

## University of Guelph - Roles and Responsibilities of those involved in Research Award Administration

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#### Purpose:

This document outlines the Roles and Responsibilities of those involved with Research Award Administration to ensure the funds are utilized for the designated purposes for which they are awarded and they comply with UofG and Sponsor policies and guidelines. This shared responsibility is distributed to several stakeholders, including (but not limited to) the following:

- Principal Investigator (PI)/Account holder
- Department Chair/School Director (and/or Campus Director for OAC)
- College Dean/ADR
- Research Services Office (RSO)
- Research Financial Services (RFS)

**Note:** Other stakeholders such as Project Managers, Research Managers, Research Facilitators, etc. may vary depending on your situation so these position titles have been excluded from the list above. Please review all Roles and Responsibilities noted for all identified stakeholders below and apply to your position as appropriate.

Stakeholder	Category	Roles and Responsibilities
<b>Principal Investigator (PI)/ Account holder</b>	<b>Due Diligence</b>	<ul style="list-style-type: none"><li>• Ensure that all expenditures comply with University and Sponsor procedures and guidelines.</li><li>• <b>For Tri-Agency awards (CIHR, CRCs, NSERC, NCEs, SSHRC)</b>, compliance with the <a href="#">Agreement on the Administration of Agency Awards by Research Institutions</a> [1], as amended.</li><li>• <b>For Tri-Agency awards (CIHR, CRCs, NSERC, NCEs, SSHRC)</b>, expenditures are in compliance with the <a href="#">Tri-Agency Financial Administration Guide</a> [2], as amended.</li><li>• Ensure that individuals with delegated signing authority understand with University and sponsor requirements.</li><li>• Submit all technical, scientific and/or progress reports by the prescribed deadlines as required by the sponsor.</li><li>• The PI will obtain all approval(s)/certifications necessary to conduct research.</li></ul>
	<b>Fiscal Responsibilities</b>	<ul style="list-style-type: none"><li>• Exercise financial control over research awards, including the following:<ul style="list-style-type: none"><li>◦ expenses are eligible according to the terms and conditions of the award,</li><li>◦ expenses are in accordance with the approved budget,</li><li>◦ expenses are necessary to the research endeavour being funded, and</li><li>◦ expenses have been incurred within the eligible dates of the award.</li></ul></li><li>• Provide written authorization for all expenditures charged to their</li></ul>



Stakeholder	Category	Roles and Responsibilities
	<b>Communication Responsibilities</b>	<ul style="list-style-type: none"> <li>projects.</li> <li>• Monitor and review all financial transactions, on a regular basis, to ensure that all charges are properly charged to their research projects and communicate any discrepancies to the department administrator and/or RFS.</li> <li>• Provide timely resolution of all deficits resulting from:             <ul style="list-style-type: none"> <li>◦ over-expenditures,</li> <li>◦ expenses deemed ineligible by the research sponsor, or</li> <li>◦ failure to comply with the rules and regulations of the funding agency and/or University policies.</li> </ul> </li> <li>• Ensure expenses are charged to the correct account. <a href="#">Request a new account set up if appropriate</a> [3]. Provide supporting documentation to ORS for early account set ups.</li> <li>• Review and sign financial reports, in a timely fashion, as required by the research sponsor.</li> <li>• The PI understands and agrees to fulfill the reporting obligations and assume responsibility for all other obligations of the research agreement.</li> <li>• Authorize all travel claims and advances for student travellers that are for expenses relevant to the research being funded. If the PI is the travel agent, the claim is for a <b>visiting researcher</b>, the claim must be countersigned by the Department Chair or Dean.</li> <li>• If new construction, equipment installation or renovations are required, ensure that Resources policies and procedures have been followed and associated costs are covered.</li> <li>• Inform Sponsors and ORS in a timely manner, of any changes in the PI's employment status (e.g. maternity/parental leave, termination, resignation, sabbatical, receipt of Professor Emeritus, long term disability).</li> <li>• Notify RFS of any discrepancies with Account set up in FRS, ensure that account information is up to date. Most notable are the:             <ul style="list-style-type: none"> <li>◦ Award Amount,</li> <li>◦ Budget,</li> <li>◦ Start Date, and</li> <li>◦ End Date.</li> </ul> </li> <li>• Notify ORS of any matching funds and provide information on source of funds, account numbers, and work with ORS to set up matching accounts to include in the award reference.</li> <li>• Notify <b>ORS</b> of any transfer of funds (<b>non Tri-Council</b>) to another department so that appropriate agreements can be established.</li> <li>• Notify <b>RFS</b> of any transfer of funds (<b>Tri-Council</b>) so the Transfer of Funds Agreement can be established.</li> <li>• Contact ORS or Sponsor to request an extension on the term of funding.</li> <li>• Declare/Disclose any real or perceived conflict(s) of interest with funding agency and his/her Dean.</li> </ul>

