

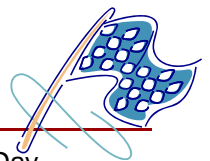


Research Administration Roles and Responsibilities

Research Administration Day RAD 103
May 31, 2012

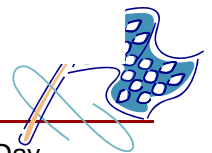
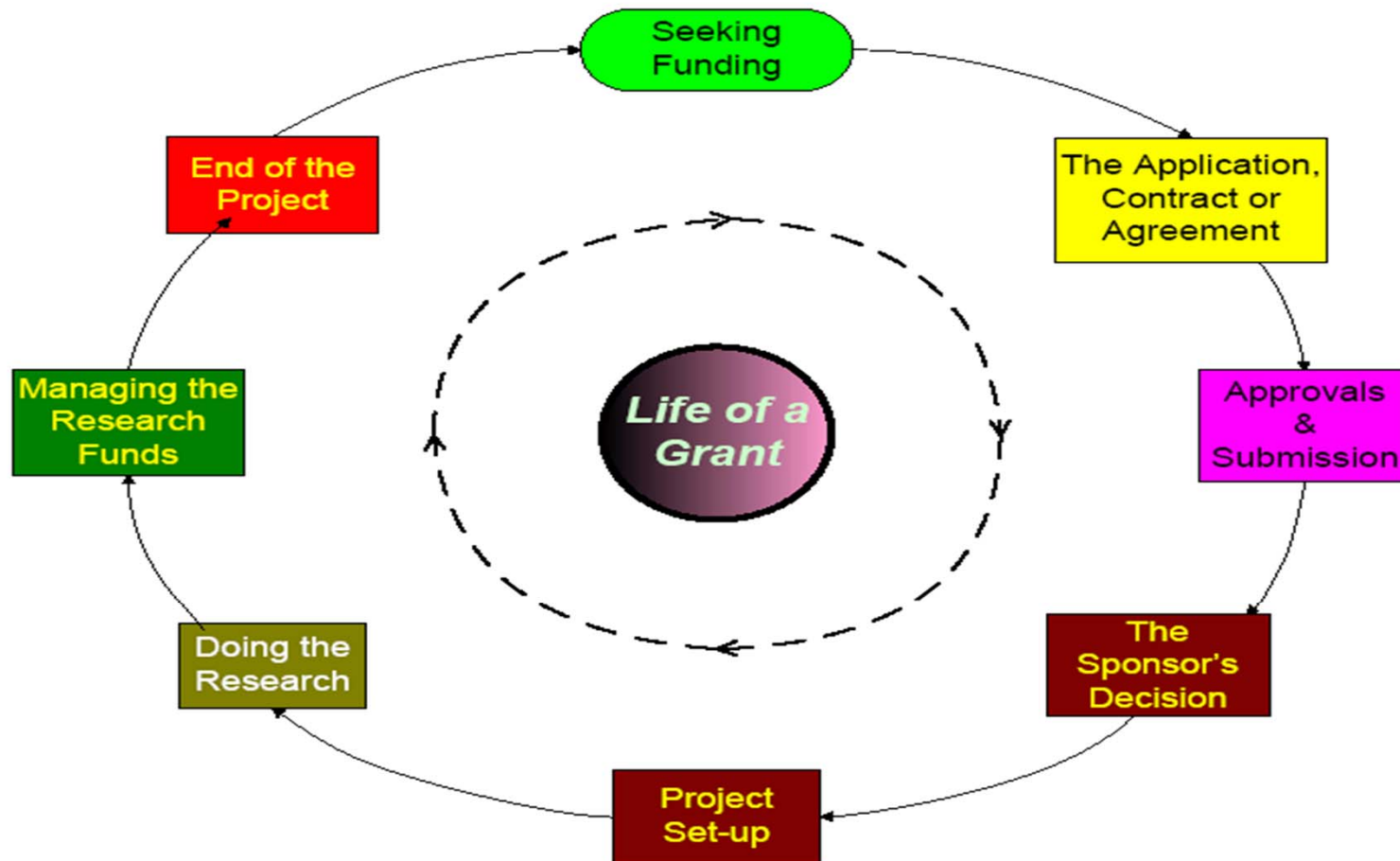
Martine Desrochers

