Code: QA510
Title: **Management of the Research Funding Lifecycle**
Date: 27th February 2020
Approval: Údarás na hOllscoille

1.0   Purpose

The purpose of this Policy is to enable research activity within University of Galway (the "**university**") by defining the principles pertaining to the application for, acceptance of, and management of research funding within the university. The Policy applies to all types of research funding, including but not limited to, competitive funding awarded by National and International Funding Organisations and Government Departments, as well as internal funding[1] and funding secured through contract research, tenders for service, private industry, consultancy, philanthropy and other non-commercial sources including the community sector. This Policy:

- Applies to all Personnel of University of Galway ;
- Defines the different stages associated with all phases of the research funding life cycle;
- Documents best practice procedures in relation to compliance with the financial and non-financial Policies of University of Galway and external funders;
- Outlines the requirement to seek to maximise the recovery of all direct and indirect costs in the costing of research-funded activity with the goal that financial and non-financial exposure for University of Galway is minimised.

2.0   Description & Regulation

University of Galway recognises that the responsibility for the management of research funding is shared between Professional Support Services, the Principal Investigator (PI) and the Budget Holder. The PI has overall responsibility for the funding application, the management of the project, including all contractual deliverables, as well as financial and non-financial accountability for carrying out the research in compliance with the policies of University of Galway and the Funder. The PI should normally be a member of academic staff[2]. Where the PI is a permanent member of staff, the PI is the Budget Holder. Where the PI is not a permanent member of staff, they may be the Budget Holder for an award within their own name, provided the award end date is on or before their contract end date. Where the PI's contract ends before the award end date, then the awardee's mentor or their Head of School will assume responsibility for the award post-employment contract end date until award completion.

2.1   Pre-proposal phase

2.1.1   The PI shall, in consultation with the Research Office (RO), ensure that they and the university are eligible applicants in accordance with the rules of the funding body.

2.1.2   All proposals for research funding must be submitted, by the PI, to the RO for approval prior to submission to the Funder, even if the Funder does not explicitly require an institutional endorsement of the proposal to ensure compliance with external funder

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[1] A separate procedure will govern the specific operation of internally funded research accounts.

[2] In exceptional circumstances, the College Executive Dean may allow other members of staff (*i.e.* technical and professional support staff) to be the Budget Holder.

conditions.

2.1.3 All financial and non-financial (*e.g.* space) implications of the proposed research activity must be considered by the PI and discussed with the relevant Head of School, and where appropriate, the relevant Director of Research Institute and College Executive Dean, prior to submission.

2.1.4 Where the proposed research activity is dependent on the use of specific specialist facilities (*e.g.* Clinical Research Facility, Pre-clinical Facility, Carna), the PI must discuss with and have these requirements approved by the appropriate Facility Manager/Director prior to submission.

2.1.5 Where the proposed research activity has industry involvement, or requires endorsement by the Innovation Office, or if there are any Intellectual Property considerations, the PI must consult and/or seek approval, as appropriate, from the Innovation Office.

2.1.6 The salary of specific named researchers (entry level post-doctoral researcher or above) should only be budgeted within a proposal in exceptional circumstances (*e.g.* where the researchers have specific competence and expertise relevant to the proposed role) and in all cases, clear and explicit justification must be provided by the PI.

2.1.7 The PI must fully cost (including Academic time where eligible) the proposed research activity with the intention to maximise the recovery of the eligible Direct and Indirect Costs. The RAO can provide both advice and guidance with proposal costing.

2.1.7 All industry-funded collaborative research and services must be fully costed by the PI at market rate in compliance with state aid rules.

2.1.8 University of Galway's standard rate of recovery of Indirect Costs is as follows:

- **Irish and International Funding Agencies, Foundations and Charities** shall be at the rate specified by the funder's standard terms and conditions.

  Collaborative research projects and other agreements shall normally be a minimum 40% of Direct Costs cognisant of state aid rules and sectoral norms. The RO & RAO provides advice in this regard.

