

<b>Policy Title</b>	<b>Research Administration Policy (Roles and Responsibilities)</b>
<b>Responsible AIU Office (Higher Management/Directorate)</b>	Office of the VP for Research Affairs
<b>Policy Owner (Executive Department/Office)</b>	Chief Financial Manager (CFO) or Office of Research Services
<b>Pertinent Dates</b>	Draft1: 25 <sup>th</sup> June 2022.

## I. SCOPE OF POLICY

[Provides a comprehensive description of the policy, the need for it, different parties interested, the problem or conflict the policy addresses, legal or regulatory reasons for the policy, and an outline for the procedures required and operational activities affected.]

**The purpose of this Policy to establish general principles and procedures for the development, approval and administration of research projects conducted at AIU. Also, to set out the primary responsibilities of the major parties involved in research administration**

## II. DEFINITIONS

[Provides a list of definitions for terms that may be unfamiliar or used in a specialized context in the policy.]

1.1 “**Administering Unit**” means the academic division, department or unit in which the Principal Investigator holds an appointment that accepts (and is eligible to accept under the University’s applicable policies and procedures) administrative responsibility for a Sponsored Research project.

1.2 “**Direct Costs**” means the costs of a project that can easily and accurately be identified as such. Examples include but are not limited to salaries, wages and benefits of research personnel, materials and supplies, travel, equipment and rental of space.

1.3 “**Indirect Costs**” means the costs of a project that cannot be directly attributed to it, usually because they are incurred for objectives common to multiple projects, multiple researchers or multiple functions of the University. Examples include but are not limited to building use and depreciation, equipment depreciation, physical plant and maintenance (including utilities, hazardous waste disposal, and security), insurance, financial administration (including purchasing and accounting) and libraries.

1.4 “**Principal Investigator**” means the individual responsible for the intellectual leadership of a Research project.

- 1.5 “**Research**” means investigation or experimentation aimed at the discovery or interpretation of knowledge, the systematic collection or revision of knowledge in light of new facts or theories, the development and application of methodologies to increase knowledge and the practical application of knowledge to specific problems or circumstances, as may be more particularly described in any guidelines issued pursuant to this Policy.
- 1.6 “**Research Agreement**” means an agreement entered into or proposed to be entered into by the University in respect of Research and includes any Sponsored Research agreement and any agreement to provide or receive materials, information or data, or any other tools to facilitate Research.
- 1.7 “**Sponsored Research**” means Research undertaken or proposed to be undertaken using financial and/or other (e.g. in-kind) support, whether by participation in a competition, call for proposals, or pursuant to an agreement of any kind.

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### III. POLICY STATEMENT

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[This section clearly and concisely states AIU’s position (goals, plans, or intentions) on the subject matter addressed by the policy, lists the various parties that are required to follow the policy and the situations where the policy applies. This section also includes a clear description of how the policy will be enforced together with any conditions or restrictions.]

**Principal Investigators (PIs), Project Holders, administrators in faculties and departments, and central administrative units need to understand their respective roles regarding the administration of research proposals and awards at AIU, where this is the most effective form of meeting the obligations.**

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### IV. RESPONSIBILITIES

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[This section includes a list of the roles or units who are responsible for policy implementation and related processes (e.g. faculty, students, operating units, departments, managers, etc.). A summary of the major responsibilities/key actions of each is required together with the framework of interactions/hierarchy among them. Details can be provided separately in the procedures section.]

#### **1- The Principal Investigator** is responsible for:

- preparing the proposal for the project, including its budget and statement of work;
- submitting the proposal to the sponsor once it has been endorsed by the University in accordance with this Policy, except in instances where submission by the University is specified by the sponsor;
- carrying out the work as stated in the proposal or as otherwise stated in the Research Agreement; ensuring that all persons working on the project, whether paid or unpaid, are fully informed of and agree to comply with all applicable terms of the Research Agreement or sponsor’s funding terms;

- ensuring that all obligations with respect to intellectual property, whether pursuant to the Research Agreement, sponsor's funding terms, or University policies, are met;
- maintaining scholarly or scientific records and data in accordance with the Research Agreement, sponsor's funding terms, University policies, and best practices of the Principal Investigator's academic discipline, whichever is more rigorous;
- submitting (and retaining at least one copy of) reports and other deliverables in the form and by the dates specified in the Research Agreement or sponsor's funding terms;
- authorizing all expenditures in accordance with the Research Agreement or sponsor's funding terms and the policies and procedures of the University;
- following all relevant laws, regulations, and University policies and procedures in the conduct of the project; and
- informing the Administering Unit and the office of the Vice-President of Research as soon as possible if the Principal Investigator becomes aware of any circumstances that could prevent satisfactory completion of the project or compliance with any terms and conditions of the Research Agreement or sponsor's funding terms.

