

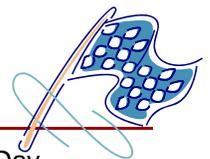


Resignation & Retirement: Implications to Research Administration

RAD 302

Lan Chan-Marples, RSO/RF – Education/Physical Education & Recreation

May 31, 2012

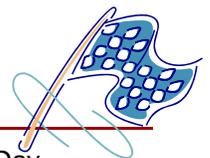




Resignation & Retirement

Session will focus on:

1. Tri-Agency Memorandum of Understanding (MOU) on the Roles and Responsibilities in the Management of Federal Grants and Awards
2. Tri-Agency Financial Administration Guide
3. Roles and Responsibilities of the Grant Holders
4. Roles and Responsibilities of the Institution
5. RSO Process for Change of Status of Researchers
6. Mock Scenarios
7. Q&A



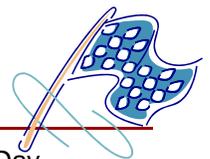


Resignation & Retirement

Resignations or terminations of faculty members at the University of Alberta can happen at any time of the year, sometimes with short notice.

Retirements are typically scheduled for June 30 of the year and are known well in advance (AASUA agreement indicates 18 months notice).

When a faculty member has been involved in research related activities leaves the University of Alberta, a number of administrative actions with his/her research projects need to occur at various levels (individual, departmental, institutional, sponsor) It is the institution's responsibility to advise the relevant sponsors, in a timely manner, of any changes in status of grantees.





Resignation & Retirement

Tri-Agency Memorandum of Understanding

Relevant R&R sections: Grant Holders 2.3d

informing relevant Agency and Institution officials of changes in eligibility status

Institution 3.3e

advising the relevant Agency of any changes in the eligibility status of Grant Holders

Agencies 4.4e

verify the eligibility of Institutions, applicants and ... Grant Holders.



Resignation & Retirement

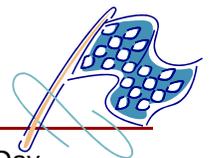
Tri-Agency Memorandum of Understanding

Section 5.10 Confirmation of Researchers' Eligibility

Each Agency sets its own eligibility criteria to ensure applicants meet the minimum qualifications to receive funds. Eligibility requirements must be met on a continuous basis throughout tenure of a grant ... and thus ongoing communication between Researchers, Institutions and Agencies is required.

Section 5.12 Ownership of Equipment and Facilities

Schedule 12 provides a framework for managing the ownership of equipment and facilities purchased with grant funds





Resignation & Retirement

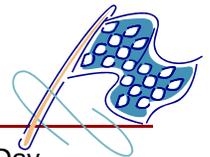
Tri-Agency Memorandum of Understanding Schedule 10: Confirmation of Eligibility

Policy states R&R of Grant Holders: Grant Holders are responsible for informing, without delay, the relevant Institution and Agency of any change in their eligibility status

R&R of Institution: 2.1.c. advice the relevant Agency, in a timely manner, of any change in the eligibility status of Grant holders that could have affected the terms of the original award

[... and follow the steps established by the agency in the event of a Grant Holder's status change (ie., returning funds already received, transferring funds to another eligible institution or eligible grant holder).]

R&R of Agencies: 2.2.d. establish steps to be taken in the event that a Grant Holder's eligibility status changes (e.g., holding back the next award installment, paying out a partial award installment, recovering funds already paid out).





Resignation & Retirement

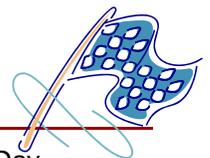
Tri-Agency Financial Administration Guide

Changes made to the guide supersede previous year's guide.

Unless otherwise indicated, these policies and requirements apply to all 3 Agencies (CIHR, NSERC, SSHRC)

Any exceptions are indicated in the program description of the respective Agency.

“Grantee” refers to “Principal Applicant” for SSHRC and NSERC and “Nominated Principal Applicant” for CIHR. CIHR also has Principal Applicant as well as Co-applicant status.





