

Management of Research Funding Procedure

Version 2 – Approved 23 May 2023

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

Procedure

1. Introduction

- 1.1. 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, project management, project finalisation and reporting).
- 1.2. 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 (including Expression of Interest (EoI), tenders and other competitive research funding opportunities) or in receipt of externally awarded contract research or research consultancy funds. This procedure applies to both UTAS led and externally led research funding proposals. It does not apply to Learning and Teaching activities, non-research activities or private consultancies.

2. Applying for research funding (pre-award)

- 2.1. Research funding can be sourced either through a competitive funding scheme (facilitated via grants, tenders or EoI) or directly negotiated with an external funding body (such as a contract research or research consultancy).
- 2.2. The first named University researcher (Chief Investigator) is responsible for ensuring:
 - a. the quality and compliance of all applications for externally awarded research funding, and
 - b. proposals align with all applicable funding guidelines and University policies and procedures.
- 2.3. Higher Degree by Research (HDR) Candidates are permitted to take the role of Chief Investigator on Research Funding applications. A primary supervisor must be included on the Research Funding Clearance form and will be responsible for providing appropriate supervision and guidance to the HDR candidate, approving expenditure on financial accounts associated with awarded projects and ensuring project completion to acceptable standards).
- 2.4. Prior to submitting an application for research funding, all University Chief Investigators listed on the research funding proposal must have received endorsement from their Head of Academic Unit (and Colleges as required), 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, including assessment of the proposed collaboration in accordance with the *Collaborative Research Procedure*.
 - Budget (including cash and in-kind contributions), resources and feasibility.
- 2.5. 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 (or equivalent) that must be endorsed by the appropriate Head of Academic Unit(s).
- 2.6. For research funding proposals (competitive or direct offers), all required documentation must be submitted to the relevant Research Hub a minimum of 10 working days prior to any external deadline to enable sufficient time for processing. If this timeframe is not adhered to, acceptance of

the research funding proposal (and any associated funding offer) will be at the discretion and approval of the Head of Academic Unit and College.

- 2.7. 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.
- 2.8. For Australian Research Council (ARC), National Health and Medical Research Council (NHMRC) and other funding rounds (as identified by the University or a College), 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 Division.
- 2.9. 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, compliance and alignment with internal University requirements.
- 2.10. 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 (or equivalent) prior to the application being submitted externally.
- 2.11. Chief Investigators are responsible for ensuring a Risk Assessment is undertaken on all research projects in accordance with the *Risk Management and Business Resilience Policy* and *Risk Management Procedure*. This should include appropriate assessment on all funding bodies, collaborations, and engagements in accordance with the *Collaborative Research Procedure*.
 - a. The Chief Investigator must assess the risk profile of the funder and/or collaborators, including risks such as Modern Slavery and Autonomous Sanctions prior to submitting a research funding application.
 - b. For all foreign entity arrangements, a Foreign Matters Assessment must be completed and submitted to the Legal and Audit team via Service Now, and the outcome provided to the Research Hub. Funding team government reporting is identified as being required, the Research Funding team, will work with the Legal, Risk and Compliance teams to ensure appropriate action.
- 2.12. Chief Investigators must ensure that they have considered all appropriate insurance requirements in accordance with *Risk Management and Business Resilience Policy*.

3. Funding Outcomes and Contract negotiation (post-award)

- 3.1. All funding outcome notifications must be notified to the Research Funding team. Upon receipt of a successful outcome, a member of the Research Funding team will be allocated to the project and will support the Chief Investigator in managing the contractual negotiations and formal acceptance of the funding offer from the external funding body/collaborator.
- 3.2. All funded research projects must be formalised by appropriate research contract documentation, administered through the Research Funding team, and executed by an authorised delegate in accordance with the *General Delegations Ordinance*.
- 3.3. The Research Funding team 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 Innovation Ventures (InVent), Graduate Research Office, People and Wellbeing, the Chief Investigator and the associated College and School (as appropriate).

- 3.4. 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 in accordance with the *Collaborative Research Procedure*.
- 3.5. Where possible, University drafted research contract templates should be used. If a funding body's contract is used, it must be reviewed by the Research Funding team in consultation with Legal, Risk and Compliance.
- 3.6. Intellectual property arrangements must be consistent with the *Intellectual Property Policy* and the University's intellectual property requirements as advised by UTAS InVent.
- 3.7. 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 legal 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 ensuring that all milestone deliverables, financial and reporting obligations are met as outlined in the contract.
 - d. That they will comply with relevant legal and regulatory requirements, research codes, guidelines and University policies and procedures fundamental to the responsible conduct of research.
- 3.8. The Research Funding team 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.
- 3.9. Copies of all fully signed contracts must be stored in the University Contract Register, HP Records Manager (HPRM).

4. Management of project and research funds (post-award)

- 4.1. Upon execution of a research contract, the Research Funding team will formalise the internal record of the project by entering the associated details onto the University's Research Management System.
- 4.2. If required, a request will be sent to the Financial Research Services team to open a new Research Account in the University's Financial system.
- 4.3. 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.
- 4.4. During the life of the project Financial Services will provide support and guidance to the Chief Investigator in the appropriate management of their research project:
 - a. Financial Research Services (FRS) will establish new project accounts, raising all associated invoices in line with executed funding agreements, producing as required financial acquittals and facilitating financial reporting requirements.
 - b. College Finance Hubs will provide access to the research finance funding dashboard and other detailed expenditure reports, assist with budgeting/costing of research projects, and provide support in the ongoing management of a project's research budget.

