

Post-Award NSERC CRD/IRC Information Session

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Today's Topics

- Research Administration Process Stage Manage Funding
- NSERC Reporting Types/Activities and Roles (RSO/PI)
- Sponsor Payment Issues
- Variance NSERC CRD Post Award Requirements
- OE Approvals
- Researcher HomePage Tips
- Amendments
- Subgrants and other Contracts
- Contract Support
- New Direction for NSERC



Research Administration Process: Manage Funding













RESXXXXXXX - NSERC CRD project
RESYYYYYY - Industry CRD matched project



NSERC Reporting

CRD	IRC
 Verification of Company	 Verification of Company
Contribution Status Report Progress Report Financial Reporting (Form 300) Final Report	Contribution Progress Report Financial Reporting (Form 300) Status Report Final Report

- Timeliness of these reports can impact installments
- NSERC does send reminders
- NSERC reserves the right to reduce, delay or cancel a grant instalment if the continued need for funds is not demonstrated



Financial Reporting

NSERC Financial Reporting Requirements:

1) Annual Reporting

- RSO is required to submit financial statements annually to NSERC "Finance Officers" for the period of April 1 to March 31 (i.e. the Tri-Agency fiscal period).

2) Ad Hoc Reporting

- RSO is also required to submit financial statements based on direct requests received from NSERC "Program Officers". The purpose of these requests is for NSERC to assess the status of a project on a periodic basis.



Variances - CRD/IRC Notice of Decision (Specific Program related documentation)

Prior written authorization from NSERC is required for deviations from the original activities of the research project, deviations from the initial total budget, or any reallocation of resources of more than 20 per cent of an approved budget item.

9. Budgets

Some latitude is allowed in adherence to planned expenditures, however; NSERC must approve the reallocation of resources of more than 20% of an approved budget item in advance. (e.g.The training of highly qualified personnel is an NSERC priority; any deviations in the approved training plan must receive prior authorization from NSERC).



Over Expenditure (OE) Authorization Process

Managed differently than all other OE authorizations

- Extra step with CRDs/ IRCs because NSERC must preauthorize variances as noted in your NSERC award notice
- The Over Expenditure Process is an institutional process
 - If it results in a variance over 20%, RSO cannot process the OE request until the PI has obtained NSERC approval for the variance
 - We are not seeking NSERC approval for the OE itself, just the <u>variance</u>



Outstanding Payments - Collection Process

RSO will:

- Invoice the sponsor in accordance with the executed agreement payment schedule and copy the PI on all related correspondence
- 60 day follow-up Notify the sponsor that the funds are matched to an NSERC award and that non payment could negatively impact the NSERC contribution.
- 90 day follow-up Contact sponsor and copy the Chair and ADR in addition to the PI
- 120 day follow-up Contact sponsor (copying PI, Chair and ADR) to provide notice that the project will be inactivated within 60 days if the outstanding balance is not paid.

PI should:

- Initiate conversation with Sponsor RE: Satisfaction with project progress and/or results
- Notify RSO if they are aware that the Sponsor might be having a cash flow concern.
- Consider withholding any further progress reports until the outstanding AR is paid (depending on circumstance)



Outstanding Payments - continued

- When an industry sponsor has been delinquent on previously scheduled payments, RSO will adjust the project's budget to release the budget only when an invoice is issued rather than upfront on an annual basis.
- At 60 days from invoice RSO will follow-up
- At 120 days, if the sponsor payment is still O/S RSO will advise the PI that the project account will be shut down if the unpaid balance has not been cleared within 60 days.

***Future awards with the same industry sponsor: ZERO budget will be provided to the PI until initial payment from the industry sponsor is received





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Research Services Office

ABOUT FUNDING OPPORTUNITIES PROPOSAL SUBMISSION RECEIVE & MANAGE FUNDING TRAINING



FISCAL YEAR

Our Statistics

2018

\$494M

What We Do

FAQs

Applications Reviewed

2,638

8.793

Interested in learning more about our volume of work? We now report our **key statistics** on a quarterly basis

...

Research Services Office News

Meet Funders at Research Funding Fair on November 22

Find funders from all sectors. Register for presentations by November 20.

Research Administration Process



Find what step of our Research
Administration Process your research

Login to Researcher Home Page





Departmental Inquiry

Departmental Project and Award Inquiries

- Researcher Home Page*
- eTRAC Home
- SpeedCode Inquiry*

Self-Service Center



General Inquiry

Inquire on general self-service activities.

