

UAPPOL Eligibility to Apply for and Hold Research Funding Policy Summary of Changes and Q and A Session

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Research Relationships, February 2021



Overall Objective

- To simplify the “eligibility to apply for and hold research funding” process by providing a statement of principles rather than a complex set of rules and to reduce levels of approval required
- Revised policy:
 - based on the individual as opposed to job category
 - Ties eligibility to position description and research responsibilities
 - includes a process (templates) for documenting eligibility for categories other than Academic Faculty Members and Academic Administrators (Excluded)



Summary of Changes

- Scope Statement and Overview have been updated
- Authority for eligibility (i.e. formerly referred to as an exception) is at the Faculty level
 - Approval of the VPRI no longer required
- Refers to research responsibilities as opposed to “as stipulated in assigned” duties
 - An individual’s position description
- The associated procedure has been rescinded



Summary of Changes cont.

- Co-applicant eligibility is no longer part of the policy
 - Involvement as a co-applicant to be managed in accordance with sponsor eligibility and/or individual's terms of employment
- Policy no longer includes details on how potential conflicts of interest (COI) should be managed
 - Covered by the "Conflict Policy – Conflict of Interest and Commitment and Institutional Conflict"
- Alternate holder is no longer specified
 - At discretion of Chair/Dean



Summary of Changes cont.

- Related to COI, Principal Investigators (Pis) will be required to make a yes/no disclosure at the proposal review stage in PeopleSoft (i.e. as part of completing a request for new proposal)
 - Bring awareness to PIs and get them thinking about COIs in research early on
 - Question will ask if they have a potential COI with the sponsor or any vendors that will be supplying services or supplies to the project
 - Will direct individuals to the Conflict Policy in UAPPOL
 - Will be visible to subsequent approvers (i.e. Chair, Dean)

Note: questions about how the COI policy applies to PIs and Chairs/Deans should be directed to Faculty Relations



Summary of Changes cont.

- Presentation has been simplified
 - table replaced with categories grouped by eligibility
- Includes updated staff categories
 - Appendix A of the academic recruitment policy
- PDF, TRAS (including Research Associates), FSO, ATS, and Clinical and Special Continuing Academic Colleagues are now included in list of those potentially eligible
- Non-employees holding project funds
 - Dep't Chair will co-sign on formal reporting relationship matters. See Section 8c. for more details



Some Key Considerations

- Eligibility to apply for and/or hold determined for an individual as opposed to at the job category level
- Related to **research responsibilities** outlined in:
 - position description
 - collective agreements
 - UAPPOL Research Administration Roles and Responsibilities Procedure (e.g. availability of space, resources, support for activity, etc.)
- Source of Salary and/or existing responsibilities (e.g. TRAS)
 - Tri Agency grant funds **must not be used to pay compensation** to:
 - grant recipients or individuals who conduct research independently as part of the terms and conditions of their employment, including but not limited to researchers in academia, hospitals and research institutes



Considerations cont.

- At the time of application, an individual will have **a term of appointment spanning the period of funding**, or a signed commitment for a term of employment spanning the period of funding
 - In accordance with policy, to be managed by faculties at time of application approval – see point on “System Considerations” slide re: query that can be run
- Faculties will manage the process
 - Faculties should have a point person(s) that individuals (particularly those in Section 4) can be directed to



Considerations cont.

- Alternate holders (i.e. when principal applicant/PI is not eligible to hold)
 - Ability to hold decisions rest with the faculties
 - Holder responsibilities are defined as per UAPPOL Research Administration Roles and Responsibilities Procedure
 - UAPPOL over-expenditure procedures
 - Chair/Dean responsible for managing OEs for projects held under their DeptIDs
 - Charged to operating if not resolved
 - The project holder remains at all times personally responsible and liable for over expenditures
 - Individual should understand project and deliverables and how expenses relate to it
 - Sponsor requirements (e.g. Tri Agencies require awardee to hold)



System/Process Considerations

- RSO needs to be informed of eligibility for individuals in section 4 and 5 so they can update eligibility page in Grants
- If research responsibilities included in individuals position description and faculty approves individual to apply for and/or hold research funding
 - Request to update system should be sent to your Research Facilitator via email. Request should include individuals name, confirmation that they are authorized to apply for and/or hold research funds in accordance with the eligibility policy, and start and end date (where applicable) of eligibility period. Request should be sent from Dean or delegate.
- Approval and Notice template to be used when research responsibilities not originally contemplated in position description
 - Eliminates need to formally update position description and/or appointment letter on file with HR

Important Note: Period of eligibility cannot exceed end date of appointment



System Considerations cont.

- Query: ZRS_GM_PROF_PI_ELIGIBILITY

ZRS_GM_PROF_PI_ELIGIBILITY - PI Eligibility & Access to Page

Job Code (%):

Department ID (%):

Faculty ID (%):

[View Results](#)

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[View All](#)

First Last

Row	Name	Emp ID (Click to go to Page)	Job Code	Job Code Eff Date	Dept ID	Department Description	Faculty ID	Faculty Description	Eligible PI	Eligible PI Eff Date	Eligible by Exc to Apply	Eligible by Exc to Hold	Eligible by Exc Eff Date	Eligible by Exc Comment
1	██████████	██████	A0285	01/01/2021	100300	ALES AFNS General	100000	ALES Fac of Ag Life&EnvironSci						
2	██████████	██████	A0509	07/01/2020	100400	ALES RR General	100000	ALES Fac of Ag Life&EnvironSci						
3	██████████	██████	A0552	09/01/2020	100400	ALES RR General	100000	ALES Fac of Ag Life&EnvironSci						
4	██████████	██████	A0006	07/01/2020	100300	ALES AFNS General	100000	ALES Fac of Ag Life&EnvironSci	Y	06/21/2009				
5	██████████	██████	A0265	07/01/2018	100400	ALES RR General	100000	ALES Fac of Ag Life&EnvironSci						
6	██████████	██████	A0285	08/01/2019	100300	ALES AFNS General	100000	ALES Fac of Ag Life&EnvironSci			Y		01/16/2014	Confirmed by Dept in appointment letter that eligible to apply and hold effective until Aug 2014 (with opportunity for renewal) - LuciaSB Confirmed by Dept in appointment letter that



Q and A



Please contact your Research Facilitator with any follow up questions.

