



RSO and the Research Administration Process for Dept of Surgery

September 11, 2018

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Topics

- ▶ What/Who is RSO?
- ▶ Find Funding Opportunities
- ▶ Develop and Submit Proposals
- ▶ Finalize Funding Documentation
- ▶ Activate Project Account
- ▶ Manage Funding
- ▶ Project Account Close-out

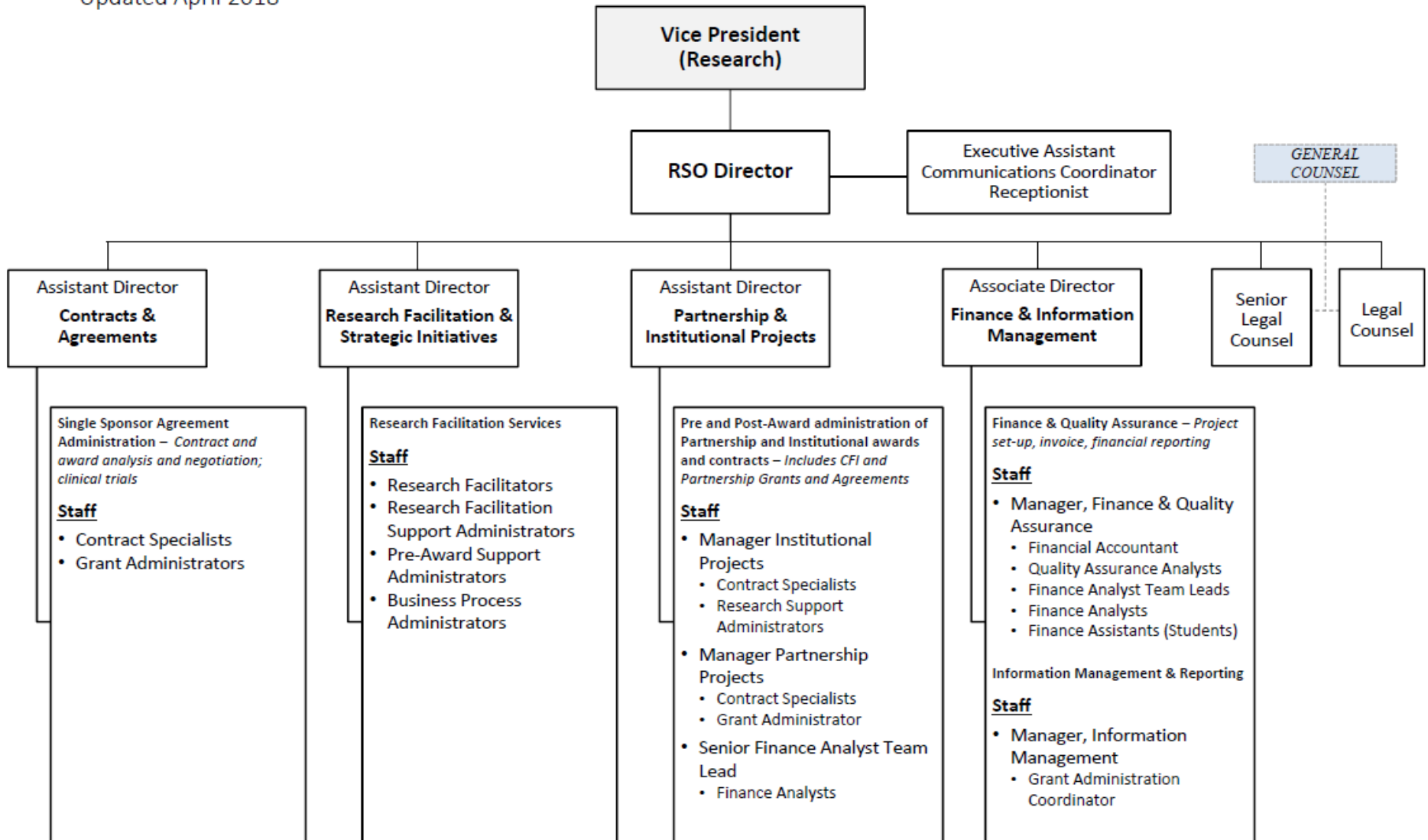
What is the Research Services Office?