2.1.9 All proposed budgets, including VAT where relevant, and related budget justifications associated with any funding proposal or industry/other project, must be approved prior to submission, as outlined below:

- Proposal budget less than €50K[3] - the budget must be approved by the RO.
- Proposal budget of an industry project less than €50K - the budget must be approved by the Innovation Office.
- Proposal budget exceeds €50K - the budget must be approved by the RAO.

2.1.10 The PI should submit the proposal budget to the relevant Office as early as possible but no later than 5 days prior to the proposal deadline to enable the approval to take place.

2.1.11 The RO will register a record of funding applications on a central Grants Management System (GMS) which will inform the university including, Heads of School, Directors of Research Institutes and College Executive Deans, of relevant funding applications.

2.2 *Post-proposal phase*

Contract review and research account setup

2.2.1 The Office of the Vice-President for Research (OVPR), in conjunction with the PI and advice

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[3] All amounts within this Policy are exclusive of VAT.

from RAO, as needed, will undertake a full review of all Contracts (these include Funding Agreements, Letters of Offer, Partnership/Inter-institutional Agreements, Collaboration Agreements) and include clear performance criteria[4] for the purposes of FRS102 accounting, prior to contract execution.

2.2.2   University of Galway template contracts should be used where possible for Industry projects.

2.2.3   The PI shall provide a completed Statement of Work using the approved Innovation Office template.

2.2.4   The Innovation Office will approve all Statements of Work associated with industry projects prior to finalisation of the agreement.

2.2.5   The PI must confirm through the GMS that they have read, understand and agree to abide by the terms and conditions of the contract before the contract is signed.

2.2.6   An Official Delegated Signatory will sign contracts.

2.2.7   University of Galway shall enter into collaborative or inter-institutional agreements where the project involves other Research Performing Organisations.

2.2.8   The PI is responsible for obtaining all relevant ethical and regulatory approvals pertaining to the proposed research, in accordance with the terms and conditions of the Funder.

2.2.9   The OVPR Team, in conjunction with the PI and advice from the RAO will (i) initiate the setup of a research account in accordance with the terms and conditions of the agreed contract upon university acceptance of each award/contract, (ii) provide the Budget Holder and nominees with access to the research account on the university financial system (Agresso) and (iii) provide the RAO team with the approved budget for activation on Agresso and the Human Resource system (Core).

2.2.10 Each research account must have a contract in place and may only have one funding source. Each account must have a clear start and end date in accordance with the funding contract.

Research project delivery, reporting and auditing

2.2.11 The PI is responsible for the scientific, financial and technical delivery of the research project. This includes adherence to all relevant Policies, including, but not limited to, Research Integrity, Ethics, Sabbatical Leave, Open Access, Research Data Management, Intellectual Property and Conflict of Interest. Relevant Support Units regularly run information sessions on University Policy and Procedures.

2.2.12 All income and expenditure commitments must be charged on Agresso to the correct project, managed, monitored and spent in accordance with the contract.

2.2.13 All supplies, services and work associated with the research activity must be undertaken in line with University of Galway's Policies and Procedures for Financial Accounting, including but not limited to, Procurement, Travel and Subsistence, Recruitment, Scholarships and Fellowships Policies.

2.2.14 The RAO will approve all financial reports and submit where relevant in compliance with the Funder's conditions.

2.2.15 The RAO will close research accounts within six months of receiving the final payment from the Funder.

2.2.16 Where an overspend exists on a finalised research account, the balance will be transferred to the destination for overheads as outlined in the university's Research Overhead

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[4] Often this is included within the proposal as a Gantt chart, project plan or statement of work.

Allocation Policy unless the PI notifies the RAO of an alternative suitable funding source.

2.2.17 Where an underspend exists on a finalised research account the balance, which does not have to be returned to the funder, will be transferred to the destination for overheads as outlined in the university's Research Overhead Allocation Policy.

2.2.18 The RAO will prepare the review of the research ledger on a bi-annual basis and review with the RO to identify accounts where there may be a potential concern and to initiate appropriate follow-up via the relevant College Executive Dean, Vice President for Research and the Bursar.

