**ARC PROGRESS and CARRYOVER REPORT FORM**

**FOR ARC-FUNDED PROJECTS ACTIVE IN THE YEAR 2016**

This template must be completed for all ARC projects active in 2016. The ARC has recently updated their reporting requirements to state that a Progress Report must still be completed for 2016 *even if a final report is due later in 2017*.

Please forward your completed form to [Fin-Research@newcastle.edu.au](mailto:Fin-Research@newcastle.edu.au) by Monday 27 February 2017.

You should have received an email from Financial Services with your account balances which indicated whether a Carryover is required for 2016. For further information please contact your Research Accountant.

1. **PROJECT IDENTIFICATION**

(Copy and Paste from email from Amanda Hampshire)

*Project ID:*

*Project Leader:*

*Cost Collector:*

If dates have changed from those in email

|  |  |
| --- | --- |
|  | ***Details of Changes*** |
| *Actual Start Date*  *Please only complete the start date if project started in 2016* |  |
| *Anticipated End Date* |  |

**\*Note that FRS will not allow spending beyond the recorded grant end date**

**2. CARRYOVER JUSTIFICATION**

|  |  |
| --- | --- |
| *Carryover required* | Yes / No |
| *Amount Spent* | $ |
| *Net Surplus/(Deficit)* | \*$ |

***\*****The carryover amount may vary if funding transferred to another institution has not been completely spent in 2016. Finance will advise once information from other institutions has been received*

**IMPORTANT: Carryover of funds may affect CI eligibility on other ARC grants. Please ensure each CI has not exceeded the maximum number of allowable grants.**

The ARC has compiled a list of standard reasons for carrying funds over to the next year. If the unspent funds are to be recovered, indicate this by selecting reason code ‘Recovery’.

**Note:** If expenditure has been incorrectly charged to another Project account you must amend this amount internally prior to the completion of this form. Please contact [your Research Accountant](mailto:FIN-Research@newcastle.edu.au) for assistance.

For the carryover of any funds the ARC requires one or more of the following codes to be selected. Please place an ‘x’ beside only the most relevant reason/s.

|  |  |  |
| --- | --- | --- |
| **Reason for carryover of funds / Extension of end date** | | **Selected Reason** |
| Late Project start | Project started late (e.g. due to late signing of agreement/s; ARC approved deferment; moved from overseas) |  |
| Late Student Start | Late commencement of HDR Student. |  |
| Late Staff Start | Late commencement of staff. |  |
| Leave/suspension | Investigator/s and/or students and/or support staff took leave/ suspension/ maternity leave. |  |
| Named Personnel resigned | Unexpected resignation of named staff. |  |
| Student resigned | Unexpected resignation of student. |  |
| Work Hours Change | Change in work hours (% of FTE) approved by ARC or Administering Organisation. |  |
| Project Transfer | Project transferred during the reporting period. |  |
| CI Movement | Disruption due to movement of named investigators. |  |
| Seasonal Fieldwork | Seasonal nature of fieldwork (e.g. wet season, migratory practices, remote community access 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. |  |
| Task Rescheduling | Rescheduling of tasks due to change of budget/scope, resulting in expenditure being moved into next year. |  |
| Other (must  specify reason) | If Other is chosen, a mandatory reason must be submitted. (Please provide details in the Research Office Comment field). |  |
| Recovery\* | 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. Please make sure to only include this reason if there are funds to be recovered by the ARC. |  |
| Transfer Correction | Correction in 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 |  |

**Extra Justification**

**There are two instances that a 750 character or less justification is required to be submitted:**

1. **Where there is a request to carryover 75% or more of the total 2016 ARC allocation**
2. **When there is a request to carryover the unspent portion of the previous year’s carryover funding (+12 months carryover)**

|  |
| --- |
| **Justification (750 character limit):** |

**3. SIGNIFICANT ISSUES**

Please answer the questions below and Research Services will submit to the ARC on your behalf. **Note that all CI1’s on ARC projects that were active in 2016 must complete 3.1 even if the project is completed and the account balance is $0.**

3.1 Were there any significant issues\* affecting the progress of the Project in 2016 that were not reported in a previous calendar year?

Yes  No

\*If a VFA (Variation to Funding Agreement) has been approved by the ARC and no additional changes or issues have affected the Project than those already reported to the ARC, then the question above may be answered as ‘no’.

**If ‘Yes’ has been selected for either question 2.1 or 2.2, please place an ‘x’ beside only the most relevant reason/s.**

|  |  |
| --- | --- |
| **Progress Report Issues** | **Selected Reason** |
| Project was delayed as it was transferred during the reporting period and this significantly impacted the Project |  |
| Approved change to work hours (% of FTE) for a named Investigator on the Project resulted in changes to the end date. |  |
| Due to personal reasons member/s of the research team had to take time off the Project to attend to personal health/carer matters (does not include support staff). |  |
| Issues with Partner Organisation such as: contributions not yet received; change in staff; change in structure; Organisation left or joined the Project. |  |
| Changes within the research team such as Personnel left or joined the team (does not include support staff). |  |
| The scope/budget of the Project was altered to include/exclude tasks listed in the Proposal. |  |
| Equipment issues have delayed the Project during the reporting period. |  |
| Fieldwork issues have caused a significant delay to the Project during the reporting period. |  |

**4. CERTIFICATION**

**Signature below is only required if the report is not emailed from lead CI’s email address, which serves as certification.**

I certify that all details in this form are true and complete.

|  |  |  |  |
| --- | --- | --- | --- |
| Name: |  | Date: |  |

**This form must be returned to** [Fin-Research@newcastle.edu.au](mailto:Fin-Research@newcastle.edu.au) **no later than 27 February 2017.**