- ▶ A central unit on campus under the Office of the Vice President (Research)
- ▶ All research funding is administered by the Research Services Office (RSO)
- ▶ About 85 staff - research facilitation, agreements/contracts, finance, information management, business processes, reporting/audits, legal counsel
- ▶ **Helps the research community find, apply for, receive and manage research funding**

Organizational Structure

Research Services Office

Updated April 2018



Your Research Facilitator (RF)

- ▶ First point-of-contact for the RSO
- ▶ Pre-award and Post-award support
- ▶ Review and sign off of research applications/proposals
- ▶ Advise on sponsor guidelines and U of A policy
- ▶ Trouble shoot research-related problems
- ▶ Educate via workshops, one-on-one training
- ▶ Answer questions

Your Research Facilitation Support Administrator (RFSA)

- ▶ Carolyn Harrison: 492-6294, caharris@ualberta.ca
- ▶ She processes the following:
 - ▶ Requests for Administrative End Date Extensions
 - ▶ Requests for Temporary Authorizations of Over-Expenditures
- ▶ She can also answer your questions about the following:
 - ▶ Using the Researcher Home Page and eTRAC
 - ▶ Eligibility of Expenses
 - ▶ OE Management, financial reporting, account reconciliation, etc.

The Research Administration Process



Find Funding Opportunities

We provide assistance to identify funding opportunities for research projects.

How?

- We receive notices that we share with Faculties and Departments
- Maintain a Funding Opportunity Database and Funding Calendar on our website.



Find Funding Opportunities

Our searchable funding database is populated with information about current funding opportunities for researchers and trainees. The broad categories (Funding Type) used for sorting the opportunities are Research Support, Salary Support, Travel, Trainee. The default view will provide a list of opportunities with rolling or variable deadlines followed by opportunities in ascending Sponsor Deadline date order. The list can be sorted by clicking on any of the column titles. **Click on any row to view the Description and Additional Information about the specific funding opportunity.**

To return to the default list click on the Search RESET button.

Check back regularly as new opportunities are continually added.

Search

Search by keyword

Funding Type

Research Support
 Salary Support
 Travel
 Trainee

Sponsor Deadline

Program ↓	Pre-Application Required ↓	Pre-Application Deadline ↓	Sponsor Deadline ↓	Funding Type ↓
Rapid Response: Canada 2019 Alzheimer's & Related Diseases	LOI	Monday, December 3, 2018	Thursday, March 28, 2019	Research Support
Weston Brain Institute Transformational Research: Canada 2019 Alzheimer's & Related Diseases	LOI	Monday, December 3, 2018	Thursday, March 28, 2019	Research Support
Canadian Institutes of Health Research (CIHR) Team Grant: SPOR iCT Rewarding Success - Phase 3			Thursday, January 10, 2019	Research Support



Find Funding Opportunities

Team Grant: SPOR iCT Rewarding Success - Phase 3

Sponsor: Canadian Institutes of Health Research (CIHR)

[Guidelines](#) →

Sponsor Deadline

Thursday, January 10, 2019

Research Service Office (RSO) Deadline

Thursday, January 3, 2019

Description

The multi-year iCT Rewarding Success Team Grants is Phase 3 of the iCT Rewarding Success Initiative. It will focus on the implementation and evaluation of programs/interventions to improve value in a healthcare delivery setting as defined and outlined in the Rewarding Success Idea Briefs (Phase 1) and negotiated in the Business Case Development Grants (Phase 2).

Additional Information

Applicants to this funding opportunity are required to work with the SPOR SUPPORT Units in building their applications.

The maximum amount per grant is \$600,000 per year for up to four years for a total of \$2,400,000.

