Research Grant and Equipment Transfer Procedures

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Responsible Officer: Chief Research Development Officer

Preamble

This document outlines the procedures to be followed when a researcher is ceasing or has ceased to work at the University and seeks to transfer a research grant and/or equipment and materials obtained for the purpose of conducting the research to a new institution.

Definition

Equipment and materials is defined as any item of a permanent nature with a life expectancy of at least two years. Books, journals, glassware and plastic-ware, and materials, items or components purchased to repair an item of equipment are usually regarded as consumable items.

The decision as to what constitutes an item of grant-funded research equipment or materials that is the subject of a transfer request is a matter for the relevant College to determine on a case-by-case basis.

1. General Principle

The University will endeavour to ensure that grant funds and equipment are deployed in a manner which best achieves the outcomes expected from the research that has been funded.

2. Principles Relating to Transfer of Grants and Equipment

2.1 Where the terms of an externally funded grant address the issue of ownership and disposal of grant-funded equipment and changes to key personnel, including transfer of researchers and equipment to other institutions, the terms of the grant will apply.

2.2 All equipment purchased from internal University funds is the property of the University.

2.3 External research grants and equipment/materials purchased from such funds, and which are still needed for the prosecution of the staff member's research projects, may be transferred with a staff member transferring to another institution.

2.4 Requests to transfer external research grants held jointly with other staff members of the University and requests to transfer associated grant-funded equipment/materials will be the subject of specific
recommendations in each case, following wide consultation between all of the investigators named in the research grant application and the relevant Vice-President and Executive Dean (VPED).

2.5 Internal University research funds and equipment purchased from such funds may not be transferred. However, in the event that it can be shown that items purchased from such funds are not required by any other staff member, the transferring staff member may make a case for transferring the items, providing that the staff member or the staff member’s new institution reimburse the University the reasonable market value of any items to be transferred.

2.6 Requests to transfer items purchased with both external research funds and internal University funds will be the subject of specific recommendations in each case, following wide consultation by the relevant VPED or delegate.

2.7 Inter-institutional negotiations with respect to the transfer of grants and equipment will be undertaken by the Research Development and Support, in consultation with the relevant VPED or delegate.

2.8 Following commencement of employment, appointees are required to seek to reassign any external funding support of their research to Flinders University as the administering institution. The Flinders University Research Development and Support team will assist in this process.

3. Decision-Making Process in Relation to Requests to Transfer Research Grants and/or Equipment

The process to be followed in relation to a request by a departing staff member to transfer the administration of a grant and/or items of grant-funded equipment/materials to another institution are as follows:

3.1 It is the responsibility of the VPED or delegate, when advised of the pending resignation or retirement of a staff member to arrange immediately for the preparation by the staff member of an inventory of all grants, research equipment and materials under the supervision/control of the staff member. This list should be provided at least three (3) months before the expected date of departure (or as soon as practicable after the date of departure is confirmed). The list should identify any grants and/or research equipment/materials the staff member wishes to transfer to another institution.

3.2 The VPED or delegate shall:

(i) inform Research Development and Support about any grant that has been requested to transfer; and
(ii) request information from the Finance Business Partner about the depreciated value of any equipment that has been requested to transfer, if relevant.

3.3 Research Development and Support shall provide the VPED or delegate with:

- a copy of the grant application; and
- details of the nature and duration of funding.

The Finance Business Partner shall provide the VPED or delegate with:

- details of any staff paid from the grant;
- balance of grant funds to date; and
- details of any equipment purchased using grant funds.

3.4 The VPED or delegate shall seek initial agreement on the following, with particular reference to the relative time commitment of each investigator on the project:

- whether administration of the grant should be transferred to the staff member’s new institution (this would normally be the case for single investigator grants);
• for grants held jointly by multiple Flinders investigators, whether administration of the grant can remain at the University under the supervision/control of another Flinders investigator named on the grant, with the possibility of some of the grant funding being transferred for expenditure by the transferring staff member at the new institution;

• for grants held jointly by multiple Flinders investigators, whether administration of the grant should transfer to the new institution, with the possibility of some of the grant funding remaining at the University for expenditure by Flinders investigators involved in the grant;

• items to be retained by the University;

• items to be transferred, including dates from which items can be removed;

• payment for items to be transferred, if applicable, including the apportionment of any revenue to be shared between Colleges.

