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Parent Policy: Research Policy

Research Administration Roles and Responsibilities Procedure

Office of Administrative Responsibility:	Office of the Vice-President (Research)
Approving Authority:	Chief Financial Officer and Associate Vice-President (Finance, Procurement and Planning) Provost and Vice-President (Academic) Vice-President (Research)

Purpose

Principal Investigators (PIs), **Project Holders**, administrators in faculties and departments, and central administrative units are required to understand their respective roles regarding the administration of Research **Proposals** and **Awards** at the University of Alberta (the "**University**").

The general philosophy at the University is to have many of the processes take place as close to the PIs as possible and only use central teams where this is the most effective form of meeting the obligations. Note: This procedure does not apply to Special Purpose projects; instead refer to the *Guide to Financial Management*.

The purpose of this procedure is to set out the primary responsibilities of the major parties involved in **Research** administration at the University.

Definitions

The attached definitions table outlines the terms used in this procedure that are not otherwise defined herein and any specific rules of interpretation that apply.

Scope

This procedure applies to all members of the **University Community** to the extent they are engaged in activities or functions governed by this procedure.

Procedure

1. PRINCIPAL INVESTIGATOR (PI)

In general, the PI is required to carry out Research responsibly. The primary responsibilities of the PI are:

1.1. Preparing Proposals that:

1.1.1. meet the requirements of the **Sponsor**;

1.1.2. comply with relevant university policies and procedures;

1.1.3. budget for all direct costs;

1.1.4. include indirect costs in accordance with Sponsor terms and conditions and university policies and procedures;

1.1.5. identify in writing the space and other resource requirements;

1.1.6. include a completed university request form;

1.1.7. include the **Signatures** of all university co-Principal Investigators; and

1.1.8. include the Signatures of the Department, Faculty and Research Administrative Services (RAS).

1.2. Approving Proposals and Awards, where the PI's Signature denotes that:

1.2.1. the PI will abide by Sponsor terms and conditions and the university's policies and procedures;

1.2.2. the PI meets the Sponsor's requirements; and

1.2.3. all appropriate Certifications will be obtained and maintained for the duration of the Research activities.

1.3. Disclosing any conflict of interest or potential conflict of interest at the time of the Proposal or at any time during the term of the Award.

1.4. Ensuring that Proposals are submitted to Sponsors.

1.5. Where the PI is the Project Holder complying with Section 2 below.

1.6. Managing and supervising Research personnel by:

1.6.1. recruiting appropriate personnel for the project, including submission of pay action forms on a timely basis;

1.6.2. abiding by university policies and procedures including those relating to Human Resource Services where acting as a supervisor; and

1.6.3. 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.

1.7. Producing and managing Research records in accordance with the university's policies and procedures and Sponsor requirements.

1.8. Preparing all required reports and deliverables in accordance with the terms and conditions of the Award.

1.9. Advising the Project Holder, Department, Faculty, RAS and Sponsor of:

1.9.1. any change in academic status, (e.g. extended, sabbatical, medical, maternity or paternity leave; retirement or resignation, etc.);

1.9.2. any significant change to the Research that was originally approved; and

1.9.3. any other changes that may impact the terms and conditions of the agreement.

2. PROJECT HOLDER

In many cases, the Project Holder and PI will be the same person. However, there are instances where the PI cannot be the Project Holder pursuant to university policy. The primary responsibilities of the Project Holder are:

2.1. Exercising financial control over Research funds, including:

2.1.1. approving all expenditures where such approval indicates that expenditures are:

2.1.1.1. eligible in accordance with the terms and conditions of the Award;

2.1.1.2. a direct cost of research for which the funds were awarded, with benefits directly attributable to the project;

2.1.1.3. reasonable and conform with the financial guidelines of the Sponsor and University;

2.1.1.4. incurred within the eligible dates of the Award.

2.1.2. reviewing and approving financial reports;

2.1.3. monthly review and verification of Research expenditures and other project information using PeopleSoft;

2.1.4. processing expenditures in the fiscal year incurred;

2.1.5. for Tri Agency funded research projects, comply at all times with the *Tri-agency Guide on Financial Administration* (TAGFA).

2.2. Delegating signing authority in accordance with university policy.

2.3. Being personally responsible for unauthorized Over-Expenditure, ineligible costs, and revenue lost due to failure to meet the terms and conditions of the Award.

2.4. Submitting all required reports and deliverables to the Sponsor in accordance with the terms and conditions of the Award.

2.5. Advising the Sponsor, Department, Faculty, and RAS of:

2.5.1. any change in academic status of the Project Holder (e.g. extended, sabbatical, medical, maternity or paternity leave; retirement or resignation, etc.);

2.5.2. any other changes that may impact the terms and conditions of the agreement.