Applicants must secure partner contribution from non-federal sources to match the CIHR contribution at a minimum of 1:1 ratio

Indirect Cost (Overhead) Rate: Prohibited by Sponsor (0%)



Develop & Submit Proposal

- ▶ Once you have identified an opportunity, your proposal needs to be developed so requirements of both the sponsor and university are met (including appropriate signatures).



Sponsor Requirements:

Consult sponsor guidelines for competition specific requirements regarding:

- ▶ Eligibility of the Institution, Applicant, Co-Applicants, Collaborators, Partners
- ▶ Deadlines
- ▶ Eligibility of Research Activity
- ▶ Submission method
- ▶ Signature Requirements
- ▶ Budget - Eligible expenses (including indirect costs)
- ▶ CV requirements
- ▶ Matching funding
- ▶ Letters of Support, Etc.



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RSO Requirements:

- ▶ Confirmation of **eligibility** of applicants (principal and co)
- ▶ Inclusion of **Indirect Costs** as per UAPPOL Policy.
- ▶ Create **proposal** via Researcher Home Page
- ▶ Obtain **signatures** from PI, Chair, Dean, and all U of A Co-applicants
- ▶ Submit to application and signatures to RSO



Eligibility

- ▶ If the project is being conducted under your role at the University of Alberta, you must be eligible to apply for funding as per University policy and Sponsor policy in order to apply for funding.
- ▶ University Policy indicates all Continuing Academics hired under the Faculty Agreement are eligible.
- ▶ Adjuncts and Clinical Appointments: Needs to be included in their assigned duties in their appointment letter/job description that they conduct research and apply for funding.
- ▶ Emeritus: Permitted with approval from the Dean.



Eligibility cont'd

- ▶ Term of appointment must cover the expected project period.
- ▶ Consult UAPPOL Policy:
<https://policiesonline.ualberta.ca/PoliciesProcedures/Policies/Eligibility-to-Apply-for-and-Hold-Research-Funding-Policy.pdf>



Indirect Costs

- ▶ Must be included unless the Sponsor has expressly prohibited it.
- ▶ Standard rate is 20% of direct costs
- ▶ Gov't Canada Contracts: 65% of salaries and 2% of travel
- ▶ US Gov't: 66.8% of salaries and wages including vacation, holiday, sick pay and other paid absences.
- ▶ Clinical Trials: 30%
- ▶ Industry matching to Tri-Agency: 0%

UAPPOL Policy:

<https://policiesonline.ualberta.ca/PoliciesProcedures/Procedures/Application-for-Indirect-Cost-Recovery-Rates-Procedure.pdf>



Create a Proposal via Researcher Home Page

- ▶ PDF booklet, Guide to Researcher Home Page is available on RSO website, <https://cloudfront.ualberta.ca/-/media/research-services/forms/rso-researcher-home-page-guide.pdf>
- ▶ Login is available on RSO website,



Create a Proposal via Researcher Home Page

PI Section

Proposal ID: NEXT Version ID: Request Status:

Description(Project Title):

Contact for Pickup:

*Request Type: Application/ Proposal -New

*Principal Investigator (PI): Employee ID

Is PI the Project Holder: Yes No

Project Holder ID:

*Department: 290500 MED Surgery Faculty: 250000 MED FacultyofMedicineDentis

Start Date:

End Date:

Source of Funds: Internal Surgery SCN Seed Grant

Indirect Cost Requested: Yes No Amount requested

Rationale: NOT PERMITTED

SpeedChart Key	Sponsor & Contact Details	Fund	Department	Program	Class	Project	Sponsor	Amount
1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	0.00



Create a Proposal via Researcher Home Page

UofA Co-Investigator(s)									
Resource	Employee ID	Name	Department	Description	Faculty	Description	Intellectual Credit (%)		
1 PI	0015071	Baker, Glen	290300	MED Psychiatry	250000	MED FacultyofMedicineDentistry	50.00	x	+ -
2 Co-PI	0304263	McCormick, Angela	610107	VPR Research Services (FICR)	610000	VPR VP Research	50.00		+ -

Co-Investigator #1 (University of Alberta Faculty only)

I acknowledge to the University:

- (1) The same statements as set out in the Principal Investigator's Declaration, above; and
- (2) That the Principal Investigator will administer the award on behalf of the research group.