Resignation & Retirement

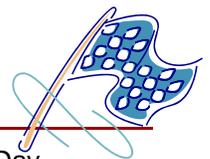
Tri-Agency Financial Administration Guide

Administrative Matters Section

Relocation of a Grantee to an Eligible Canadian Institution

Moving Equipment or an Unexpended Equipment Grant

Termination of a Grant





Resignation & Retirement

Tri-Agency Financial Administration Guide

Checklists Section

The Tri-Agency outlines the steps to be taken when there is a change in a Researcher's eligibility status:

Checklist for Termination of a Grant

Checklist for the Relocation of a Grantee to an Eligible Canadian Institution

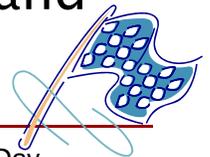
In addition, Canadian Institutes of Health Research – Grants and Awards Guide – CIHR Only

Section 2: Grants and Awards Management

2-B3 Relocation of a Nominated Principal Applicant to an Eligible Canadian Institution

2-B4 Moving Equipment

2-B5 Replacement, Addition, Removal or Promotion of Principal Applicants and Co-Applicants (Existing Grants) – Checklist and Form





Resignation & Retirement

The Research Services Office (RSO) is notified—formally or informally—when researchers are leaving the university for the reason of:

resignation (may result in a change of status to “Adjunct Professor” – not automatic change – need to apply for and approved by department &/faculty);

retirement (may result in a change of status to “Professor Emeritus” – generally an automatic change but not guaranteed); or

termination (dismissal or death in service)

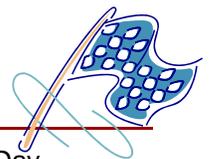
by:

Provost and Vice-President Academic Office;

Researcher;

Department / Faculty; or

Sponsor





Resignation & Retirement

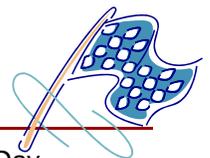
RSO Procedure:

The Research Facilitation Office (RFO) gathers information (from eTRAC, Researcher Home Page, Grants 2.0) on all projects whereby the researcher is the project holder and those held on behalf of the researcher by the VPR, Chair or Dean.

RFO meets with the researcher and department and/or faculty to confirm continuing affiliation, if any, between the researcher and UofA (e.g., adjunct professor, professor emeriti, etc.).

RFO works with the researcher, department and/or faculty to ensure appropriate decisions and actions are made with respect to each research project held by and/or held on behalf of the researcher.

RFO assists the researcher, department and/or faculty in completing and forwarding the necessary forms to RSO Agreements Team, Partnership Team and/or Institutional Programs for processing.





Resignation & Retirement

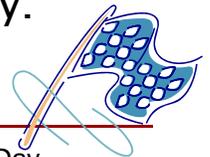
RSO Procedure:

RSO Agreements, Partnerships and/or Institutional Programs verify the list of projects and review their terms and conditions. They will

- take appropriate action - notification, amendment or termination;
- consult with appropriate units/individuals - Research Ethics Office, TEC Edmonton, Researcher, Department Chair or Dean, etc.;
- notify the sponsors; and
- notify RSO Finance of any research projects requiring Finance activities.

RSO Finance staff will

- review the research projects for outstanding obligations, loans, invoices, and over-expenditures and takes appropriate action;
- complete the financial report and forward to the sponsor as required; and
- initiate action for the disposition of the funds - return to sponsor or forward to new Canadian university. If grant is transferred to a co-grantee (co-applicant) at this university as the departing grantee, then a RSO Change of Project Holder form will be completed. Change to Existing Project form will be required if the grant is to be moved to another department and/or faculty.





Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario A:

The Provost and Vice President Academic Office notifies the Research Services Office of the resignation of Researcher X. The researcher is leaving the university at the end of June, 2012 for a faculty position at another eligible Canadian institution. Researcher X is the Grant Holder of an active SSHRC (NSERC or CIHR) grant(s), the sole member on the application, no equipment was purchased from the grant and no commitments at the former institution after June, 2012.



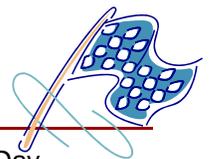
Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario A: How to Handle Relocation

This is the most straightforward change of status. As per Tri-Agency Financial Administration Guide – Administrative Matters:

When a grantee moves from one eligible Canadian institution to another, the Agencies will consider a request to transfer a research grant(s) held by the grantee at the other institution provided that the grantee has obtained an eligible position at that institution. Should the request be approved, the research grant(s) held at the former institution will be transferred to the new institution and consequently all corresponding grant account(s) will be closed at the former institution.





Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario A: How to Handle Relocation

Researcher X requests the relevant Agency to approve the transfer of his/her research grant(s) from his/her former institution to the new institution.

Request is usually made to the Agency's Grants & Awards Finance Division.

Follow Checklist for the Relocation of a Grantee to an Eligible Canadian Institution (CIHR/NSERC/SSHRC) for what to submit to the Agency.

Agency's Finance Division will notify the grantee of its decision, as well as RSO contacts at both institutions (here it is usually RSO Finance. RSO Finance will forward it to RFO. Researcher and/or RFO should pass information to department/faculty).