3. DEPARTMENT AND FACULTY

In general, Chairs and Deans are responsible for supporting Research activities undertaken by PIs (including co-Principal Investigators) in their Departments and Faculties. More specifically, their primary responsibilities include:

3.1. Approving all Proposals prior to submission, as set by the Office of the VPR and approving Awards, where their Signatures denote that the Department and Faculty:

3.1.1. are willing to administer the Research funds in accordance with university policies and Sponsor terms and conditions including TAGFA for Tri-agency funded projects;

3.1.2. support the proposed activity;

3.1.3. confirm the availability of space and other resources that the PI and any co-Principal Investigator has declared;

3.1.4. have the ability to provide administrative support to the Research activity;

3.1.5. confirm compliance with the university's *Eligibility to Apply for and Hold Research Funding Policy*;

3.1.6. agree to the negotiated terms and conditions.

3.2. Implementing effective systems to ensure that:

3.2.1. Research is carried out in compliance with university policies and Sponsor terms and conditions;

3.2.2. PIs provide Research deliverables and reports; and

3.2.3. real and perceived conflicts of interest are assessed and managed.

3.3. Implementing internal control procedures for:

3.3.1. monitoring Award finances;

3.3.2. ensuring action is taken to address:

3.3.2.1. potential or actual Over-Expenditures;

3.3.2.2. potential conflict with Sponsor terms and conditions and university policies;

3.3.2.3. eligibility of expenditures;

3.3.2.4. Award end date management; and

3.3.2.5. dormant (balance has not changed in 1 year) projects.

3.3.3. providing one-over-one approval for expenses paid directly to the PI or Project Holder. Such approval implies that expenses are reasonable and conform to Sponsor terms and conditions and university policies and procedures.

4. RESEARCH ADMINISTRATIVE SERVICES (RAS)

RAS facilitates the collaborative identification and implementation of services, systems and processes on a timely basis that will enhance Research administration by:

4.1. improving communication with Researchers;

4.2. ensuring accountability to all stakeholders;

4.3. working collaboratively with internal and external partners to implement best practices in Research administration, accountability and compliance;

4.4. providing related education and training for Researchers and administrators;

4.5. providing assistance to Researchers and other university staff on administrative processes; and

4.6. liaising with Sponsors to ensure compliance with the most recent guidelines and to resolve conflicts and concerns (where applicable).

More specifically, RAS's primary responsibilities are:

4.7. Processing Proposals by:

4.7.1. providing assistance to identify potential sources of financial support for Research projects;

4.7.2. maintaining website with comprehensive links to sources of funding opportunities (internal and external);

4.7.3. approving and signing Research Proposals on behalf of the University, where the Signature indicates the Proposal meets applicable university policies and procedures and Sponsor requirements; and

4.7.4. submitting Proposals to Sponsors on behalf of the institution when required.

4.8. Processing Awards by:

4.8.1. confirming that the University is able to meet the Sponsor's requirements including institutional commitments (e.g. matching funds, space, personnel, etc.);

4.8.2. confirming that the terms of the Award are compatible with university policies and procedures, including but not limited to:

4.8.2.1. publication provisions;

4.8.2.2. intellectual property provisions;

4.8.2.3. risk management provisions;

4.8.2.4. eligibility to apply for and hold Research funds;

4.8.2.5. indirect costs have been included as allowable; and

4.8.2.6. appropriate Certifications are secured prior to the release of funds.

4.8.3. negotiating, approving and signing Research agreements and contracts on behalf of the University in accordance with relevant university policies and procedures; and

4.8.4. communicating to PIs, Project Holders, Department and Faculty on Sponsor decisions and administrative requirements related to notices of Awards.

4.9. Processing **Subgrants** to other institutions by:

4.9.1. creating, negotiating and signing the agreement/contract with the recipient organization where the RASSO Signature means the following:

4.9.1.1. confirmation of instructions from Project Holder; and

4.9.1.2. confirmation of funder's restrictions on use of funds;

4.9.2. submitting payment request forms; and

4.9.3. obtaining financial reports from recipient organization(s).

4.10. Administering **Institutional Awards**, which includes:

4.10.1. submitting Proposals on behalf of the University in accordance with relevant policies and procedures; and

4.10.2. exercising financial control over funds received , including monitoring and approval of transactions.

4.11. Carrying out financial administration of Research funds received by the University, which includes:

4.11.1. establishing projects for successful Awards and providing account maintenance over the life of the Awards and beyond as necessary;

4.11.2. coordinating continued compliance with Sponsor terms and conditions;

4.11.3. generating invoices during life of the Award in accordance with the Sponsor terms and conditions;

4.11.4. preparing and submitting financial reports to Sponsors;

4.11.5. monitoring Over-Expenditures on behalf of the University and providing regular reports to senior executives;

4.11.6. coordinating financial audits and expenditure compliance testing;

4.11.7. approving and processing journal entries for Research projects;

4.11.8. processing indirect cost allocation;

4.11.9. managing outstanding accounts receivable;

4.11.10. monitoring dormant projects; and

4.11.11. closing completed Research projects.