In addition, I certify that:

New or additional resources are required from my Faculty/Department

Yes No

(Note: New or additional resources include teaching release time)

Faculty/Department letter or e-mail confirming additional resources is attached:

Yes No

Project includes honorarium or salary for the Co-Investigator:

Yes No

Co-Investigator Signature

X

Co-Investigator Name

Date Signed



Signature Requirements

Two sets of signature requirements:

- ▶ **Sponsor** (signature requirements vary by sponsor)
 - ▶ Usually outlined in the application guidelines or on the application form
 - ▶ May or may not be required
- ▶ **University of Alberta** (signature requirements determined by U of A Policy)
 - ▶ * Always required for full applications *
 - ▶ Include PI, Chair (departmentalized faculties), Dean, U of A Co-Investigators, and **Student (if they are the applicant)**
 - ▶ Some exceptions include AIHS and ADI summer studentships, Dept of Surgery and ECE grants, and some LOIs.



Signature Pages

- ▶ Collect PI, UofA co-applicants, Chair, and Dean signatures on the Request form generated when you create a proposal via the Researcher Home Page.



Submission to RSO

- ▶ Submit complete application and **ALL** signatures to RSO at least 5 business days before sponsor deadline. Some competitions will have an earlier deadline date.
- ▶ Applications can be submitted electronically to the appropriate RSO mailbox (rsohs@ualberta.ca if you are from FoMD) or hand delivered to our office.



Finalize Funding Documentation

- ▶ If you have been notified by your sponsor that your proposal was successful or you have received funds without submitting a proposal, you will need to work with us to finalize the necessary documentation (including ethics certifications).
- ▶ To set up a research project, RSO must have your complete package uploaded to the Researcher Home Page and know that the sponsor has made the decision to fund your proposal.
- ▶ This can be done via a Notice of Decision or a Research Contract.



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Sponsor Notice of Decision

- ▶ Send your notices of decision to your Research Facilitator!
- ▶ These could be letters, notices of award, notices of decision, and conditional notices of award.
- ▶ If the notice is **unconditional**, then RSO will proceed with activating your project account.
- ▶ If the notice has **conditions** on it, then RSO will help you complete the sponsor's remaining requirements.



Research Contract

- ▶ RSO is the legal signing authority for all research funding contracts as per the Contract Review and Signing Authority Policy.
- ▶ Forward contracts to your Research Facilitator so that we can task them to the appropriate team at RSO.
- ▶ The Contracts & Agreements team handles single sponsor projects and the Partnership & Institutional Projects team handles multi-party agreements.
- ▶ Clinical trials sponsored by industry or that are lead by other Institutions are negotiated by NACTRC.



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Activate Project Account

Once we have the complete package and sponsor approval, we'll set up one of the following for you:

- ▶ **Project-specific account**. Most research accounts fall into this category. For these accounts, access to spending is usually permitted once the RSO is aware of the sponsor's unconditional approval or has signed a research contract (some exceptions may apply.) Spending and reporting must be in accordance with sponsor requirements.
- ▶ **Lab or general research services account**. For these accounts, access to spending is permitted only after sponsor payment has been received, and there are no expectations about spending or reporting.