Research Facilitator (Augustana,
Campus Saint-Jean & Native
Studies)





LIFE CYCLE OF A GRANT





THE APPLICATION (UAPPOL)

Researcher roles and responsibilities:

In general, the researcher is required to carry out research responsibly. Projects are carried out on behalf of “The Governors of the University of Alberta” in accordance with the negotiated, contractual terms (e.g. confidentiality, U of A Policies and Procedures On-Line (UAPPOL) handling of intellectual property, publication rights, graduate student rights, conflict of interest). The primary responsibilities of the researcher are:

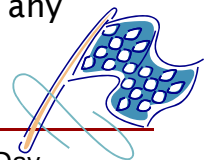
a. Preparing funding applications that:

- i. meet the requirements of the sponsor;
- ii. include the signatures of all co-applicants and their appropriate administrators;
- iii. budget for all direct costs;
- iv. include indirect costs where applicable; and
- v. identify in writing the space and other resource requirements.

b. Signing all applications, where the researcher’s signature denotes that:

- i. the researcher will abide by sponsor terms and conditions and the University’s policies and procedures; and
- ii. research involving human subjects, animals, biohazardous agents or radioactive materials will only be undertaken with prior approval of the appropriate University committee.

c. Disclosing any conflict of interest or potential conflict of interest at the time of the application or at any time during the term of the award.





THE APPLICATION (UAPPOL)

Faculty roles and responsibilities:

In general, Deans are responsible for supporting research activities in their Faculties.

a. the Dean and Chair must sign all grant applications, where the signatures denote:

i. the Faculty's willingness to administer the research funds in accordance with University policies and sponsor terms and conditions;

ii. their support of the proposed activity;

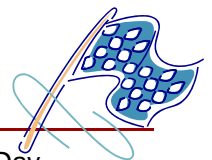
iii. the availability of space and other resources that the applicant has declared;

iv. the ability to provide administrative support to the research activity;

v. that the applicant is eligible to hold grants under University policy;

vi. that the applicant meets the sponsor's eligibility requirements; and

vii. where specified, agreement to the negotiated terms and conditions.



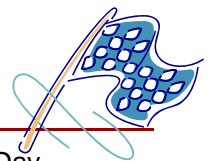


THE APPLICATION (UAPPOL)

Research Services Office (RSO) roles and responsibilities:

Applications and Award Processing, which includes:

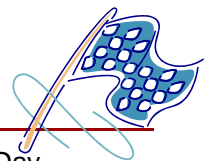
- i. providing assistance to identify potential sources of financial support for research projects;
- ii. maintaining website with comprehensive links to sources of funding opportunities (internal and external);
- iii. providing assistance in negotiation of contracts and multi-party collaborations;
- iv. negotiating, approving and signing research agreements and contracts on behalf of the University, where the signature indicates:
 - indirect costs have been included as allowable;
 - appropriate ethics approval has or will be secured prior to the release of funds;





THE APPLICATION (1)

- ❖ Sponsor Guidelines – Application Guideline and Forms
- ❖ Eligibility to Apply for and Hold Research Funding
- ❖ Registration with sponsor
- ❖ Notice of intent to apply (NOI) or Letter of intent (LOI)
- ❖ Application/proposal – result in grant/contract
- ❖ CV requirement (PI/Team)

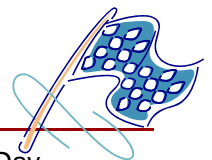




THE APPLICATION (2)

Researcher:

- ❖ Deadlines (open/closed/time zones)
- ❖ Eligibility (PI, co-applicants, collaborators, partners, institution) Willingness to administer research funds
- ❖ Availability of resources to carry out the research
- ❖ Eligibility (Research activity)
- ❖ Eligibility (budget/indirect costs)
- ❖ Format requirements





APPROVALS & SUBMISSION

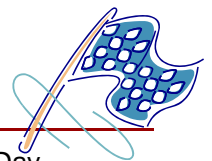
Signatures:

❖ Sponsor Requirements:

- Vary by sponsor – refer to guidelines

❖ Required by the University of Alberta :

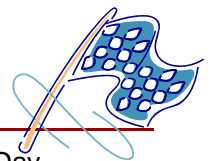
- Principal Investigator-Applicant and UofA Co-Applicants
- Department Chair for PI and Co-apps
- Faculty Dean (or Associate Dean Research) for PI and Co-apps
- Institutional Signature: RF-RSO on behalf of the University





APPROVALS & SUBMISSION (2)

- ❖ Signatures:
 - ◆ Registration
 - ◆ U of A Signatures not Required
 - ◆ Letters of Intent
 - ❖ Reviewed and Signed in 3 circumstances:
 - ◇ Required by Sponsor
 - ◇ LOI results in an Award (e.g., Development Award)
 - ◇ University is the Applicant
 - ◆ Applications, Proposals & Contracts
 - ◆ All U of A Signatures Required



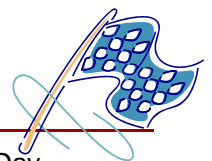


❖ Grants Characteristics:

- ◆ Project control lies with the researcher (curiosity driven)
- ◆ Unrestricted rights to publish results
- ◆ Ownership of any intellectual property resides with the research/University
- ◆ Sponsor is provided a copy of the final research report
- ◆ I/C is min 20% unless prohibited by sponsor

❖ Letter / Agreement (Terms and conditions)

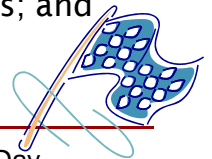
- ◆ Term (Start and end date)
- ◆ Payment terms (how, when, invoicing?)
- ◆ Reporting requirements
- ◆ Handling of unspent funds
- ◆ Other conditions





Agreement/Contracts Characteristics:

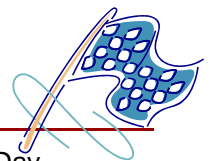
- ❖ Defined scope of work;
- ❖ Start and end date of project are defined;
- ❖ Payment may be made in arrears and tied to milestones/deliverables;
- ❖ Contains provisions for confidentiality of information as the Sponsor may be providing proprietary or confidential information to facilitate the project
- ❖ University retains the right to publish, but will allow a short delay for sponsor review for two purposes only:
 - Removal of the sponsor's own proprietary or confidential information; or
 - To identify and protect patentable intellectual property that may be disclosed in the publication
- ❖ Graduate student owns copyright of thesis -- possible delay in publication for up to one year;
- ❖ Background intellectual property and ownership are clearly defined;
- ❖ New intellectual property
- ❖ Warranty provision
- ❖ Equipment purchased under the contract by the University is owned by the University
- ❖ Termination provisions are included: the University requires a commitment of the sponsor to cover committed and un-cancellable costs if the project is terminated early;
- ❖ Insurance and indemnification provisions are included to protect the University, staff and students; and
- ❖ Indirect cost assessment is a minimum of 20% of direct costs





SPONSOR'S DECISION

Where is my speedcode????





THE SET UP (UAPPOL)

Researcher roles and responsibilities:

- ii. research involving human subjects, animals, biohazardous agents or radioactive materials will only be undertaken with prior approval of the appropriate University committee.
- c. Disclosing any conflict of interest or potential conflict of interest at the time of the application or at any time during the term of the award.

RSO roles and responsibilities:

indirect costs have been included as allowable;

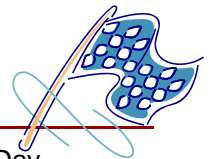
- appropriate ethics approval has or will be secured prior to the release of funds; U of A Policies and Procedures On-Line (UAPPOL)
- approval of any required institutional commitments (e.g. matching funds);
- required approval signatures have been obtained from researcher(s), Chair(s), and Dean(s).