- 4.5. The Chief Investigator will ensure that all research data has been managed in accordance with the *Research Data Management Procedure*.
- 4.6. The Chief Investigator is responsible for ensuring that all milestone deliverables are submitted to the external funding body/collaborator by the nominated due date as outlined in the associated contract.
 - a. A copy of the milestone report and/or confirmation of completion must be provided to the Research Funding team who will ensure all completed milestones are closed off against the project record on the University Research Management systems.
 - b. The Research Funding team will support the Chief Investigator with milestone deliverables required to be submitted via external portals (such as the Australian Research Council's Research Management System or the National Health and Medical Research Council's Sapphire portal).
 - c. If milestone deliverables are not completed by the nominated due date and notification/ reason for the delay has not been provided to the Research Funding team, the overdue milestone deliverable will be listed on the monthly overdue report that is sent to Heads of Academic Unit and respective College and University Executive teams.
- 4.7. During the course of the project if milestone 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 Chief Investigator must notify the Research Funding team as soon as possible to ensure contractual obligations are managed appropriately. This may include negotiating variations to research contracts in consultation with the Funding Body/Collaborator.
- 4.8. If a variation to project is required, for example a time extension or new milestone deliverables negotiated, the Research Funding team will negotiate and manage the execution of appropriate agreement to formalise the variation. The variation will be progressed as outlined in Section 4.

5. Project Finalisation and Reporting

- 5.1. At the completion of a project, the Research Funding team will liaise with the Chief Investigator to ensure all contractual project deliverables have been finalised and will record the project as complete in University's Research Management Systems.
- 5.2. 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*.
- 5.3. On delivery of the final contractual milestone, Financial Research Services will work with the Chief Investigator to ensure all financial obligations under the research funding agreement are complete, such as issuing and payment of final invoices, completion of required financial audits and acquittals and the return of unspent funds to the funding body/collaborator as required by the research funding agreement.
- 5.4. Once all financial requirements and expenditure have been finalised, the College Financial Hubs will liaise with the Chief Investigator to close the associated research project account and distribute any remaining funds in accordance with College requirements and the *Research Funding Costing Procedure*.

Related procedures*Collaborative Research Procedure**Conflicts of Interest and Gifts and Benefits Declaration Procedure**Open Access Procedure**Peer Review Procedure**Publication and Dissemination of Research Procedure**Research Data Management Procedure**Research Ethics Procedure**Research Funding Costing Procedure**Risk Management Procedure***Versions**

<u>Version</u>	Action	Approved by	Business Owner/s	Approval Date
1	Approved	Deputy Vice-Chancellor (Research)	Executive Director (Research)	25 May 2022
2	Approved	Deputy Vice-Chancellor (Research)	Executive Director (Research)	23 May 2023

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Definitions and acronyms can be found at: <https://www.utas.edu.au/policy/policy-definitions>Related policies and procedures can be found at: <https://www.utas.edu.au/policy>

Schedule A: Roles & Responsibilities

Responsible conduct of research is an institutional commitment and is underwritten by the legal and institutional compliance instruments.

Pre and Post Award Funding

- The Pre and Post Award teams includes professional staff in the Research Hubs and Research Funding Team.
- The Research Hubs facilitate 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 contractual 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 contractual matters relating to all research projects on the University's Research Management Systems.

Financial Services

- Financial Services includes the Financial Research Services (FRS) team, the College Finance Hubs, Accounts Payable and Receivable, and Procurement.
- Financial Research Services (FRS) are responsible for:
 - Establishing a separate project account(s), for each new research funding agreement, within the finance system, on notification from the Research Funding team.
 - raising invoices to external funding agencies in accordance with funding agreements and payment schedules.
 - preparing financial acquittals for Funding Bodies and other Funding Partners as required under research funding agreements.
 - coordinating independent audits of research funds as required under funding agreements.
- Ensuring all research funds are linked to an allocated research project in the University's Research Management Systems. Coordinating any repayment of funds, as required under research funding agreements College Finance Hubs are responsible for:
 - Providing project reports (on request) that detail all financial transactions and summarising the financial status of individual research projects.
 - Provide access and training to Research Finance Dashboard.
 - Providing advice with budgeting and eligible expenditure of research funds.
 - Providing advice with managing your research budget.
- Accounts Payable and Receivable, and Procurement teams will:
 - Pay supplier invoices, supported by an approved purchase order, within the required payment terms
 - Ensure invoices sent to funders are paid
 - Advise on insurance matters

Head of Academic Unit

The Head of Academic Unit is accountable for all Pre and Post Award Funding activities being carried out within their areas including compliance and contractual obligations associate with the project, such as.

- 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*.
- Ensures that all research funding accepted and proposed research collaborations are within the University's Risk Appetite and adhere to the *Collaborative Research Procedure* principles.

University Chief Investigator

The Chief Investigator is responsible for all pre and post award compliance and contractual obligations associate with the project, such as:

- Submits all research funding applications including those externally administered, to the appropriate Research Hub, along with a completed Clearance Form and Costing Tool.
- Fully cost 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 Management and Business Resilience Policy* and *Risk Management Procedure* including appropriate due diligence and assessment on all research collaborations.
- Ensures that they have considered all appropriate insurance requirements in accordance with *Risk Management and Business Resilience Policy*.
- Considers an appropriate Data Management Plan in accordance with the *Research Data Management Procedure*.
- Expend all research funds and retains relevant supporting documentation (if specifically required, such as retaining copies of staff employment contracts) 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 required.