# Management of Research Funding Procedure

Version 1 – Approved 25 May 2022

## Contents

## Purpose

This procedure documents the processes and key requirements for:

    a.    applying for research funding (which means competitive grants and direct offers of funding for contract research and consultancies), and

    b.    managing research funding once received by the University of Tasmania (University).

## Applicable governance instruments

| Instrument | Section | Principles |
|---|---|---|
| *Research Policy* | 3 Research Funding and Costing | Principles 3.1-3.2 |
| *Compliance Policy* | 2 Conflicts of Interest<br>3 Foreign Influence and Foreign Interference | Principles 2.1-2.2 |
| *People Policy* | 3 Consultancy | Principle 3.1 |
| *Behaviour Policy* | 1 Behaviour | Principle 1.1 |
| *Procurement Policy* | | |
| *Intellectual Property Policy* | | |
| *General Delegations Ordinance* | | |
| *Australian Code for the Responsible Conduct of Research* 2018 | | |
| *Modern Slavery Act 2018* | | |

## Procedure

**2. Introduction**

2.1. The management of funding refers to a series of process phases in the life cycle of a research project from project conception and idea creation through to the conclusion of a project. This document outlines the key requirements of these research funding phases:

a. pre-award (funding and project development and stakeholder engagement), and

b. post-award (contract development and negotiation, contract management, financial management and project management and project finalisation and reporting).

2.2. This procedure applies to all University academics, professional staff and their Academic or Divisional Unit who are involved with the development of research funding grants or in receipt of externally awarded research or research consultancy funds. It does not apply to Learning and Teaching activities, non-research activities or private consultancies.

**3. Applying for research funding (pre-award)**

3.1. Research funding can be sourced either through a competitive funding scheme (facilitated via grants and tenders) or directly negotiated with an external funding body (such as a contract research or research consultancy).

3.2. The first named University researcher (Chief Investigator) is responsible for ensuring:

a. the quality and compliance of all applications for externally awarded research or research consultancy funds, and

b. proposals align with all applicable funding guidelines and University policies and procedures.

3.3. Higher Degree by Research (HDR) Candidates are not permitted to take the role of Chief Investigator. If a HDR Candidate is applying for a research funding application, their primary supervisor must take on the role of Chief Investigator for internal university purposes.

3.4. Prior to submitting an application for research funding, the Chief Investigator must seek endorsement from their Head of Academic Unit, via an approved Research Funding Clearance Form, taking into consideration the project's:

• Strategic alignment to University, College and School priorities

• Project quality and benefits, including anticipated research impact and/or research excellence

• Appropriate risk, ethics and compliance profile of the project

• Budget, resources and feasibility.

3.5. Chief Investigators are responsible for preparing all required documentation for research funding applications and directly negotiated projects (contract research and research consultancies), including a completed Research Funding Clearance Form and Research Funding Costing Tool that must be endorsed by the appropriate Head of Academic Unit(s).

3.6. For research funding applications, all required documentation must be submitted to the relevant Research Hub a minimum 10 working days prior to any external deadline to enable sufficient time for processing.

3.7. Applications for external funding are required to be costed in accordance with the *Research Funding Costing Procedure, Procurement Policy, and* any guidelines provided by the funder.

3.8. For Australian Research Council (ARC), National Health and Medical Research Council (NHMRC) and other strategic funding round (as identified by the University), Chief Investigators are required to

adhere to any internal deadlines and additional requirements (such as Intention to Apply processes) as communicated by the College and Research and Research Training Portfolio.

3.9.    Providing appropriate internal deadlines have been met, the Research Hub will review applications for external funding for consistency with the Higher Education Research Data Collection (HERDC) specifications, grant scheme guidelines, readability, eligibility and compliance and internal University requirements.

3.10.   For externally administered research projects, where the University is a collaborator, the University Chief Investigator/s involved in the project must obtain Head of Academic Unit endorsement (see 2.4) and provide a copy of the external proposal, a Research Funding Clearance Form and a Research Funding Costing Tool prior to the application being submitted externally.