## 2- Project Holder

In many cases, the project holder and PI will be the same person. However, there are instances where the PI cannot be the project holder pursuant to University policy. The primary responsibilities of the project holder are:

- Exercising financial control over research funds, including:
  - approving all expenditures where such approval indicates that expenditures are - eligible in accordance with the terms and conditions of the award;
  - necessary to the research being undertaken;
  - reasonable and conform with the financial guidelines of the sponsor and University;
  - incurred within the eligible dates of the award.
  - reviewing and approving financial reports;
  - monthly review and verification of research expenditures and other project information using PeopleSoft; and
  - processing expenditures in the fiscal year incurred.
- Delegating signing authority in accordance with University policy.
- Being personally responsible for unauthorized over expenditure, ineligible costs, and revenue lost due to failure to meet the terms and conditions of the award.
- Submitting all required reports and deliverables to the sponsor in accordance with the terms and conditions of the award.
- Advising the Department, Faculty, RSO and sponsor of:
  - any change in academic status of the project holder (e.g. extended, sabbatical, medical, maternity or paternity leave; retirement or resignation, etc.);
  - any other changes that may impact the terms and conditions of the agreement.

## 3- The Administering Unit is responsible for:

- providing the necessary support for the project (including administrative support, financial support and space as indicated in the proposal) and ensuring the sustained operation of the research infrastructure and assets funded by the sponsor by including related operating and maintenance costs into planning and budget processes and documents;
- processing authorized expenditures in accordance with the Research Agreement or sponsor's funding terms and the policies and procedures of the University;
- maintaining financial records in relation to the project in accordance with the Research Agreement or sponsor's funding terms and the policies and procedures of the University, whichever is more rigorous; and,
- absorbing all financial shortfalls associated with the project, whether occasioned by failure to comply with the Research Agreement or sponsor's funding terms, overspending, or shortfalls in revenue.

**4- The office of the Vice-President of Research** is responsible for:

- approving proposals for Sponsored Research on behalf of the University, unless otherwise expressly delegated;
- negotiating and executing Research Agreements on behalf of the University;
- overseeing the administration of Sponsored Research funds in a restricted research fund throughout the term of the Research Agreement or sponsor's award;
- providing financial reports to the sponsor in accordance with the Research Agreement or sponsor's funding terms;
- informing the Principal Investigator and the Administering Unit as soon as possible if the office of the Vice-President of Research becomes aware of any significant adverse matter in respect of the project.

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**V. POLICY STANDARDS AND PROCEDURES**

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[The section contains the full text of the policy, including detailed information about the policy components and procedures.]

**Proposals for Sponsored Research**

- 1- Any eligible member of the academic staff of the University who wishes the University to secure financial or other support for Research shall prepare a proposal which includes, at a minimum, the following information: a statement of work, identification of the individuals who would undertake the work, the facilities to be used, and a budget for the project, including provision for the recovery of the full costs incurred in support of the proposed Research.

- 2- Individuals must meet the published guidelines of the University and of the Research sponsor to be considered eligible to act as a Principal Investigator.
- 3- All such proposals must be approved by the Principal Investigator and the appropriate officials in the Administering Unit and/or the academic division housing the Administering Unit, and then submitted to the appropriate unit of the office of the Vice-President of Research for institutional review and approval before being sent to the sponsoring organization.

### **Full Cost Recovery in Research**

The University is committed to the principle of recovering the full costs incurred in support of Research. Costs include the Direct and Indirect Costs of Research unless the Research is subject to more restrictive formal, publicized terms or policies regarding cost recovery associated with a sponsor.

### **Application and Administration**

- 4- This Policy applies to all Research conducted or proposed to be conducted at, or under the auspices of, the University using University personnel, students, premises, resources, services, facilities, or equipment. Guidelines issued under this Policy shall be followed to determine whether an activity or proposed activity is Research for the purposes of this Policy.
- 5- The Vice-President of Research is responsible for the administration of this Policy, is authorized to approve guidelines, regulations and procedures pursuant to this Policy and may, in unusual circumstances, approve modifications to the application of this Policy if she/he is satisfied that it is in the best interests of the University to do so. Such modifications shall be reported annually to the Planning and Budget Committee of the University. The Vice-President of Research (or designate) is also authorized to execute such agreements and other documents as may be necessary or desirable to implement this Policy on behalf of the University.

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## **VI. FORMS/INSTRUCTIONS (if applicable)**

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[This section lists the forms that are required to comply with the policy and provides the purpose of each form with any conditions, restrictions, and/or exceptions for their use. A hyperlink to the applicable form(s) should be provided if available.]

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## **VII. APPENDICES (if applicable)**

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[This section includes any additional relevant information or documents in attached appendices.]

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#### VIII. RELATED POLICIES

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1. Interaction with Industrial Partners for Research Funding Purposes
2. Interaction with Extra-mural Research Funding Agencies
3. Research Fund Management and Financial Practices
4. Indirect research costs

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#### VIV. CONTACT INFORMATION

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[Lists relevant position titles and/or offices who may be contacted by University community members for any questions about the policy.]

<b>Triggered by:</b>	Name	Date	Sig.
<b>Created by:</b>	Name	Date	Sig.
<b>Revised by:</b>	Name	Date	Sig.
<b>Approved by:</b>	Name	Date	Sig.