Stakeholder	Category	Roles and Responsibilities
<b>Department Chair/ School Director (and/or Campus Director for OAC)</b>	<b>Due Diligence</b>	<ul style="list-style-type: none"> <li>• Ensure UofG policies and sponsor guidelines are followed when purchasing goods and services or authorizing expenditures to be charged to research accounts.</li> <li>• <b>For Tri-Agency awards (CIHR, CRCs, NSERC, NCEs, SSHRC)</b> ensure expenditures are in compliance with the <a href="#">Tri-Agency Financial Administration Guide</a> [2], as amended.</li> <li>• Review and, where appropriate, approve researcher requests for account set ups.</li> </ul>



**Stakeholder**

**Category**

**Roles and Responsibilities**

- Address concerns/issues in a timely manner as brought forward by Researchers/Account Holders, Department Administrators, RFS regarding to specific research projects and/or Account holders.
- Authorize travel claims and advances for PI's (including visiting researchers). Travel claims for PI's or **visiting researchers** must be signed by the Department Chair or Dean to confirm the relevance of the travel being funded.
- Ensure Travel and Expense claims are reviewed for:
  - completeness,
  - accuracy,
  - eligibility,
  - one-over-one approval (signed by someone in higher position than the traveller for eg. Traveller is grantee then Dept. Chair or Dean sign),
  - include the required supporting documentation as per University sponsor guidelines.

**Fiscal Responsibilities**

- Ensure financial transactions charged to research accounts are:
  - authorized in writing by the Researcher (or his/her appropriate signatory)
  - have appropriate supporting documentation.
- Process salary appointment changes and correcting journal entries in a timely manner.
- If the proposal includes the use of departmental resources, the associated costs and charges for use of personnel, equipment and facilities are included in the budget.
- Review over expended projects with the Researcher and have them cleared and closed in a timely manner.

**Communication Responsibilities**

- Work closely with respective Associate Dean of Research and Communications Administrator to ensure action is taken to resolve over-expenditures.
- Inform their Dean/ADR, in a timely manner, of any changes in employment status (e.g. maternity/parental leave, termination, receipt of Adjunct Professor, receipt of Professor Emeritus, sabbatical, long term disability).
- Provide ORS with confirmation of Researcher/Account Holder contact information for limited and adjunct appointments, e.g. start and end dates.
- Notify RFS of any discrepancies with Account set up in FRS, ensure account information is up to date. Most notable are the:
  - Award Amount,
  - Budget,
  - Start Date, and
  - End Date.

**Stakeholder**

**Category**

**Roles and Responsibilities**

**College Dean/ADR**

**Due Diligence**

- Any conflict of interest disclosed by the PI has been managed.
- The Dean/ADR is willing to work with the Department Chair/School Chair as necessary to resolve issue(s) with respect to administrative, financial and infrastructure support.
- The Dean/ADR will notify ORS, in a timely manner, if there is a conflict of interest of the PI.

**Fiscal Responsibilities**

- Provide budget approval of research awards, indicating that the PI is fiscally responsible to the University for the project.
- The Dean/ADR is responsible for resolving research account departmental over-expenditures.
- Authorize travel claims and advances for PI's (including visiting researchers).



Stakeholder	Category	Roles and Responsibilities
		Travel claims for PI's or <b>visiting researchers</b> must be signed by Department Chair or Dean to confirm the relevance of the travel being funded.