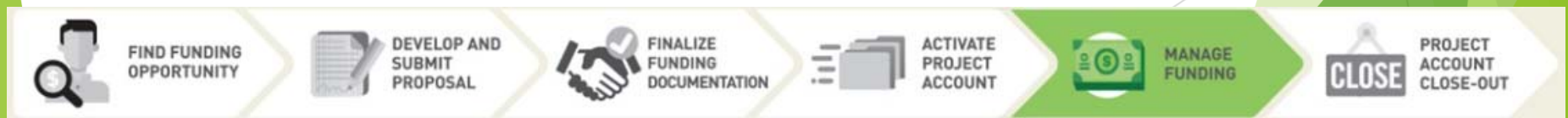
Steps Undertaken

- ▶ Review the terms and conditions of award to finalize setup
- ▶ Confirms research involving human subjects, animals, biohazards, human embryonic stem cells has **appropriate certifications** in place
 - ▶ Animal and Human certifications provided by the Research Ethics Office (REO)
 - ▶ Biohazard Certification provided by Office of Environment, Health & Safety (EHS)
 - ▶ **This is the #1 delay in award activation**
- ▶ RSO staff activate project
- ▶ RSO sends a New Project Activation Notification to PI/Holder, Project Administrator, Dept/Faculty contacts, and Research Facilitator



Managing the Award

- ▶ Request amendments to award (end date, amount, PI/Holder, etc.)
- ▶ Request subgrants
- ▶ Monitor expenses and revenue
- ▶ Request Authorizations for Over Expenditure
- ▶ Project Close-out



Amendment Requirements

No-cost extensions ie. No further additional funding expected from Sponsor

- ▶ Whether it is based on an award notice or agreement, we need the following:
 - ▶ Written Sponsor approval (including new date), and
 - ▶ Current and up-to-date certifications

Please forward to your RF or RFSA for tasking to the appropriate team at RSO.



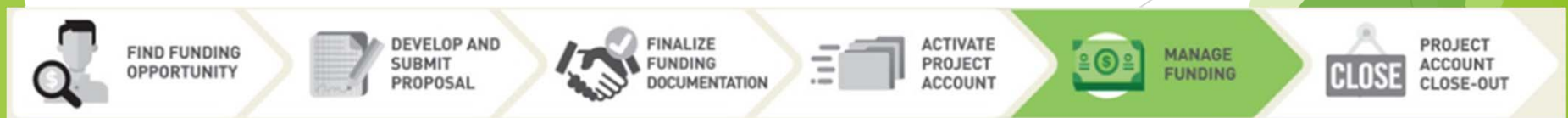
Amendment Requirements

Increase in Award amount ie. New funds that weren't already contemplated in original application or agreement.

Whether it is based on an award notice or agreement, we need the following:

- ▶ An amendment request created via the Researcher Home Page
- ▶ Signatures from the PI, Chair, and Dean on the Request form
- ▶ Sponsor approval
- ▶ Current and up-to-date certifications
- ▶ Budget and scope of work for additional funds.

Please forward complete package to RSO.



Subgrants

- ▶ The Sponsor's terms and conditions or **guidelines must permit transfers** of funds to other institutions via subgrants or subcontracts.
- ▶ The **amount** of funds to be transferred and the **recipient's name** should be listed in your application's budget, in the notice of award, or specifically approved by the sponsor.
- ▶ **You are responsible for notifying RSO** to initiate the preparation of the subgrant letter or contract.
- ▶ The Recipient is responsible for providing the lead institution with scientific and financial reporting in accordance with the Sponsor's terms and conditions. The lead institution then reports to the Sponsor.
- ▶ Due to the high volume of internal collaborations, **subgrant transfers between U of A co-applicants are not permitted**



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Steps to Issue Subgrants

- ▶ The PI logs in to the [Researcher Home Page](#) and completes and signs the Request for Issue of a Subgrant form and sends the form to his/her Research Facilitator.
- ▶ RSO prepares an agreement between the U of A and the Recipient institution and sends this document to the Recipient institution for signature.
- ▶ The research office of the Recipient institution signs the agreement verifying that the Recipient institution will administer funds according to the Sponsor's terms and conditions.
- ▶ Upon receipt of this signed agreement, RSO transfers funds to the Recipient institution.
- ▶ The University of Alberta remains fully accountable for all funds received from the Sponsor, including the subgranted amount. RSO requests financial reporting from the Recipient institution as required by the Sponsor. Non-financial reporting remains the responsibility of the University of Alberta PI.