4.12. Managing the PeopleSoft Research systems, including:

4.12.1. PeopleSoft maintenance and upgrades;

4.12.2. maintenance and creation of Research reports and public queries; and

4.12.3. developing and maintaining online tools.

5. RESEARCH ETHICS OFFICE

The Research Ethics Office administers all review and approval processes for both funded and unfunded human participant Research and Research, teaching and testing using animals.

6. SAFEGUARDING RESEARCH OFFICE

The Safeguarding Research Office is responsible for supporting the Research community to ensure compliance with applicable **Research Security** requirements, and with increasing the Research Security competency of the organization through the provision of training, guidance, advice and due diligence support.

7. HEALTH, SAFETY, AND ENVIRONMENT

Health, Safety, and Environment is responsible for chemical, radiation and biosafety **Certifications**.

Definitions Table

Any definitions listed here apply to this procedure only with no implied or intended institution-wide use. Capitalized words and phrases used in this procedure that are not otherwise defined herein shall have the same meanings ascribed to them in the Research Policy.	
Award	Approved Proposal including the terms “grant”, "contract”, “notice of award”, “agreement”, etc.
Certifications	Includes relevant approvals for Research involving humans, animals, stem cells, biohazards, field work as required by relevant university policies and procedures.
Institutional Awards	Awards held by the Vice-President (Research) on behalf of the University, which may include:

	Canada Foundation for Innovation and provincial partners Canada Research Chairs Canada Excellence Research Chairs
Over-Expenditure	When expenditures have exceeded the total budgets approved to date.
Principal Investigator	A Researcher who is primarily responsible for the intellectual contribution to the Research Proposal, application, agreement, contract or Award and is responsible for the overall direction of Research activities of the Research project.
Project Holder	The individual who is accountable for the receipt of the project funding and appropriate expenditure of this funding, ensuring that it is for university operations in compliance with the terms and conditions of the Sponsor(s) and university policy and procedures.
Proposal	Initial submission to the Sponsor of an application or other document that contains the scientific description of activities, scope of work and budget. Includes amendments.
Research	An undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation which also includes experimental development and is comprised of creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of humanity, culture and society, and the use of this stock of knowledge to devise new applications. It may take basic, applied or experimental development forms. The following activities, in the absence of a specific element of Research, do not generally fall within this definition: Procedures and practices exclusively used for pedagogic purposes including classroom discussion, practicum observation, student-teacher interviews and consultations, interviews and consultations with experts for teaching and learning purposes, testing within normal educational requirements and teaching evaluations; Normal practice of a profession including medicine, law and engineering;

	Quality assurance studies and performance reviews of an organization or its employees or students within the mandate of the organization or according to the terms and conditions of employment or training.
Research Security	The actions that protect the University's research ecosystem from actors and behaviours that pose economic, strategic, and/or national and international security risks. Particularly relevant are the risks of undue influence, interference, or misappropriation of research; the outright theft of ideas, research outcomes, and intellectual property by states, militaries, and their proxies, as well as by non-state actors and organized criminal activity; and other activities and behaviours that have adverse economic, strategic, and/or national security implications.
Signature	Includes wet ink, scanned, digital or electronic signatures and online approvals.
Sponsor	A company, agency or individual paying for or requesting the Research.
Subgrant	Transfer of a portion of an Award from the University to a Principal Investigator at another organization, where such transfer is made on terms consistent with the terms of the Award.
University Community	Academic, support and excluded staff, postdoctoral scholars and academic colleagues as outlined and defined in the *Recruitment Policy Appendix A: Definitions and Categories of Staff*; undergraduate, graduate, continuing education students and post-graduate learners; emeriti; contractors; visitors; volunteers; and members of the Board of Governors.

Forms

- There are no forms for this procedure.

Parent Policy Suite

- Research Policy
- Delay of Research Publication Procedure
- Research Administration Roles and Responsibilities Procedure
- Research Records Stewardship Guidance Procedure

- Research Records Stewardship Guidance Procedure Appendix A: Research Records Management and Preservation Guidelines
- Research Records Stewardship Guidance Procedure Appendix B: Research Records Classification Guidelines

Related Policy Documents

- Animal Ethics Policy
- Conflict of Interest and Commitment, and Institutional Conflict Policy ("Conflict Policy")
- Eligibility to Apply For and Hold Research Funding Policy
- Financial Management and Practices Policy
- Human Research Ethics Policy
- Patent Policy
- Research and Scholarship Integrity Policy
- Research Over-Expenditure (Authorized) Procedure
- Research Over-Expenditure (Unauthorized) Procedure
- Signing Authority and Delegation of Signing Authority Policy All Funds

Related Links

- Agreement on the Administration of Agency Grants and Awards by Research Institutions
- Tri-agency Guide on Financial Administration
- Guide to Financial Management

History

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For questions surrounding policy document interpretation or implementation, please contact the Office of Administrative Responsibility.

The official version of this document may be obtained from https://www.ualberta.ca/policies-procedures/index.html