v. processing notices of award from sponsors;

vi. communicating to researchers and faculty on sponsor decisions and administrative requirements related to awards;

vii. establishing accounts (Projects) for successful awards and providing account maintenance over the life of the awards and beyond as necessary; and

viii. arranging for sub-awards with other institutions

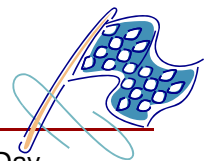




SPONSOR'S DECISION

- ◆ RSO is usually the first point of contact for sponsor/agency competition results
- ◆ In some cases it is only sent to the Researcher
- ◆ Upon receipt of notice of decision (Notice of Award, Award letter)
 - ◇ Principal Investigator (PI) notified of decision as well as ADR/Dean, Chair, RF, administrators
 - ◇ Initial reminder to PI re: certification requirements
 - ◇ Central RSO Database updated

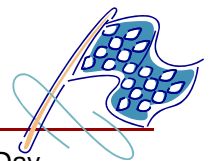
Always check with your RFO to ensure prompt initiation





PROJECT SET-UP

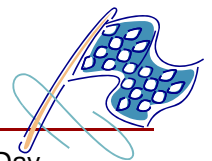
- ❖ **To Authorize Set-Up of Financial Project RSO must first review/confirm the following:**
 - ◆ University policies and procedures
 - ◆ Sponsor/agency guidelines/terms and conditions
 - ◇ Award requirements
 - ◇ Timelines (watch start/end dates)
 - ◇ Determine future financial requirements for RSO Finance Analysts
 - ◇ Eligible costs, including indirect costs
 - ◇ Intellectual property (IP) conditions
 - ◇ Publication rights
 - ◇ Matching funds, collaboration requirements
 - ◇ Risk management
 - ◇ Student rights





PROJECT SET-UP (2)

- ❖ **Certifications and Approvals:**
 - ◆ Many types of research require certifications or approvals
 - ◇ **BEFORE** the research can begin and
 - ◇ **BEFORE** project can be authorized!!
 - ◆ Approvals are individual to each award as a general rule - The researcher cannot have standard or blanket certifications to cover all awards



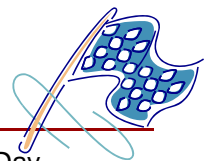


PROJECT SET-UP (3)

❖ Authorizing Funding:

- ◆ Once documentation in place ...
 - ◇ Terms and conditions acceptable to University
 - ◇ MOU for Tri-Council and related contributions matching funding
 - ◇ All documents signed
 - ◇ Certifications on file at RSO

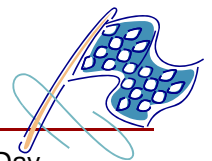
- ◆ RSO prepares a Project Authorization and submits to RSO “set up” administrator





PROJECT SET-UP (4)

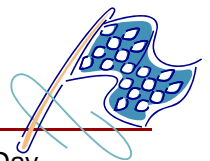
- ❖ The “set-up” administrator at RSO will:
 - ◆ Perform initial “project” set-up requirements in the financial system (Grants 2.0)
 - ◆ Prepare and distribute advice notice
 - ◇ Sent by e-mail to researcher, copy to departmental Faculty administrators and RFO
 - ◇ Process budgets, advance funds, and/or bill sponsor as required
 - ◆ Record future financial requirements for use by RSO Finance into financial database (Grants 2.0)





PROJECT SET-UP

- ◆ Research funds become available for use
- ◆ Researcher now has a *speed code*!!





DOING THE RESEARCH (UAPPOL)

Researcher roles and responsibilities:

d. Exercising financial control over research funds, including:

i. approval of all expenditures where such approval indicates that expenditures are

- associated with the project or program for which the award is made;
- eligible in accordance with the terms and conditions of the agreement;
- necessary to the research endeavour being undertaken;
- reasonable and conform with the financial guidelines of the sponsor and University;
- incurred within the eligible dates of the agreement.

ii. submission and retention of original documentation; and

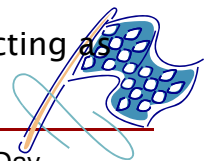
iii. review and approval of financial reports.

e. Delegating signing authority in accordance with University policy, where such delegation is in writing and retained on file.

f. Being personally responsible for any expenses in excess of available award funds, including ineligible costs and revenue lost due to failure to meet the terms and conditions of the agreement.

g. Managing and supervising research personnel by:

i. abiding by University policies and procedures including those relating to Human Resources where acting as a supervisor; and