Stakeholder	Category	Roles and Responsibilities
<b>Research Services Office (RSO)</b>	<b>Due Diligence</b>	<ul style="list-style-type: none"> <li>Review, draft, negotiate agreements and budgets confirming ext awarded to the UofG, including funding from principal investigator institutions to co-investigating researchers at UofG.</li> <li>Review, draft, negotiate amendments to agreements to confirm changes, including but not limited to, extension to the term of the project/account, changes to amounts awarded, consulting with r sponsors accordingly.</li> <li><b>For Tri-Agency awards (CIHR, CRCs, NSERC, NCEs, SSHRC)</b></li> </ul> <p>- Ensure institutional compliance with the <a href="#">Agreement on the Administration of Grants and Awards by Research Institutions</a> [1], as amended. – Authoriz new research accounts and/or release of ongoing payments for continui subject to verification of applicant eligibility and applicable certifications humans, etc.).</p> <p>- Notify sponsors regarding any changes in eligibility or employment sta investigators, subject to terms of agreements and awards (e.g. maternity leave, termination, receipt of Adjunct status, receipt of Professor Emeritu long term disability, etc.)</p> <ul style="list-style-type: none"> <li><b>For all Sponsors excluding Tri-Agencies</b> – Prepare sub-agree support transfers of funding to co-investigating researchers at U Institutions.</li> <li>Request set up of research accounts to Research Financial Serv prepare files and enter data into RIS database.</li> </ul>

Stakeholder	Category	Roles and Responsibilities
<b>Research Financial Services (RFS)</b>	<b>Due Diligence</b>	<ul style="list-style-type: none"> <li>Review the financial terms of research agreements and make no dates and/or deliverables (e.g. due dates for invoices, financial r supporting documentation, expense eligibility, audit requirements)</li> <li><b>For Tri-Agency awards (CIHR, CRCs, NSERC, NCEs, SSHRC)</b> expenditures are in compliance with the <a href="#">Tri-Agency Financial Ac Guide</a> [2], as amended (and provide guidance to Researchers, D Chairs/Administrators, ORS as required on interpretation of <i>Guid</i></li> <li><b>For Tri-Agency awards (CIHR, CRCs, NSERC, NCEs, SSHRC)</b> the appropriate paperwork (e.g. Transfer of Funds Agreement) is support transfers of funding to co-investigating researchers at ot</li> <li>Place projects on HOLD (temporarily close research account) wh <ul style="list-style-type: none"> <li>non-compliance with sponsor guidelines or contract conc</li> <li>over expended projects have not received approval from</li> </ul> </li> </ul>

Stakeholder	Category	Roles and Responsibilities
	<b>Fiscal Responsibilities</b>	<p>department/faculty for continued spending,</p> <ul style="list-style-type: none"> <li>◦ extensions have not been approved by sponsor or depar</li> <li>◦ as directed by ORS when certifications have expired (and bio-hazard).</li> </ul> <ul style="list-style-type: none"> <li>• Prepare and submit all required financial reports and supporting to Sponsors by reporting deadlines.</li> <li>• Charge indirect costs to the research account in accordance with budget.</li> <li>• Monitor over and under-expenditures and provide regular reports Management and Colleges/Departments and outline action(s) ne the return of funds if applicable.</li> <li>• Ensure that all account information in FRS is accurate and up to notable are the:             <ul style="list-style-type: none"> <li>◦ Award Amount,</li> <li>◦ Budget,</li> <li>◦ Start Date, and</li> <li>◦ End Date.</li> </ul> </li> <li>• Generate invoices during the life of the research award in accor sponsor terms and conditions.             <ul style="list-style-type: none"> <li>◦ Perform collection role on research accounts receivable</li> <li>◦ Perform an advisory role regarding outstanding amounts problems.</li> </ul> </li> <li>• Transfer funds to co-investigators/collaborators once appropriate are in place.</li> <li>• Co-ordinate financial audits for research awards.</li> </ul>
	<b>Communication Responsibilities</b>	<ul style="list-style-type: none"> <li>• Advise department Chairs or Associate Deans of Research of ar are not being addressed in a timely manner by Researchers (i.e. accounts, sign off on financial reports, late submission of progres reports).</li> <li>• Liaise with sponsor representatives on issues of eligibility and co seek clarification of sponsor specific guidelines.</li> <li>• Provide clarification of sponsor guidelines and UofG financial po procedures to researchers and administrators.</li> <li>• Work collaboratively with internal and external partners to imple practices in financial research administration, accountability and</li> <li>• Provide related education and training for researchers and admin</li> </ul>

**Source**

URL:<https://finance.uoguelph.ca/departments-services/research-finance/university-guelph-roles-and-responsibilities-those-involved>

**Links**

[1] <http://www.science.gc.ca/default.asp?lang=En&n=56B87BE5-1> [2] [http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index\\_eng.asp](http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index_eng.asp) [3] <http://www.uoguelph.ca/research/for-researchers/funding/managing-funds/early-account-setup>