• a written record of discussions will be retained.

3.5 The VPED or delegate will forward agreement on the transfer of grants and/or equipment and the sale price, if appropriate, including the apportionment between Colleges of any revenue to be shared as per 5.2, to Research Development and Support.

3.6 In the absence of agreement, all information provided under 3.2 and 3.3 and submissions from all Flinders investigators named on the grant shall be submitted to the VPED or delegate. Each Flinders investigator shall be invited to provide information on what has been achieved to date in relation to prosecution of the project, what remains to be achieved, how it is to be achieved, with what resources and by whom. The VPED or delegate will evaluate evidence and argument, especially the relative time commitment to the project of each of the investigators and make a judgement as to how the grant funds and equipment should best be deployed in order to achieve the outcomes expected from the research that has been funded.

3.7 The VPED or delegate will advise Research Development and Support of any grant which has been recommended to transfer. Research Development and Support will liaise with any relevant external granting bodies to seek approval for the transfer of the grant.

3.8 A schedule listing equipment and materials which may be removed will be drawn up which, when signed by the VPED or delegate, will become the authority by which the equipment and materials may be removed from the University.

3.9 The schedule listing equipment and materials items for transfer shall be provided to the Chief Research Development Officer and will include information about whether ownership of the equipment is to vest in the new institution or is to be retained by the University.

3.10 Inter-institutional disputes involving the transfer of grants and/or equipment will be negotiated by the Deputy-Vice-Chancellor (Research) and Research Development and Support in consultation with the relevant VPED or delegate.

4. Removal of Equipment from the University

4.1 Where ownership of the equipment is to vest in another institution, it will so vest when the equipment is removed from the University to be transported to the new institution.

4.2 Approval of the removal of the equipment to another institution is subject to the following conditions:

(i) All costs of removal to the other institution will be met by:

• the grant, if the conditions of the grant so permit and if funds are available for the purpose in the grant, or

• the other institution.

(ii) Where the University will retain ownership of the equipment, all costs of returning the equipment to the University when the project ends and, if so required, reinstallation at its original site, will be met as in 4.2(i).
(iii) Costs of removal includes the cost of any structural alterations or minor works necessary to remove the equipment from its site and, if occasion arises, to reinstall the equipment when it is returned to its original site.

(iv) Insurance

- Where the ownership in the equipment is to vest in another institution, that institution is responsible for arranging all insurance it requires to cover the equipment from the time it is removed from the University.

- Where the University retains ownership in the equipment, the University will arrange insurance cover for the equipment while in transit to and from the other institution and while at that institution.

5. Revenue from the Sale of Research Equipment

5.1 Should the terms of the grant specify that research equipment may be disposed of only as directed by the grantor and the revenue generated by the disposal returned to the grantor, the terms of the grant will apply.

5.2 Where the University’s procedures apply, application of revenue received as reimbursement for transferred equipment shall be in accordance with the following principles:

- Where the research grant was a block grant to the College or research group, the revenue shall be available to that College.

- Where the research grant was for a specific project, the revenue shall be available to the College which the transferring staff member is a member.

- In any case where it appears that more than one Colleges entitled to share the revenue, the revenue shall be apportioned between those Colleges in such shares as the VPED or delegate determines after consultation with all stakeholders.

6. Grant Funding Shared between Institutions

6.1 Prior to transferring funds to another institution to support the activities on a grant that is administered by the University, the agreement of the other institution shall be obtained that the institution will comply with the funding body conditions, including the requirement to provide a financial acquittance of the funds so transferred at the end of the funding year.

6.2 Prior to expenditure of any grant funds received by the University, where the grant is administered by another institution, the University and the other institution shall each sign a letter of agreement containing details of the grant (investigators, title, funding source) and the amount of funding to be transferred to the University.