External Research Grant Application Life Cycle

Idea ➤ Draft proposal ➤ ROMEO ➤ AVP Approval ➤ Submit ➤ Notice of Award ➤ Work Order & Ethics

1) Idea Stage: The Facilitator will make sure the Researcher is eligible to hold a grant at VIU and assist with choosing the best funding opportunity, creating application templates and setting a timeline for completing the application. Where applicable, the Facilitator will consult with the VIU Foundation to coordinate multiple VIU proposals to the same Funder.

2) Draft Proposal: The Facilitator will review content, formatting, budget and matching fund commitments according to the Funder's criteria and provide feedback. At the Researcher's request, the Facilitator will arrange for external peer review of major applications (i.e. NSERC, SSHRC, CIHR, or CFI) that are received at least four weeks prior to the competition deadline.

3) Completion of External Grant and Contract Intake Form in ROMEO: The intake form records institutional commitments, ethics certifications required, and indirect (overhead) cost recovery made at the time of application submission. Researchers are responsible for obtaining the approval of their Dean and possibly other approvals, as necessary, by submitting the intake form in ROMEO. VIU has an overhead/indirect cost guideline of 25% of total project costs (i.e. over and above the full expenses of the grant). In cases when a Funder's policy is not congruent with VIU's, the Researcher can request to waive the need to pay these costs by completing the Indirect Cost Waiver section of the form. The Facilitator is available to assist and answer questions.

4) Submission to AVP, Scholarship, Research and Creative Activity (SRCA): The Associate Vice-President, SRCA requires the draft application for review and approval at least two weeks prior to the Funder's deadline for NSERC, SSHRC, CIHR, CFI applications and one week prior to the Funder's deadline for other research proposals. Once the Dean has approved the External Grant and Contract Intake Form in ROMEO, the Facilitator will forward the application with intake form to the AVP for approval in the ROMEO system.

5) Submission to Funding Agency: Researchers who submit the application directly should forward the final copy to the Facilitator. Tri-Agency and institutional applications, as well as research contracts, must be submitted by the SRCA Office.

6) Notice of Award Received: The Facilitator will contact the applicant and their Dean/Director to advise them of the outcome. If the applicant receives the Notice of Award directly, please send a copy to the Facilitator. This is required in order to set up your work order.

7) Work order: All successful research grants will be assigned a work order. An orientation for new grant holders can be set up to walk them through the work order process and other procedures needed to undertake the research.

Work order paperwork is prepared by the SRCA Office and forwarded via e-mail to the Researcher with instructions for completion. The respective Dean and Secretary will be copied on the e-mail. A work order package consists of 1) work order request form; 2) notice of award; 3) ethics certifications (if applicable); 4) budget cashflow form; and 5) signing authority forms. The work order forms should be completed by the Researcher as soon as possible. The authorizing signature of the Dean is required on the work order paperwork. The Researcher should return the complete package to the SRCA Office.

SRCA Office confirms the certifications (human, animal, biohazards) and authorizes work order : Upon receipt, the SRCA Office reviews the work order package for completeness and ensures that any ethical (human/animal/biosafety) certifications required are in place. The work order paperwork is then forwarded to Finance. Work order paperwork is only forwarded to Finance for activation once all certifications are in place.

Finance will activate the work order and funds will be available for the Researcher's use. SRCA Office staff will contact the Researcher to review the work order, signing authorities, guidelines for eligible expenditures, and ethics renewals.

FTA	Hire	Purchase	Report	Fiscal Year End	Leave Terminate Transfer	End Date Extension	Residual Funds

8) Fund Transfer Agreement: In instances where VIU is receiving grant funds from a primary grant holder at another institution, or sending grant funds to another eligible organization, a fund transfer agreement may be required. The SRCA Office coordinates this process.

9) Hiring Personnel: Researchers need to follow VIU guidelines for hiring students and (if applicable) hiring within VIU's affiliations (ADMIN, CUPE, BCGEU, VIUFA). For detailed information on the hiring process for research-related activities and suggested pay ranges, see the Research Personnel webpage.

To advertise VIU undergraduate and master's student positions, including Work-Op funded positions, Researchers should contact the Student Employment Office by emailing StudentEmployment@viu.ca. To access a broader pool of applicants or to recruit a doctoral student or postdoctoral fellow, forward the job duties, qualifications, and pay rate to recruit@viu.ca. A template will be created for the position to advertise it on the VIU Employment Postings webpage. After selecting a candidate, the Researcher should review the Research Employment Matrix to determine how to pay the employee/student and initiate payment or appointment. In most instances, Researchers will use the Research Employment Payment Request Form to arrange for the appointment. For questions on research employment or awards, please contact the Research Services Manager in the SRCA Office. An alternative to employing research personnel is engaging independent contractors. The SRCA Contracts Facilitator can assist with developing a contract with an external service provider.

10) Purchases: It is the responsibility of the Lead Researcher (or delegate) to authorize **all** purchases, including purchase orders, expense claims, cheque requests, and Pcards. To check the eligibility of a purchase, follow the Tri-Agency Guide on Financial Administration, even if the grant is not from SSHRC, NSERC or CIHR. Prior authorization from the Funder is required for significant deviations from the project objectives and budget. All expenses should be direct-charged to the project work order, not charged elsewhere and transferred in later. Tri-Agency funds may not be mixed with other funding (e.g. registration fees) in the same work order. Anyone can initiate a **Purchase Order** in FIS, but only signatories may authorize a purchase. Only Procurement Services can issue a Purchase Order. Supplier(s) should not begin work until a Purchase Order is issued. For questions, contact Procurement and Contract Services.

11) Reporting and Deliverables: The SRCA Office tracks grant reporting requirements and other deliverables, and e-mails the Researcher automatic reminders when narrative reports/deliverables are due. Researchers must deliver a copy of each narrative report/deliverable to SRCA to be retained on file. **Finance** automatically prepares a financial report (Form 300) for Tri-Agency grants (NSERC, SSHRC, CIHR). The Researcher, with the assistance from Faculty personnel, is responsible for completing financial reports for all other grants. All invoices and financial reports are subject to review by **Finance** before submission to the Funder. Where applicable, the Researcher must keep the necessary information (e.g. timesheets) on file for a possible audit by the Funder.

12) Fiscal Year End: Before March 31, the SRCA Office consults the terms of the grant and advises Finance on year-end management of research-related work orders, including closure or deferment to the next fiscal year.

13) Leaves, Terminations and Grant Transfers (incoming and outgoing): VIU is obligated to inform the Funder of the Researcher's ongoing eligibility to hold the grant. The SRCA Office must be informed as soon as possible of a Researcher's intention to take a leave, change employment, or terminate a grant. Differing guidelines apply depending on the type of leave and funding agency. Where a Researcher wishes to transfer an active grant to VIU or to another eligible institution, the SRCA Office will work with the other institution and the Funder to effect a grant transfer.

14) End Date Extension: Most NSERC, SSHRC, and CIHR grants allow for an automatic one-year extension past the grant end date. To extend the end date of other grants, a request must be made. Ethical (human/animal/biosafety) certifications may need to be renewed. To extend a project end date, please contact the Facilitator.

15) Residual Funds: If funds remain after completion of the project, the SRCA Office will review the terms of the grant and advise whether the funds may be transferred to the Researcher's department or banked research account. Where 25% indirect (overhead) costs have not previously been paid on a non Tri-Agency grant, these will be deducted. Over-expenditures on research grants are the responsibility of the Researcher.