



Memorandum

UNIVERSITY OF TASMANIA

Pro-Vice-Chancellor (Research)

To: Deans, Heads of Schools, All Researchers

From: Professor Andrew Glenn
Pro-Vice-Chancellor (Research)

Date: 19 April 1999

Subject: **Penalty Schedule for Researchers Failing to Meet Contractual Reporting Requirements**

The instigation of penalties for failure to meet reporting requirements for a funded project is becoming more widely practiced by funding bodies.

The University of Tasmania is entering into the contracts with the funding bodies and therefore, ultimately responsible for ensuring that all obligations are met.

Written reports are normally one of the contract requirements. Often these reports are linked to financial payments also. Whilst funding bodies once were willing to continue with financial support even though reporting requirements may not have been met on time, this is becoming a thing of the past.

The Research and Development Office (RDO) provides a written reminder to the Chief Investigator (CI) approximately six weeks prior to the due date for report. If difficulties or delays have been experienced with a project, on receipt of this request the CI should request an extension in writing to RDO. This will avoid penalties being applied.

With funding bodies now strictly monitoring contractual reporting obligations, the RDO will also be actively pursuing any late reports. The ramifications of overdue reports is a serious issue when funding for the entire institution may be withheld because of one late report.

GPO Box 252-51 Hobart
Tasmania 7001 Australia
Telephone: 03 6226 2419
Facsimile: 03 6226 2744
E-mail: Andrew.Glenn@utas.edu.au

Upon notification by a funding body that penalties will apply to late reports, Research and Development Office will widely distribute this information to all researchers and in particular those researchers that may be affected.

I would like to remind researchers that common courtesy as well as contractual protocol require that we communicate with funding bodies regarding any unforeseen problems, delays beyond our control with an explanation and a proposed solution.

I look forward to never having to impose penalties but provide the following summary of consequences if the situation should arise.

Schedule of Penalties

Overdue Period	Consequences	Correspondence
4 weeks	No further funding applications will be processed by RDO for that CI	Notification to HOS, cc: PVC(R), CI, overdue report for CI, if not received within 4 weeks, that account will be frozen and any commitments, salary will have to be funded from elsewhere in school..
8 weeks	The account will be frozen	Notification to HOS and Financial Services, cc: PVC(R) & CI to notify of account freeze
12 weeks	No approval for new funding for CI will be processed by RDO, ethical clearance withheld, no access to laboratory animals	Notification to HOS, cc: PVC(R), CI, Secretary Ethics Committee, Curator of Animal House
16 weeks	All accounts for CI will be frozen	Notification to HOS, cc: PVC(R), CI that all CI accounts frozen and any commitments will have to be funded from elsewhere in the School
20 weeks	All accounts frozen, committee membership suspended, no approval for new funding for CI, no processing of applications for CI	Notification to HOS, cc: PVC(R), CI