- SpeedCode Inquiry*
- PER Balance Inquiry*
- Researcher Home Page*
 - E CIRAC



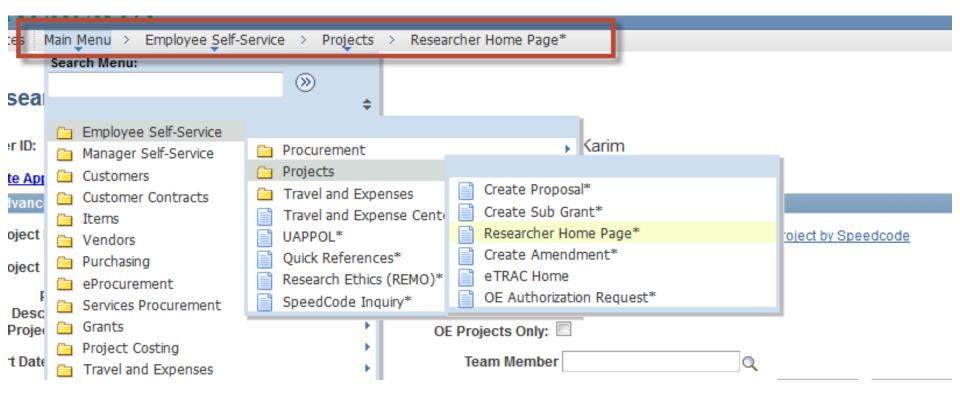
Procurement

Create requisitions and view procurement activity and status.

- PO Inquiry
- Voucher Inquiry

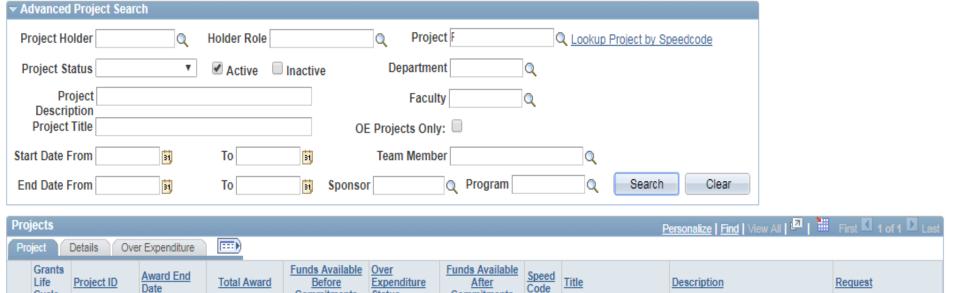


Researcher Home Page – Viewing Outstanding A/R





Researcher Home Page – Viewing Outstanding A/R



Commitments

\$71,250.00

Note: It is the responsibility of the Project Holder to approve all expenditures charged to these Projects or to delegate signing authority in accordance with University policy.

Commitments

\$71,250.00

\$100,000.00

Status



RES0033

08/31/2018

Cycle

Project: Project

Project Type: RSBUD
Status: Past End Da

Holder: Department: Start Date: 03/01/2014 End Date: 06/30/2017

Sponsor:

Award Ref Num:

Program: Award PI: SpeedCode: OE Status:

Award Period	Budget Start Date	Budget End Date	Direct Cost	Included in Funds Available	Indirect Cost	Total
1	03/01/2014	02/28/2015	0.00		0.00	
2	03/01/2015	02/29/2016	129,720.00	✓	0.00	129,720.00
3	03/01/2016	02/28/2017	0.00		0.00	
4	03/01/2017	06/30/2017	0.00		0.00	
99	07/01/2017	07/13/2017	0.00		0.00	
			129,720.00		0.00	129,720.00

Award and Expense Summary for the period: 07/01/2017 - 07/13/2017

Expenditure Details

Opening Balance / (Over Expenditure) as of 07/01/2017	\$7,058.82	
Direct Cost Budget		
Funds Available before expenditures (A):		\$7,058.82
Expenditures		
Salaries and Benefits-BL	\$8.10	
Supplies and Other-BL	\$4,291.45	
Travel-BL	\$100.68	
Total Direct Expenses (B)		\$4,400.23
Funds Available before Indirect Costs as of 07/13/2017 (A-B):		\$2,658.59
Plus indirect cost budgets to date		
Less indirect expenses to date		
Indirect costs remaining to date (C)		
Funds Available after Indirect Costs as of 07/13/2017 (A-B+C):		\$2,658.59