Eligible Spending

- ▶ Research funds are **restricted**. This means that they may only be spent in accordance with the Sponsor's expectations.
- ▶ The responsibility for spending properly rests with the "Project Holder" pursuant to the [Research Administration Roles and Responsibilities procedure](#).
- ▶ RSO assists researchers who are unclear about how to interpret sponsor expectations, and with preparing reports to Sponsors.



eTRAC

Project List

[eTRAC Home](#) [Refine Search](#)

Select the project(s) you want to view

Select All

Deselect All

Personalize | Find | First 1 of 1 Last

<input type="checkbox"/>	Manager	Speedcode	Title	A/I	Award Start Date	Award End Date	Funds Available Before Commitments	Project
<input checked="" type="checkbox"/>	██████████	██████	NSERC RGPIN ██████████	A	04/01/2014	03/31/2020	\$41,051.490	RES00 ██████████

Select All

Deselect All

Inquire Online

[Overview*](#) [Expense Budget](#) [Expenditure Details](#) [Salary Details](#)
[Revenue Details](#) [Actuals](#) [Funds Available](#)

Print Reports

[Expenditure Details*](#) [Salary Details](#) [Revenue Details](#)
[Project Overview*](#)

* These reports/online pages include Indirect Costs.



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eTRAC

Project Overview

[eTRAC Home](#) [Back to Project List](#)

Use the navigation buttons to view one project at a time.

Find First 1 of 1 Last

Project: RES00 [REDACTED] Active

Holder: [REDACTED] Principal Investigator

Title: NSERC RGPIN [REDACTED]

Description: Interactive storytelling and real-time Heuristic search

Project Type: RSBUD Status: Open

Award Start Date: 04/01/2014 Award End Date: 03/31/2020

Admin End Date: 03/31/2020

Speedcode

Speedcode	status	Fund	Department	Program	Class	Sponsor
[REDACTED]	A	535	360300	0	0	SFR1451

eTRAC Access List

Name	Role
[REDACTED]	Principal Investigator

F&A Distribution

Department	Description	Percentage Pledged
360300	SCI Computing Science	100.00

Responsibility Unit

Responsibility Unit	Description
360300	SCI Computing Science

Budget

Budget Start Date	Budget End Date	Category	Amount
04/01/2014	03/31/2015	Direct Cost	\$39,000.00
04/01/2015	03/31/2016	Direct Cost	\$39,000.00
04/01/2016	03/31/2017	Direct Cost	\$39,000.00
04/01/2017	03/31/2018	Direct Cost	\$39,000.00
04/01/2018	03/31/2019	Direct Cost	\$39,000.00

Total Amount \$195,000.00

First 1 of 1 Last



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Expenditure Testing

- ▶ RSO samples expenses charged to externally restricted research projects to test whether the expense is an **eligible expense and complies with sponsor guidelines and policies.**
- ▶ Supporting documentation for these samples are requested to ensure the expenditures are adequate and sufficient for institutional reviewers to determine that the expenses were both eligible and compliant.
- ▶ **Research Expenditure Best Practice Guide** The guide contains a list of common issues identified through our expenditure testing process and provides solutions for dealing with the issues.



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Sponsor Audits

- ▶ The University is visited by a number of different auditors to review financial accounting. The visits have two main objectives:
 1. To ensure that **agency rules are being followed** and that funds are being used properly.
 2. To ensure that the financial transactions included in the sponsors' financial records based on our information are sound.
- ▶ The auditors may request to meet with the researcher during their audit visit. If this is requested, the department and researchers will be notified and a suitable time will be arranged.



