

- Is there a UNSW panel supplier capable of providing the specific category of goods or services?
  - **NO**

**Are the goods and services likely to cost less than $3,000?**
  - **YES**
    - No written quote but written evidence of price (e.g. screen snapshot, email) required
    - UNSW credit card may be used
  - **NO**

**Are the goods and services likely to cost between $3,000 to $50,000?**
  - **YES**
    - Minimum 1 written quote which represents best value for money is required
    - Credit cards may be used for training, conferences and travel payments subject to expenditure pre-approval as indicated in the *Credit Card Procedure*
  - **NO**

**Are the goods and services likely to cost between $50,000 to $350,000?**
  - **YES**
    - Minimum 3 written quotes or exemption approved by the *relevant financial delegate* within your reporting line for independent review and approval
  - **NO**

**Are the goods and services likely to cost more than $350,000?**
  - **YES**
    - Open sourcing activity or other strategy approved by Procurement
  - **NO**

- All amounts are exclusive of GST
- The amount must be estimated cost over the proposed term (including all extensions if applicable) of the engagement including supply, freight, installation, implementation, training and ongoing service, support and maintenance; this is not a cost per annum. The amount must not be divided into separate transactions for the purpose of bringing it below the threshold value.
- Use the *Procurement Decision Tool* to confirm next steps and assess risk and complexity.
What do we do?

Level of RMEP Team involvement tailored on a case by case basis:

- Involve RMEP as early as possible when value $\geq$ AUD 350k (excl. GST)
- If the equipment/system value is $\leq$350k, visit the Procurement website - [https://www.fin.unsw.edu.au/services/procurement](https://www.fin.unsw.edu.au/services/procurement) (Procurement Decision Tool)
- RMEP can provide one-off advice (negotiation tips, Incoterms, hedging, new forms advice…)
- Procurement & Financial delegate sign off Strategy (incl. tender exemptions) $\geq$ AUD350k / Relevant delegates sign off Strategy (< AUD 350k excl. GST)
- RMEP help you conduct RFx (RFI, RFQ, RFT), Agreement negotiations, etc.
- Report contract $\geq$ AUD150k (GIPA Act)
Common mistakes to avoid

**Fit for Purpose & Value for money**
- No Acceptance Testing
- Unclear / not written requirements
- Scope limited

**Risk mitigation**
- Incoterms
  - DAP or DDP at [address]
- Quote validity
- Quotation in AUD but subject to currency fluctuation
- 100% payment before delivery or SAT
- Applicable T&C’s (quote VS UNSW)

**Probity & Equity (compliance to Procurement Process)**
- Strategy or Purchase Order Agreement signed by wrong financial delegate
- Non-consistent level of information
- Order splitting

**Record keeping**
- Decision or technical assessment traceable
- Contract (PO) >150k incl. GST to be sent to UNSW Legal or Procurement

**PRINCIPLES**

**1. Grant application**
**2. Procurement**
**3. Contract Implementation**
**Service/Contract management**
Process overview

1. Grant application
2. Procurement
3. Contract implementation
4. Service/Contract management

Once You are here
Contract implementation

Seek help from your designated Finance Services Team

- **Raise PO**
  According to the relevant procurement process (attach quotes, procurement recommendation, signed contract…)

- **Monitor implementation**
  Ensure supplier is performing as per the agreement (commissioning, training…)
  If there is any change, assess if agreement variation is needed (contact RMEP)

- **Process invoices**
  Process invoices and payments as per payment structure negotiated
## Contacts

### Purchase order request

Please contact the relevant Finance Service for raising PO

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For further inquiries please contact Finance Helpdesk on x53330 or email financehelp@unsw.edu.au or see Guidelines, Policies and Procedures.

### Other request

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<th>Strategic Procurement</th>
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Thank you!
Questions?