2.2.19 All central offices will retain documentation processed and reports in compliance with the terms and conditions of the Funder. The PI shall maintain all other project associated documentation.

3.0   Overhead Allocation

University of Galway invests overheads to enable research and to contribute toward the total university Indirect Costs associated with hosting and supporting research activity, as well as to contribute to supporting strategic research initiatives. Research overheads are allocated in accordance with the University of Galway Research Overhead Allocation Policy.

4.0   Access to Research Infrastructure

University of Galway owns the title to all research infrastructure purchased with external funds awarded to University of Galway, including awards to individual researchers. All research infrastructure is available for access by other University of Galway researchers.

5.0   Definitions

Term	Definition
Budget Holder	A current or retired research active[5] member of Academic staff.
Collaborative Research	Work involving research of mutual interest in which an industry party works with University of Galway.
Contract	An agreement to undertake research activities and services under specific terms and conditions in exchange for specified deliverables. Contracts include, but are not limited to, funding agreements, letters of offer, partnership/inter-institutional agreements, industry contracts and collaboration agreements.
Direct Costs	All Eligible Costs attributable directly to the research activity, including salary, materials, consumables, student fees, stipends, equipment and travel Costs.
Eligible Costs	Costs that are recognised by the Funder as allowable.
Full Costs	The total of the Direct and Indirect Costs.
Funder	All external entities and organisations that distribute funding provided by (1) the State, (2) National and International Government Agencies, (3) Charities and Foundations or (4) industry and other partners or private donors to Research Performing Organisations.
Indirect Costs	All Costs which cannot be attributed directly to individual projects. For example, research support, laptops, stationary, phones, legal, research accounting costs, insurance, cleaning, building maintenance, buildings and utilities.
Official Delegated Signatories	The Official University of Galway Delegated Signatories for Research Contracts are the Vice-President for Research, the Director of Research, the Director of Technology Transfer and the Associate Director of Technology Transfer.
OVPR Team	The staff of the Office of the Vice-President for Research – including Research Office (RO) and Innovation Office (TTO)
Policies and Procedures	The collection of ICT systems, forms, and documented controls and procedures, which, together, form the framework within which research must be carried out.
Pre-proposal	All stages in the funding lifecycle up to and including submission of the proposal.
Post-proposal	All stages in the funding lifecycle post notification of successful application up to and including full submission of final technical and financial requirements, closure of research accounts and any required audits.
Principal Investigator (PI)	The individual identified by the Funder as the grantee of the Contract.
RAO Team	The Staff of the Research Accounts Office.
Research Performing Organisation	Any organisation that performs research funded at least in part by the State – including Higher Education Institutions, Teagasc, clinical research

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[5] Current and retired members of staff are research active if they meet at least one of the following criteria: (i) In receipt of external research funding in their own name; (ii) A University of Galway referenced publication within the last five years; (iii) The supervisor of a current PhD or research masters fee paying student; (iv) Have submitted an application for external research funding within the last two years.

	facilities or translational medicine facilities based at hospitals and other publicly-funded research institutions.
Statement of Work	The project plan and deliverables for a research project as set out in a schedule of a contract.
University Personnel	All employees of University of Galway, visiting researchers, adjunct staff, consultants, emeritus staff and all others participating in research programmes carried out for University of Galway or undertaken using University of Galway assets.

6.0 Responsibilities

Name	Responsibility
Budget Holders	- Authorise PI Proposal submission and all financial reports to external funders. - Monetary accountability for carrying out the research within the funding limits awarded.
College Executive Dean	- Consider the financial and non-financial implications of funding applications aligned to the College research strategy. - Review list of concern accounts and follow up with the Principal Investigator to address. - Report to the OVPR on actions taken to attempt to mitigate the potential risk.
Director of Research Institute	Consider the non-financial implications of funding applications aligned to the Research Institute.
Head of School	Consider the financial and non-financial implications of funding applications aligned to the School.
Human Resources	Upon receipt of the hiring request, support the PI to fill the researcher posts in line with HR's Research Recruitment Policy and all other employee HR Policies.
Office of Vice President for Research (Research Office and Innovation Office)	- Approve all research proposals prior to submission to the Funder. - Approve all industry projects. - Advise PI on Funder requirements and submission processes. - Advise PI on research activity with industry involvement and on Intellectual Property considerations. - Review proposals to ensure they comply with funder's requirements. - Review and approve proposed budgets that are less than €50,000. - Endorse applications on Funder portals, as required. - Maintain a repository of research funding applications. - Draft, review, negotiate and modify, as required, all contracts on behalf of University of Galway. - Sign all contracts.