3.11.   Where the funder and/or collaborator/s are an overseas entity, prior to submitting a research funding application, the Chief Investigator must assess the risk profile of the funder and/or collaborators, including risks such as Modern Slavery and Autonomous Sanctions, and complete a Foreign Matters Assessment and provide the outcome to the Research Hub.  If additional reporting is identified as being required, the Office of Research Services will work with the Legal, Risk and Compliance teams to ensure appropriate action.

## 4.    Contract development

4.1.    All funded research projects must be formalised by appropriate research contract documentation, administered through the Research and Research Training Portfolio and executed by an authorised delegate as outlined in the University General Delegations.

4.2.    The Office of Research Services will, on behalf of the University and the Chief Investigator, liaise with external funding bodies and collaborators to negotiate an appropriate research funding agreement based on advice from Legal, Risk and Compliance, Financial Services, UTAS Holdings, Graduate Research Office, People and Wellbeing, the Chief Investigator and the associated College and School (as appropriate).

4.3.    The form of a research contract will depend on the circumstances and can include an exchange of letters, a research or research consultancy agreement or a grant deed.

4.4.    Where possible, University drafted research contract templates should be used.  If a funding body's contract is used, it must be reviewed by the Office of Research Services in consultation with Legal, Risk and Compliance.

4.5.    Intellectual property arrangements must be consistent with the *Intellectual Property Policy* and the University's intellectual property requirements as advised by the UTAS Holdings team.

4.6.    Once agreement is reached with the funding body the Chief Investigator and their Head of Academic Unit must confirm (via contract acceptance memo):

   a.   That they have read and understood the agreement, including the terms, obligations and advice provided.

   b.   They are aware of all project compliance and/or contract risks and agree to address any risk mitigation actions.

   c.   That they are aware of their responsibilities in accepting the funding, including all deliverables, financial and reporting obligations outlined in the contract.

   d.   That they will comply with the relevant legal and regulatory requirements, research codes and guidelines and University policies fundamental to the responsible conduct of research.

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4.7. The Office of Research Services will then facilitate Institutional approval by the approved research delegate in accordance with the *General Delegations Ordinance.* This includes appropriate signing of the research contract.

4.8. Copies of all fully signed contracts must be stored in the University Contract Register, HP Records Manager (HPRM).

## 5. Post Award Management of research funds

5.1. Upon execution of a research contract, the Office of Research Services will formalise the internal record of the project by entering the associated details onto the University's Research Management System.

5.2. If required, a request will be sent to the Financial Research Services team to open a new Financial Research Account.

5.3. During the life of the project Financial Research Services will provide support in raising invoices, producing required financial acquittals and facilitating financial reporting requirements, in consultation with the College Finance Hub and Chief Investigator.

5.4. The Chief Investigator is required to manage the awarded funds throughout the lifecycle of the project in accordance with the associated Funding Agreement, the provisions of *the Research Funding Costing Procedure*, *Procurement Policy* and any other University requirements.

5.5. The Chief Investigator will ensure that all research data has been managed in accordance with the *Management of Research Data Procedure*.

5.6. The Office of Research Services will support the Chief Investigator in ensuring reporting obligations are delivered as required by the associated funding agreement including submission where required via external portals (such as the Australian Research Council's Research Management System).

5.7. During the course of the project if deliverables are unable to be met, changes are made to the project team (including departure of University staff or students) or a project is experiencing challenges, the Office of Research Services must be notified as soon as possible to ensure appropriate contractual variations or notifications are executed.

5.8. If a variation to project is required, for example an extension is granted or new milestone deliverables negotiated, the Office of Research Services will negotiate and manage the execution of appropriate agreement to formalise the variation. The variation will be progressed as above, under Contract development and negotiation.

## 6. Project Finalisation and Reporting

6.1. At the completion of a project, the Office of Research Services will liaise with the Chief Investigator to ensure all project deliverables have been finalised and will record the project as complete in University's Research Management Systems.