Past Due (unpaid) Invoices:

Invoice #: UA210

\$13,000.00 Due: 07/30/2017

(120 days past due)

Return to Researcher Home Page*

View Printable Version



Invoice Detail

Past Due (unpaid) Invoices:

Invoice #: UA210

\$13,000.00 Due: 07/30/2017

(120 days past due)

Return to Researcher Home Page*

View Printable Version



AMENDMENT



Types of Amendments

- No Cost Extension to Project End Date
- Change in Sponsor (name change, addition/ deletion)
- Change in Award Amount (and scope, if applicable)
- Change to co-applicant/ collaborator
- Change in PI/Project Holder



Amendment Process

- Before RSO can process most amendments, we require a signed Request for Amendment form, along with appropriate backup
- PI contacts industry sponsor(s) to confirm they agree in principle to the requested change
- PI contacts NSERC Program Officer for approval of the change
- Exception: No PI/Dept/Faculty signatures currently required for no cost end date extension but still need sponsor approval



Sponsor Additions, Deletions, and Adjustments

- New Sponsor/ New Contribution: will additional funds be matched or unmatched? Access to IP?
- Sponsor departures/ decreases: advise RSO early, advise NSERC, plan to replace or wind down, manage reduced NSERC and industry contribution (scope adjustment, training adjustment, time adjustment)
- Termination for cause other than payment



PI Transfers to a New Institution - What Happens Now?

- Transfer existing projects to new institution
- Transfer to another UA PI
- Terminate the agreement re-negotiate at new institution
- Combination approach (subgrant to new institution)



Subgrants





Subgrants

- Don't forget to account for SG payments! RSO will not pay unless there are funds in the account to cover them.
- Funds can be subgranted out from industry award, NSERC award or both
- If you send <u>NSERC</u> funds to the co-applicant, NSERC requires the PI's signature on a transfer letter. (RSO will prepare for you.)

*NSERC OK with including co-applicant institution on the prime contract with industry or on a separate subgrant



Other Contracts

RSO

- Non-funding agreements (co-apps, collaborators)
- Site Access
 - TEC Edmonton (TEC)
- Non-Disclosure Agreement (NDA)
- Material Transfer Agreement (MTA)
- Data Transfer/ Data Sharing



Contract Support

- Check back with RSO if you have questions about the contracts (ex: timelines for publication, delays of thesis, confidential information)
- TEC handles Report of Inventions (ROI), licenses
- TEC has access to attachments in G3 but RSO can discuss contracts with them and you as needed



Project Closure

- Final Scientific (PI) and Final Financial Reporting (RSO)
- Addressing any outstanding financial issues
- Hold backs with relation to final progress report acceptance (applies to provincial sponsors or some NFP's)
- Handling of Unspent Funds (should be spent down equally)

Residual balances:

- NSERC funding University General Research Fund
- Industry funding PI General Research Acct
- Parallel spending expected



NSERC Changes on the Horizon





NEW Tri-Agency Financial Administration Guide

- New guide took effect for pilot institutions: Nov 1, 2018
- Confirms that program-specific requirements take precedence over more general terms in the guide
 - Read ss. 1.2 and 3.4 in conjunction with your NSERC Notice of Award terms
 - Means that the 20% variance rule still applies



Research Partnerships Program

- NSERC sought input summer/ fall 2018
- Expect changes ~ April 2019 but nothing official yet
- Business as usual for now with minor tweaks

Media Summary

PDF of Draft RPP

Minor changes to NSERC CRD & IRC applications (July 2018)



Final Message

Post-award management of NSERC CRDs and IRCs can be complex, with many moving parts.

We are here to help you with overall management of your project award so please contact us if you have *any* questions or concerns!

Please complete our survey (coming via email postsession) to help improve our sessions.

THANK YOU



RESOURCES

RSO Website (Homepage)

https://www.ualberta.ca/research/services

Past Presentations, including this one

https://www.ualberta.ca/research/services/training/past-events-and-workshops

Research Administration Video Education Series (RAVES)

https://www.ualberta.ca/research/services/training/online-training-videos



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PIP team contact list:

https://www.ualberta.ca/research/services/about/contact-us