Agency will require the following documentation from the Grantee:

- a) Written request from grantee to transfer between institutions. This is considered during the funding period and during the extension period.
- b) This notification should state the date of departure from the institution, explanation for the leave, name of new institution and new position. It should also include the Agency's reference number assigned to the grant, title of the project and grantee's name and original institution.



Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario A: How to Handle Relocation

Agency will require these Documents from Appropriate Authorized Official at Original Institution:

- a) a completed and signed Grants in Aid of Research – Statement of Account (Form 300) up to the date of departure;
- b) a detailed list of Outstanding Commitments (Form 303) made by the grantee prior to the transfer including employment contracts/agreements for research personnel (NSERC and SSHRC only) or an estimate of the remaining funds available at the original Institution Paid (CIHR only).

Notes: Although Scenario A has no commitments – a Form 303 should be submitted with the comment “No Outstanding Commitments” and signature of the grantee.

For CIHR: In order for CIHR to consider a request to transfer grant(s) held by a Nominated Principal Applicant to another institution, the proposed new Institution Paid must be a CIHR Eligible Institution at the time of the transfer request.



Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario A: How to Handle Relocation

Agency requires Documents from Appropriate Authorized Official at New Institution (NSERC and SSHRC only)

- a) Letter from the president or delegate, countersigned by the appropriate department head or dean, giving the date of appointment and academic status. Letter to include a statement agreeing to abide by all Agency policies and requirements relating to the Grant;
- b) Page one, and Appendices B or B1 and C of the Personal Data Form (Form 100) (NSERC only).

Notes:

CIHR only: If CIHR approves the request to transfer the grant(s), arrangements will be made to transfer a portion of the unspent balance. The remainder will be transferred upon receipt of a final statement of expenditures from the business office of the original institution. NSERC and SSHRC will transfer the entire unspent balance upon receipt of a final statement of expenditures from the business office of the original institution.

All grants: Transfer of funds can only be done after the stated date of departure. Any over-expenditures must be resolved and RSO needs to know how they will be resolved.

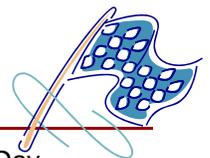


Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario B:

The Provost and Vice President Academic Office notifies the Research Services Office of the resignation of Researcher X. The researcher is leaving the university at the end of June, 2012 for a faculty position at another eligible Canadian institution. Researcher X is the Grant Holder of an active SSHRC (NSERC or CIHR) grant(s). A laptop computer was purchased from the grant for research activity. A graduate research assistant will continue to work on the project in the former institution until the end of March 31, 2013. There is a co-applicant in the same department and faculty as the grantee in the former institution.





Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario B: How to Handle Relocation

Steps 1-3 & 5 are the same as Scenario A.

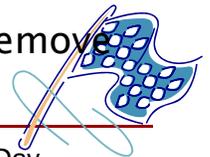
Step 4 is nearly the same – in this case an Outstanding Commitments Form 303 must be completed because there is a salary commitment to a graduate research assistant. The amount to be held back should be detailed.

Since there is a co-applicant at the original institution, on the instruction of the grantee, RSO can transfer the grant holder role for the retained funds from Researcher X to the co-applicant. If there is no co-applicant, the institution can designate according to University policy an eligible project holder. Or, Researcher X may add a co-applicant to his/her grant(s), to be the project holder.

Notes: Adding co-applicant to NSERC and SSHRC grants may be allowed (check programs) - Grantee a) sends email request to Agency Grants and Awards Finance Division with the request to add an eligible co-applicant to the grant, b) provides justification for the addition, and c) forwards co-applicant's current CV. Agency approves request and notifies RSO finance contact. RSO updates project file.

For CIHR – Follow instructions on Checklist for the Replacement, Addition, Removal and/or Promotion of Principal Applicants and Co Applicants from or on Existing Grants.

Documentation includes a letter from the current NPI, the Request to Replace, Add or Remove Applicants form, and Common CV of the added individual.





Resignation & Retirement

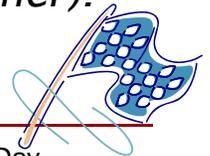
Relocation of a Grantee to an Eligible Canadian Institution Scenario B: How to Handle Relocation

For the laptop purchased by Researcher X.

As per Tri-Agency's Administrative Matters:

Moving of Equipment or an Unexpended Equipment Grant: All equipment purchased with grant funds belong to the institution and not to the individual grantee. If a grantee is moving to another Canadian institution and wishes to take an unexpended Equipment Grant (known as a Research Tools and Instruments Grant at NSERC), or to move equipment purchased with grant funds, the former institution may, in its discretion, give permission for such a move. The Agencies encourage the institution to accede to such a request provided the equipment is not necessary to other researchers at the former institution.