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Over Expenditures

- ▶ As a general principle, over expenditure of a research project is not permitted. Over expenditures are managed in accordance with the [Over-expenditure \(Authorized\)](#) and [Over-expenditure \(Unauthorized\)](#) UAPPOL procedures and can be monitored through the Researcher Home Page.
- ▶ An over expenditure in project that is not authorized will be inactivated. Written requests for projects to be reactivated should be sent to your Research Facilitator, unless otherwise directed, so that units can clear the unauthorized over expenditure in projects.



Requesting an Authorization for an Over Expenditure

- ▶ You need to ensure you have supporting documents that the sponsor is committing additional funding to your research project.
- ▶ As per the [Over-expenditure \(Authorized\) Procedure](#), requests for authorization of temporary over expenditures are only allowed on restricted projects (i.e., Fund 530).
- ▶ Requests can be made through the [Researcher Home Page](#)
- ▶ Requests need to be submitted to the Department for approval and then forwarded to RSO for processing.



Project Close-Out

- ▶ At the end of your project you will need to work with us to close-out your project account. Close-out activities include final scientific and financial reporting, handling unspent funds, and addressing outstanding financial issues.
- ▶ The end date of a project is the day that access to the research funds terminates and all eligible expenditures must have been incurred. Please note that expenses must be posted to the project prior to the end date to ensure that transactions are processed within the eligible funding period.
- ▶ Project end dates can be verified through the Researcher Home Page in PeopleSoft.



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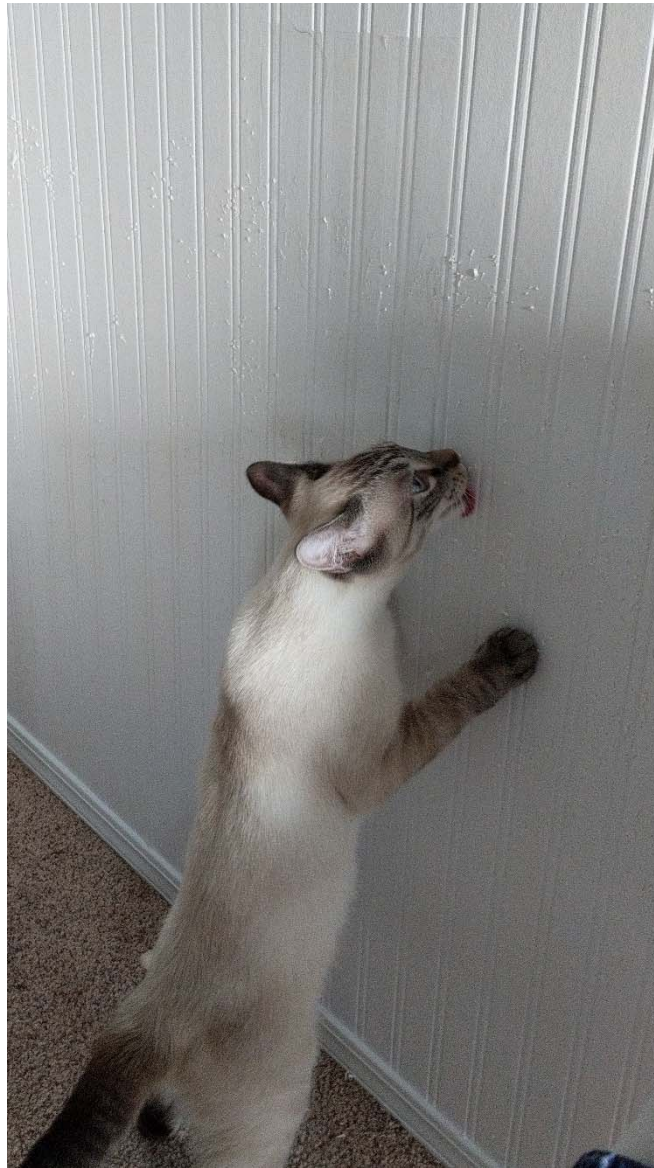


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Questions?



<https://photos.app.goo.gl/wD168Q5TqNnsiHQT9>