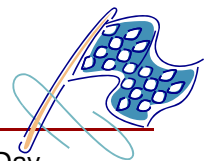




DOING THE RESEARCH (UAPPOL)

Researcher roles and responsibilities (2):

- ii. ensuring all staff and students engaged in the research are fully informed of and agree to be bound by the terms and conditions of the award.
- h. Submitting all required reports and deliverables to the sponsor in accordance with the terms and conditions of the agreement.
- i. Advising the Faculty office, Research Services Office and sponsor of:
 - i. any change in academic status, (e.g. extended, sabbatical or sick leaves);
 - ii. any significant change to the research program that was originally approved, including any impact on certifications; and
 - iii. any other changes that may impact the terms and conditions of the agreement.





DOING THE RESEARCH (UAPPOL)

Faculty roles and responsibilities :

c. The Faculty is responsible for implementing effective systems to ensure that:

- i. research is carried out in compliance with University policies and sponsor terms and conditions;
- ii. all research has the appropriate certification approvals;
- iii. researchers provide research deliverables and reports; and
- iv. potential conflicts of interest are addressed.

d. The Faculty is responsible for implementing internal control procedures for:

- i. monitoring grant finances; U of A Policies and Procedures On-Line (UAPPOL)
- ii. ensuring action is taken to address

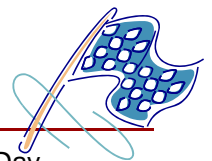
- potential or actual over expenditures (failure to act promptly would be interpreted as tacit approval for the overexpenditure. Where the Faculty has approved an over-expenditure, any unresolved balances will be the responsibility of the Faculty.);

- potential conflict with sponsor terms and conditions and University policies;

- eligibility of expenditures;

- Project end date management; and

- dormant account review.





DOING THE RESEARCH (UAPPOL)

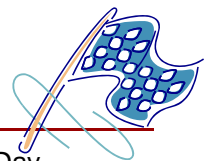
RSO roles and responsibilities :

b. Ongoing Grant Management, which includes:

- i. providing assistance to researchers and other University staff on administrative processes; and
- ii. liaising with sponsors to ensure compliance with the most recent guidelines and to resolve conflicts and concerns (where applicable).

c. Financial administration, which includes:

- i. administering and accounting for research funds received by the University;
- ii. generating invoices during life of the award in accordance with the sponsor terms and conditions;
- iii. preparing and submitting financial reports to sponsors, including institutional awards;
- iv. coordinating researchers' progress reports to sponsors and for institutional awards;
- v. monitoring over-expenditures on behalf of the University and providing regular reports to executives and Faculties;
- vi. coordinating research-related audits; and
- vii. processing indirect cost allocation where indirect costs are provided for within the grant award or contract.





DOING THE RESEARCH (UAPPOL)

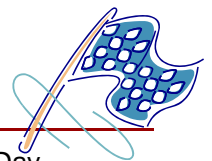
RSO roles and responsibilities (2) :

d. Administering Institutional Awards, which includes:

i. administering various internal funds and awards;

ii. administering the submission of various institutional awards on behalf of the University (e.g. Canadian Foundation for Innovation, CRC Chairs); and

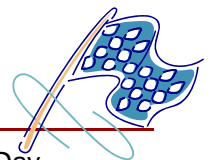
iii. exercising financial control over funds received from institutional awards, including monitoring and approval of all transactions.





DOING THE RESEARCH

- ❖ Sponsor guidelines and University policies:
 - Research Personnel – Hiring, training and supervision (Staff and Students)
 - Purchasing – supplies and equipment (e.g. competitive bid process)
 - Signing Authority and delegation of signing authority
 - Travel – conferences (dissemination of research), field work, etc.
 - Certifications – annual renewals
 - Scientific Reporting – progress and final reports





DOING THE RESEARCH (2)

- ❖ **Sponsor guidelines and University policies:**

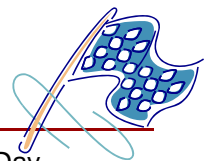
Documentation – “Original data must be retained by the PIs for a minimum of 5 years or such longer periods required by the funding agencies”