6.2. The Chief Investigator will ensure that all project related research data, research outputs and intellectual property obligations have been management and delivered in line with the *Research Data Management Procedure, Publication and Dissemination of Research Procedure, Open Access Procedure and Intellectual Property Policy*.

6.3. All research accounts must be closed at the end of the research project and surplus funds will be dealt with in accordance with the requirements of the funding agreement and the *Research Funding Costing Procedure*.

## Related procedures

*Collaborative Research Procedure*

*Conflicts of Interest Procedure*

*Open Access Procedure*

*Peer Review Procedure*

*Publication and Dissemination of Research Procedure*

*Research Data Management Procedure*

*Research Ethics Procedure*

*Research Funding Costing Procedure*

## Versions

| **Version** | **Action** | **Approved by** | **Responsible Officer/s** | **Approval Date** |
|---|---|---|---|---|
| 1 | Approved | Deputy Vice-Chancellor (Research) | Executive Director (Research) | 25 May 2022 |

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## Schedule A: Roles & Responsibilities

*Office of Research Services*

- The Office of Research Services includes professional staff in the Research Hubs and Research Funding Team.

- The Research Hub facilitates all pre award processes including application and proposal development, the review of applications for readability, eligibility and compliance, assistance in obtaining the required College endorsements and approvals, and providing direct support in the submission of proposals to external funding agencies (where required).

- The Research Funding Team manages all the post award requirements including the review, negotiation, and execution of funding agreements, ensuring University requirements and processes are managed appropriately and institutional endorsement and acceptance of external funding is in accordance with the General Delegations – Ordinance.

- The Research Funding team support the Chief Investigator in managing all research projects on the University's Research Management Systems.

*Financial Services*

- Financial Services includes the Financial Research Services (FRS) team and the College Research Hubs.

- FRS, on notification from the Research Funding team, will establish a separate project account(s), for each new research funding agreement within the finance system.

- As required, FRS will make project reports available detailing all financial transactions and summarising the financial status of individual research projects.

- FRS raises invoices to external funding agencies in accordance with funding agreements and payment schedules.

- Prepares financial acquittals for Funding Bodies and other Funding Partners as required under research funding agreements.

- Co-ordinates independent audits of research funds as required under funding agreements.

- Conducts audits as required and in accordance with the Auditor General's Office.

- Ensures all research funds are linked to an allocated research project in the University's Research Management Systems.

*Academic Unit*

- Ensures that all applications are strategically aligned to their College Research Strategy and that the Academic Unit has the resources in place (capability, infrastructure, data etc.) to adequately support proposed research projects.

- Agrees all project costs (direct and indirect), including any UTAS cash and in-kind commitments, have been correctly included in an associated research project budget.

- Agrees the proposed research project can be accommodated within the general facilities of their School/Institute or Centre and that sufficient support will be provided to Researchers.

- Agrees the expenditure of research funds is in accordance with the approved funding agreement and budget; and

- Agrees the expenditure of research funds is approved appropriately prior to the release of funds in accordance with the *General Delegations Ordinance.*

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*University Chief Investigator*

- Submits all research funding applications including those externally administered, to the appropriate research Hub, along with a completed Clearance Form and Costing Tool.

- Fully costs all externally funded research activity and adheres to the requirements outlined in the *Research Funding Costing Procedure*.

- Completes a risk assessment on their research project in accordance with the *Risk Assessment Policy* and *Procedure*.

- Considers an appropriate Data Management Plan in accordance with the *Research Data Management Procedure*.

- Expends all research funds, and retains expenditure documentation, in accordance with the approved research funding agreement and associated budget and within the timeframes outlined in the research funding agreement and any subsequent variations approved by the funder.

- Obtains required ethics approval/s in accordance with the *Research Ethics Procedure*, regardless of whether the Chief Investigator on the collaborative research project is affiliated with the University.

- Complies with the terms of the funding agreement and ensures that the project is delivered on time and within budget.

- Responds with due diligence to foreign interference and modern slavery risks regarding potential international research partners and service providers.

- Complies with other relevant University policies and procedures, as appropriate.