RESEARCH ACCOUNT MANAGEMENT PROCEDURES

Grant Account ("Worktag") Setup – External Grant Funding

1. An application should have been submitted to ORS prior to obtaining the award. The application would include the following pages:
    a. Research Project Information Form (RPIF) with the PI, Unit Head/Dept Head, Dean (or designate), and if applicable, any co-applicants and corresponding department signatures
    b. Sponsor's Signature page (usually page 1) if applicable
    c. Page listing all co-applicants and collaborators, if applicable
    d. Page(s) with abstract or project summary
    e. Budget summary and budget justification
2. A copy of the agency's notice of award outlining the project term date, awarded amount, financial reporting requirements, terms and conditions of award; and
3. UBC certificate numbers for any research involving human subjects, animals or biohazardous materials (a valid certificate must state the exact title of the project and funding agency).

    When a grant account has been established, researchers will receive an automated e-mail (or "research project budget") with the worktag, or grant ID, and additional account information.

According to the Tri-Council Memorandum of Understanding, you must obtain the appropriate ethical approval within six months of the award date. If you do not receive your ethical compliance certificate within six months, the sponsoring agency may consider that the condition of award has not been fulfilled and reallocate the funds.

Grant Account Setup – Contracted or Non-competitive Funding

In some cases, an agency may award funding without requiring a formal grant application. Before a research account can be set up, you will need to submit the following to ORS:

1. Research Project Information Form (RPIF) with the PI, Unit Head/Dept Head, Dean (or designate), and if applicable, any internal UBC co-applicant signature forms.
2. Grant Information Form (internal form in lieu of sponsor application), including project title, summary of project, and budget outline.
3. A copy of the agency or sponsor notice of award outlining the project term date, awarded amount, financial reporting requirements, terms and conditions of award.
4. UBC Human ethics, animal care, or biosafety certification numbers for any research involving human subjects, animals or biohazardous materials. For a certificate to be valid it must state the exact title of the project and funding agency.

When a grant account has been established, researchers will receive an automated e-mail (or "research project budget") with the worktag, or grant ID, and additional account information.

Project / Grant Account Setup – Internal UBC competitive funding

Internal UBC funding awarded through competitions such as the Eminence Cluster, SSHRC Explore & Exchange Grants, Critical Research Tools (CRET) are distributed into research accounts once the following documents have been received by the Office of Research Services from the signing authority for the awarded funds:

1. Research Project Information Form (RPIF) with the PI, Unit Head/Dept Head, Dean (or designate), and if applicable, any internal UBC co-applicant signature forms
2. Copy of the application or a completed Grant Information Form (internal form in lieu of sponsor application), including project title, summary of project, and budget outline.
3. A copy of the funding unit's notice of award outlining the project term date, awarded amount, financial reporting requirements, terms and conditions of award.
4. UBC Human ethics, animal care, or biosafety certification numbers for any research involving human subjects, animals or biohazardous materials. For a certificate to be valid it must state the exact title of the project and funding agency.

When an RPB has been established, grant recipients will receive an automated e-mail with the PG # (Project Grant) and account information.

Project / Grant Account Setup – Internal UBC department or faculty provided funding

Internally provided, non-competitive funding such as research allowances or matching funds from a department or faculty are opened in accounts once the following documents have been received by the Office of Research Services from the signing authority for the awarded funds:

1. Request for Project Grant form completed by funding administrators
2. Supporting documents, i.e. letter of commitment, that outlines information such as: project term date, awarded amount, financial reporting requirements, terms and conditions, etc.

When an RPB has been established, grant recipients will receive an automated e-mail with the PG # (Project Grant) and account information.

Transferring a Tri-agency research account TO UBC

The transfer of a grant to a new institution must be initiation by the institution currently administering it. To complete a transfer, ORS must receive

1. An RPIF, copy of funding application, and original award letter
2. A form 303 from the institution currently administering the grant

Once these documents are received, ORS will finalize the form 303 with UBC institutional signature. further information on transferring Tri-Agency Grants available within the Tri-Agency Guide on Financial Administration

Transferring a Tri-agency research account FROM UBC

Transfer of a SSHRC, NSERC, CIHR, or NFRF grant to a new institution must be initiated by the institution currently administering it. To initiate a transfer from UBC to another eligible institution, ORS must receive

1. A Grant Amendment form,
2. A form 300 & form 303 (these are completed by research finance)

Once these documents are received, ORS will submit the grant transfer package to the tri-agencies on behalf of the researcher.

Researchers must also follow internal procedures at the institution receiving the grant.

Sending a Subgrant

1. Account holder (PI) must ascertain that the intended subgrantee is eligible to receive the subgrant: typically this means they are formally listed as a co-applicant
2. If necessary, a grant amendment form can be completed to request adding a new co-applicant to an existing project for tri-agency grants
3. The Account holder (PI) submits a request for subgrant form to ORS. Note that there is a separate form to request subgrants for UBC Internal grants.

Receiving a Subgrant

1. For external funding, subgrant recipient (co-applicant) should have submitted an RPIF and copy of completed application to ORS at the time the grant application was submitted to the funding agency.
2. ORS at the institution administering the grant will send a research contract to ORS for signature.
3. Once the RPIF & application copy have been received and the research contract has been signed, ORS will set up the subgrant account.

Requesting an Extension to a Grant (Tri-agency funds)

1. Account holder (PI) fills out page 1, section 2, and supporting narrative of the Grant Amendment form.

   Institutional Representative:
   Kristen Korberg, Associate Director, Office of Research Services
   250-807-8832
   Kristen.korberg@ubc.ca

2. ORS liases with tri-agency to complete extension request on PI's behalf.

Requesting an Extension to a Grant (non tri-agency funds)

1. Account holder (PI) determines contact for sponsoring agency.
2. If account extensions are granted directly to the PI, they are then responsible for providing written approval to ORS to complete account updates.
3. All extension requests for accounts managed by UILO must go through them, not ORS.

Depositing Cheques to a Research Account

All cheques to be deposited in Research Accounts must be made payable to the University of British Columbia

Researchers who receive a cheque from a partner or funder must inform ORS/ UILO and Research Finance of its receipt, and forward the cheque to UBC Okanagan Research Finance for deposit

Grant Account Closures

UBCO Research Finance is responsible for the financial reporting and closure of grant accounts.

POLICIES

UBC Research Policy (LR2) [https://universitycounsel-2015.sites.olt.ubc.ca/files/2019/08/Research-Policy_LR2.pdf]

University Signature Procedures [https://ors.ok.ubc.ca/policies/signature-policy/]

Tri-Agency Guide on Financial Administration [https://www.nserc-crsng.gc.ca/interagency-interorganismes/TAFA-AFTO/guide-guide_eng.asp]

Indirect Cost Rates at UBC Okanagan [new page in quick links area]

UBC Human Research Policy (LR9) [https://universitycounsel-2015.sites.olt.ubc.ca/files/2021/10/Human-Research-Policy_LR9.pdf]

General Research Funds (NSERC and SSHRC) [https://science.gc.ca/eic/site/063.nsf/eng/h_5429D5A5.html] *Information on the guidelines for use of unspent NSERC and SSHRC funds*

LINKS & RESOURCES

Request for Project Grant (RPG) Form

Additional Forms [link to internal 'quick links' list of forms?]

Completing a Research Project Information Form (RPIF)

Compliance & Ethics

Research Finance

Research Finance ensures that all sponsored research funds at UBC's Okanagan campus are administered in compliance with funding agency, university, and accounting policies.

University Industry Liaison Office

Does your project build on or require a contract to be signed with a government or industry partner? The UILO team will be part of your application.