- ◆ **Research and Scholarship Integrity Policy**

- ◆ **Major deviations to research – prior authorization from sponsor is required for:**

- ◇ Significant deviations in proposed activities and research team
- ◇ Significant deviations in proposed budget
- ◇ Major changes in research objectives

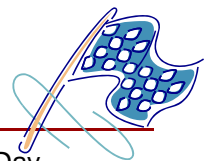
- ◆ **Conflict of Interest**





MANAGING RESEARCH FUNDING

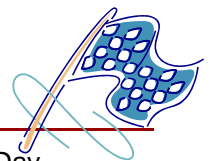
- ❖ Sponsor guidelines/policies
- ❖ Memorandum of Understanding (Tri-councils)
- ❖ University of Alberta Policies and Procedures Online (UAPPOL)
- ❖ Personnel, purchasing, travel, signing authority, documentation, conflict of interest, over expenditures, etc.





MANAGING RESEARCH FUNDING (UAPPOL)

- ❖ Researcher Responsibilities (Post Award):
 - ◆ Sponsor terms and conditions
 - ◆ U of A policies/procedures
 - ◆ Certifications
 - ◆ Conflict of interest
 - ◆ Supervise and manage personnel
 - ◆ Notification of change of status (appointment, sabbatical, leaves)
 - ◆ Other changes that may impact terms and conditions of award
 - ◆ Designate signing authority

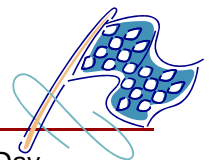




MANAGING RESEARCH FUNDING (4)

❖ Accountability

- ◆ The University and researchers are accountable to the sponsors for the proper use of research funds in accordance with:
 - ◇ Sponsor terms and conditions
 - ◇ University policies and procedures (UAPPOL)
- ◆ To maintain eligibility to administer sponsor funds
- ◆ As a Research Community we are accountable to our organization, the University of Alberta, for the appropriate use and reporting of research funds.

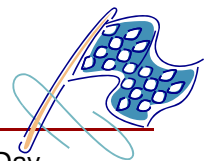




MANAGING RESEARCH FUNDING

Administrative Units

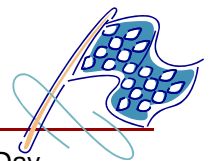
- ◆ Provide administrative assistance to the researcher
- ◆ Monitor compliance with U of A policies and procedures (internal control)
 - ◆ Authorization of expenditures
 - ◆ Eligibility of expenditures
 - ◆ Deliverables
 - ◆ Over-expenditures
 - ◆ Internal control approvals
 - ◆ One-over-one approvals





GRANTS RECONCILIATION

- ✓ Check that there are funds in the account
- ✓ Check that expenses are eligible
- ✓ Check for appropriate expenditure code
- ✓ Confirm the expense belongs to your project
- ❖ Supporting documentation be kept for audit purposes for 7 years.
- ❖ Progress Reports to agencies are to be done in a timely manner as required
- ❖ End dates are monitored

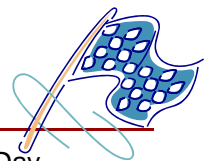




MAINTAINING RECORDS

A file should be kept for each grant that contains pertinent information about the grant. It should include:

- Application or Contract
- Notice of Award
- Advice Notice
- RSO Project Authorization
- Certifications
- Other Communication
- External Reports
- Signing Authority
- Guidelines/Eligibility of Expenses Information
- Reports

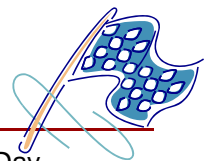




MONTHLY RECONCILIATION! What to do?

1. Gather the documentation

- ◆ Invoices, packing slips, indents, low dollar purchases, journals, on-line statements, corporate card statements, purchase order requisition, waybills, etc.
- ◆ Ensure that the PI provided proper and detailed justification



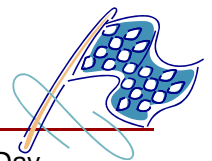


MONTHLY RECONCILIATION! What to do?(2)

1. Gather Documentation
2. Print your monthly Researcher Home Page (RHP) or eTRAC Report
(Electronic Tracking of Research Awards and Contracts)

Expenditure Details Report

- ◆ Create reports 15 business days after month-end





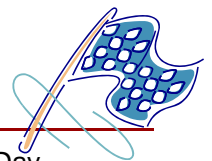
MONTHLY RECONCILIATION! What to do?(3)

1. Gather Documentation
2. Print eTRAC Expenditure Detail Report
3. Reconciling checklist

Final Step!