As per Schedule 12 (MOU) - 2.1.d. The Institution agrees to consider requests for transfer of equipment in order to maximize the use of the equipment for research (e.g., when a Grant Holder moves from one Institution to another).





Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

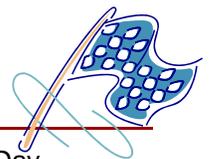
Scenario B: How to Handle Relocation

Researcher X wishes to take the computer purchased from grant funds to the new institution [another eligible Canadian Institution or to a Non-eligible Institution--Canadian or non-Canadian]:

The equipment belongs to the former institution and not the individual grantee. Thus, requests for transfer of equipment should be evaluated and decided upon by the Institution, with the goal of maximizing the use of the equipment for research and for the benefit of Canada.

At this university, refer to Equipment Asset Procedure for transfer or sale of equipment and Asset Disposal Procedure for direct sales to departing staff – SMS.

Proceeds from the sale of equipment purchased from Agency grant funds are to be used to support research-related purposes.





Resignation & Retirement

Relocation of a Grantee to an Eligible Canadian Institution

Scenario B: How to Handle Relocation

The institution may, in its discretion, refuse to give permission for such a move, if the equipment is necessary to other researchers at the former institution.

Researcher X may leave the computer in the former institution if a graduate research assistant involved with the research project requires its use. At the end of the project, the computer may either be transfer to Researcher X's new institution or an agreement may be reached to allow the former institution to keep the equipment. Relocation cost of equipment can be charged to the grant but always check the terms and conditions of the funding program and/or associated with the grant to verify. If in doubt, ask your RF or ask the Agency for a ruling.

Notes: Grantee and/or Department should consult with their RFO when relocation of a grantee involves moving equipment to a new institution.



Resignation & Retirement

Termination of a Grant

The Agencies will terminate a grant when the grantee no longer holds an eligible position at an eligible institution [e.g., retirement, dismissal, death, taking employment with government or private industry, moving to another country to live or teach]. However, the agency may approve the transfer of the grant to an eligible co-grantee or another eligible individual as suggested by the institution. A written request must be submitted to the Agency.

SSHRC will allow a grantee who moves to another country to complete a project in a new country if the research program or project that was originally awarded pertains to Canada (Canada is the country of focus and study is of benefit to Canada). The original institution must continue to administer the grant. SSHRC assessment is required. PI should contact SSHRC to seek SSHRC approval. Otherwise, any individual grant that the grantee holds will be closed.

NSERC group or team grants: If grantee leaves in a two-persons group grant, the grant will automatically be terminated because it is no longer a team grant with only one person. A team grant is two or more members. Discovery Grants are individual grants and when a grantee no longer holds an eligible position at an eligible institution, the grant is automatically terminated and cannot be transfer to another eligible individual.

Checklist for Termination of a Grant (CIHR, NSERC, SSHRC)



Resignation & Retirement

Termination of a Grant

Scenario C: Grantee moves to another country

The Provost and Vice President Academic Office notifies the Research Services Office of the termination of Researcher X. The researcher is leaving the university at the end of June, 2012 to take up a faculty position at an American post-secondary institution. Researcher X is the Grant Holder of an active SSHRC (NSERC or CIHR) grant(s). A laptop computer was purchased from the grant for research activity. There is: a) one co-applicant at the same university in the same department and faculty, b) one co-applicant at another department and faculty, and c) one co-applicant at another Canadian university. Two graduate research assistants were hired until the end of March 31, 2013.



Resignation & Retirement

Termination of a Grant

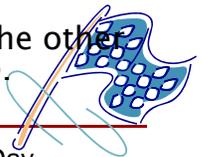
Scenario C: How to Handle move to another country

1. Researcher X has no affiliation with the former Canadian institution, does not wish to transfer grant to a co-applicant and does not want to keep the graduate research assistants.

- Agency will authorize termination of grant and return of funds to Agency.
- NSERC & SSHRC – Institution is required to submit a Form 300 as of the date of termination, a Form 303 completed by the grantee prior to termination, and a refund cheque to cover outstanding money if there is an unspent balance. No new commitments or expenditures may be authorized from the grant account after the date of termination. Phase out period for outstanding commitments may be authorized by Agency – 3 to 6 months or 12 months in the case of death.
- CIHR – From Grantee or Institution Paid – A signed letter confirming project title, reasons for termination of grant, justification for a transition period and describing the matters to be resolved, the time period and the funds required to do so and what arrangements will be made to continue the project if the grantee will no longer remain on site.