	• Provide contractual information to enable the calculation and transfer of partner payments.
	• Initiate the setup of research accounts in accordance with the terms and conditions of the agreed contract, approve eligible Budget Holders, and set up research project codes and related programme details.
	• Review the bi-annual report of the research ledger with the Research Accounts Office and initiate follow-up as appropriate.
	• Provide summary of the review of the research ledger to the College Executive Deans, Vice President for Research and Bursar.
	• Provide quarterly reports to UMT, Colleges and Schools on research funding applications and contracts signed.
	• Approve with the RAO the FRS102 research reporting.
Principal Investigator	• Discuss all financial and non-financial (e.g. space) implications of the proposed research activity with the relevant Head of School, Director of Research Institute, College Executive Dean prior to submission.
	• Discuss and agree requirements for the use of specific specialist facilities (e.g. Clinical Research Facility, Pre-clinical Facility, Carna) with the appropriate Facility Manager/Director prior to submission.
	• Fully cost all research funding applications, industry projects and tenders for service in line with University Policy.
	• Seek appropriate budget approval.
	• Log all funding proposals on the Grant Management System (GMS).
	• Seek approval from the Innovation Office if the proposed research activity has industry involvement, requires endorsement by the Innovation Office, or if there are any Intellectual Property considerations.
	• Immediately forward contracts from Funders to the OVPR for review, negotiation and execution.
	• Scientific, technical and monetary accountability for carrying out the research within the funding limits awarded and in accordance with the terms and conditions of the Funder and University Policies. This includes, but is not limited to, Policies on HR, Research Integrity, Ethics, Sabbatical Leave, Open Access, Research Data Management, Intellectual Property and Conflict of Interest.
	• Secure relevant ethical and regulatory approval pertaining to the funded research.
	• Maintain project-related documents and reports not stored in central office in compliance with the terms and conditions of the Funder.
Research Accounts Office	• Provide advice and guidance to PI on Funders financial terms and conditions and eligible and ineligible expenditure.
	• Provide advice and guidance to PI on ways to maximise proposal budgets.

	- Review and approve budget proposals equal to or in excess of €50,000. - Determine the VAT status of research budgets at pre-award stage and contracts at post-award stage with assistance from an internal VAT Advisory Group. - Provide advice at account set up stage and activate OVPR approved research budget and research projects codes on the financial, human resources and payroll systems (Agresso and Core). - Approve salary /scholarships available values and duration. - Provide Budget Holders with a suite of funder and other reports, including budget and actual income and expenditure, financial reporting schedules and alerts where corrective action may be required. - Review and process PI requests regarding miscoding and funder category reclassifications on the system. - Review expenditure and highlight areas for review for the PI. - Approve and submit where applicable financial reports to external funders. - Approve Budget reallocations and no cost extensions requests to funders. - Update Funder approved Budget reallocations and no cost extensions on system. - Calculate and initiate the transfer of funds due to partners. - Calculate the Bi-Monthly VAT on research income. - Coordinate Research project financial audits. - Close accounts within six months of the final receipt of funds. - Report to UMT, Colleges and Schools on Research Financials. - Calculation of the research activity in line with GAAP reporting. - Approve with the RO the FRS102 research reporting. - Implement the university's Overhead Allocation Policy.
Vice-President for Research and Bursar	- Policy owner - Review bi-annual balance review and, in conjunction with College Executive Dean and PI, implement corrective action.