- ◆ Attach the supporting documentation to the financial report.
- ◆ File it in a centralized location.

You are now Audit Ready!

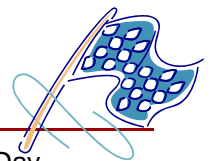




MONTHLY RECONCILIATION! What to do?(4)

Checklist (example):

1. Is there documentation for each entry listed on your eTRAC report?
2. Are expenses eligible for this project?
3. Was the expenditure signed by someone with signing authority on the project?
4. Are the account codes appropriate and meet the description of the expenses incurred?
5. Do any journals have to be done? a) expenses charged to the wrong project OR B) expenses charged to the wrong expense account code

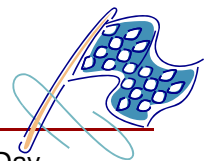




MONTHLY RECONCILIATION! What to do?(5)

Checklist (example):

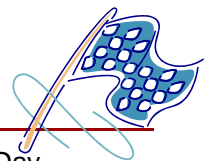
6. When is the project end date? If within 3 months, begin the process to extend the end date or close the project.
7. Is the project Over Expended? (If so see new OE procedures)
8. Check the encumbrances. Purchase Orders, Salary Expenses, Are expenses not appearing on eTRAC yet Is the grant over committed? Take steps to correct this?





END OF PROJECT TERM

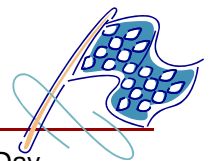
- ❖ End Date Extension:
 - ◆ To get a project end date extended, sponsor authorization or an agreement amendment is required
 - ◇ For renewals and extensions, start the procedure early.
 - ◇ For **grants**, allow at least **three months** before the end date.
 - ◇ For **contracts**, allow at least **six months** before the end date.
 - ◇ Valid/current certifications must be in place before the extension will be processed.





WRAPPING UP THE PROJECT

- ❖ Over expenditures?
- ❖ Residual funds in project?
- ❖ Deliverables (financial reporting; research reports)
- ❖ Commitments: Telephones, postage, utilities, employment contracts, payroll, standing orders, closing the lab
- ❖ Retention of documentation (research data, financial records)





LINKS

Roles and Responsibilities:

<https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Research-Administration-Procedure-Roles-and-Responsibilities.pdf>

Eligibility to Apply for and Hold Research Funding:

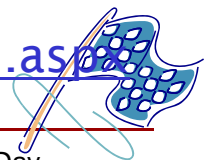
<https://policiesonline.ualberta.ca/PoliciesProcedures/Pages/DispPol.aspx?PID=32>

Supplementary Signature Page:

http://www.rso.ualberta.ca/en/Applying/~/_media/University%20of%20Alberta/Administration/Research/Research%20Services%20Office/Forms/form_supplementary_signature_page.pdf

Indirect Costs of Research Policy:

<https://policiesonline.ualberta.ca/PoliciesProcedures/Pages/DispPol.aspx?PID=49>





LINKS

Contract Review and Signing Authority Policy:

<https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Contract-Review-and-Signing-Authority-Policy.pdf>

Over Expenditure (Authorized) Procedure:

[https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Research-Over-Expenditure-\(Authorized\)-Procedure.pdf](https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Research-Over-Expenditure-(Authorized)-Procedure.pdf)

Over Expenditure (Unauthorized) Procedure:

[https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Research-Over-Expenditure-\(Unauthorized\)-Procedure.pdf](https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Research-Over-Expenditure-(Unauthorized)-Procedure.pdf)

Memorandum of Understanding

http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Politiques-Politiques/MOURoles-ProtocolRoles/IntroMOU-IntroProtocol_eng.asp