2. Researcher X has no affiliation with the former institution, wants to transfer grant to a co-applicant and wishes to keep the original commitment to the research assistants.

- Co-applicant is in the former institution - With Agency approval in the form of an amended change of grantee advisory RSO will transfer the grant to the new grant holder, Researcher Y. Researcher Y can agree to supervise and pay the research assistants. Researcher Y will inherit the use of any equipment purchased from the grant. If Researcher Y is in another department and/or faculty, RSO will make the appropriate changes. Researcher Y should inform his/her department/faculty of the grant, particularly if there are commitments to be assumed as well. The new PI may need to apply for ethics or amend the one obtained by Researcher X.
- Co-applicant is in another eligible Canadian institution – Again, with Agency approval, RSO will transfer the grant to the co-applicant's institution. A portion may be retained with Agency permission, to fulfill commitment to the graduate assistants. Any equipment will either be transferred to the other institution or stay in the former institution until they are to go to the other institution (or there is an agreement to allow the former institution to keep the equipment).





Resignation & Retirement

Termination of a Grant

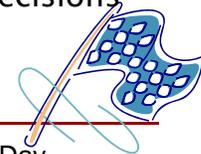
Scenario C: How to Handle move to another country

3. Researcher X resigns but is made an adjunct professor in the former institution and therefore, continues to be affiliated with an eligible post-secondary institution.

UofA's policy to apply for and hold research grants allows adjunct professors to apply for grants, with the approval of Dean, but does not allow them to hold grants (this condition to hold in the Eligibility to Apply For and Hold Policy and Procedure is currently under review). With Agency's acknowledgement of Researcher X's change of status and request to transfer the grant to an eligible co-applicant, RSO will transfer the grant to the new grant holder.

Researcher X as an adjunct professor can become the co-applicant and the co-applicant be promoted to PI. As per SSHRC, an adjunct professor is eligible to use grant funds to support his/her research activities, even if he/she has an academic position at another country and as long as the researcher continue to meet SSHRC's eligibility criteria. As per NSERC, an adjunct professor must spend a minimum of 6 months per year at an eligible Canadian university to be eligible to receive NSERC funds (as principal applicant for a Discovery Grant and other NSERC grants programs). If working outside the university sector, adjunct professors will receive funds only for the direct support of students (salary and travel).

Note: To request a transfer of a grant to an eligible co-grantee, the institution must submit a written request to the Agency. The grantee can submit an email request to the Agency's Finance Division. Agency decisions should be passed to the grantee's RFO or RSO Finance for follow up actions.





Resignation & Retirement

Links

1. Memorandum of Understanding (MOU)
http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Politiques-Politiques/MOURoles-ProtocolRoles/index_eng.asp
Schedule 10: Confirmation of Eligibility
Schedule 12: Ownership of Equipment and Facilities
Frequently Asked Questions (FAQs)
2. 2010 Tri- Agency Financial Administration Guide
http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index_eng.asp
Administrative Matters
http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/AdminMatters-QuestionAdmin_eng.asp#termination
Annual Funding of Grants - Communication of Results
3. Eligibility Criteria - For Faculty (NSERC only)
http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Eligibility-Admissibilite/faculty-corpsprof_eng.asp
4. Checklist for Termination of a Grant (CIHR, NSERC, SSHRC)
http://www.nserc-crsng.gc.ca/_doc/Professors-Professeurs/GrantTermination-CessationSubvention_eng.pdf
Committees and Programs Contacts (CIHR only) <http://www.cihr-irsc.gc.ca/e/13820.html>
5. Checklist for Confirming Continuing Eligibility (NSERC and SSHRC)
http://www.nserc-crsng.gc.ca/_doc/Professors-Professeurs/ContinuingEligibility-ConfirmerAdmissibilite_eng.pdf
6. Checklist for the Relocation of a Grantee to an Eligible Canadian Institution (CIHR, NSERC, SSHRC)
http://www.nserc-crsng.gc.ca/_doc/Professors-Professeurs/GranteeRelocation-ReinstallationTitulaire_eng.pdf
7. Checklist for the Replacement, Addition, Removal and/or Promotion of Principal Applicants and Co Applicants from or on Existing Grants (CIHR only)
<http://www.cihr-irsc.gc.ca/e/40183.html>
8. Application to Transfer Grant(s) to an Eligible Canadian Institution (CIHR only)
http://www.cihr-irsc.gc.ca/e/documents/transfer_grant_form_fill_e.pdf
9. Form 300 and Form 303





Resignation & Retirement

?

Thank You

