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

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Research Administration Process: Manage Funding

RESXXXXXXXX - NSERC CRD project
RESYYYYYYYY - Industry CRD matched project

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NSERC Reporting

CRD	IRC
- Verification of Company Contribution - Status Report - Progress Report - Financial Reporting (Form 300) - Final Report	- Verification of Company 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 re-allocation 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 pre-authorize 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

Researcher Home Page – Viewing Outstanding A/R

Researcher Home Page – Viewing Outstanding A/R

Advanced Project Search

| Project Holder | [ ] 🔍 | Holder Role | [ ] 🔍 | Project | F 🔍 Lookup Project by Speedcode |

Project Status [▼] ☑ Active ☐ Inactive   Department [ ] 🔍

Project Description [ ]   Faculty [ ] 🔍

Project Title [ ]   OE Projects Only: ☐

Start Date From [ ] 📅 To [ ] 📅   Team Member [ ] 🔍

End Date From [ ] 📅 To [ ] 📅 Sponsor [ ] 🔍 Program [ ] 🔍   [Search] [Clear]

Projects   Personalize | Find | View All | 🖼 | 🔢 First ◀ 1 of 1 ▶ Last

Tabs: **Project** | Details | Over Expenditure

Grants Life Cycle	Project ID	Award End Date	Total Award	Funds Available Before Commitments	Over Expenditure Status	Funds Available After Commitments	Speed Code	Title	Description	Request
📖	RES003:	08/31/2018	$100,000.00	$71,250.00		$71,250.00		ɔ		▼

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.

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Project:

Holder:

Department:

Sponsor:

Program:

SpeedCode:

Project Type: RSBUD
Status: Past End Da
Start Date: 03/01/2014
End Date: 06/30/2017
Award Ref Num:
Award PI:
OE Status:

Awarded Amounts

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

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)

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