
 جامعة الإمارات العربية المتحدة United Arab Emirates University 	Research and Sponsored Projects Policies Manual	Policy Number	RA-02
		Effective Date	12-Aug-2018
	Subject Externally Sponsored Research Projects and Programs	Most Recent Review Date	15-Apr-2018
		Due Date for Next Review	01-Sep-2021
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2. Externally Sponsored Research Projects and Programs

Overview

Support for UAEU's instructional, service and research missions may be available from external sponsors through grants, contracts, underwriting, or other forms of sponsorship.

This document defines the policy and procedures related to the submission and administration of externally sponsored research projects and research programs/centers.

Scope



Applies to all externally sponsored research projects and programs at the UAEU including collaborative research with other institutions.

Objective

The University aspires to achieve international recognition as a research-intensive university. A crucial strategy is to increase the chances of success in applications to secure external grants to support research projects, programs, and centers. This policy is designed to support Colleges, Institutes, Centers, and their faculty members to apply for external research grants and contracts and provide effective administration of obtained awards.



Policy

1. In order to ensure that sponsorship is appropriate and that it fulfills all quality control standards, all proposals for sponsorship must be made through proper administrative channels as outlined in the Procedures accompanying this Policy.
2. All proposals for sponsored research will have a Lead or Principal Investigator (PI), who will take on the administrative and scientific leadership of their respective project(s).
3. The PI has the primary responsibility for the formulation and execution of the research plan and for submitting interim and final reports describing the deliverables as set out in the research contract or grant agreement. All requests to the respective College or Center for personnel and purchasing/lease actions for equipment, goods, and services related to the execution of the research project must be initiated by the PI in compliance with University Policies and Procedures.
4. The RSPO has the primary responsibility for the administrative oversight of proposals for research sponsorship (pre-award). The RSPO shall support applications by PIs if they satisfy criteria outlined in the Procedures accompanying this Policy.
5. Colleges, Institutes, and Centers of the UAEU have the primary responsibility for the administrative oversight of grant agreements or contracts that result from successful proposals (post-award). This includes administrative oversight of expenditure of funds provided in compliance with University Policies and Procedures.
6. Faculty PIs are encouraged to involve, whenever appropriate, undergraduate and postgraduate students in research projects as research assistants.

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Procedures of Policy No. (2) - Externally Sponsored Research Projects and Programs

1. Criteria for support of applications for external grant funding:
 - a) An academic or administrative unit must be willing to accept responsibility for the sponsored activity and must have adequate space, research facilities, and faculty or staff members who are available to perform the activity.
 - b) The project should be consistent with the Mission and Goals of the University.
2. The following procedures will be observed for all externally-sponsored research grants and contracts and for all potential sponsors including collaborative research with other universities, centers, public or private entities:
 - a) Principal Investigators should first submit “RSPO Form 2013-1: Request for Proposal Approval and Submission” along with a summary proposal to obtain preliminary approval from the RSPO for applications or proposals to be submitted to external sponsors. This form includes the proposed preliminary budget and signatures of the Principal Investigator(s), the Department Chair, the Dean, and the Director of RSPO. If the proposed work is or includes a subcontract from or to a partner institution, this should be identified along with a support letter from the partner institution.
 - b) Proposals will follow the formats required by the sponsor or suggested by the RSPO when a format is not specified. Budgets for all grants and contracts will cover both direct and indirect costs at current rates using recent quotations for equipment, goods, and services. Personnel costs may be estimated based on internal consultations or guides available through the respective College or RSPO, and the Policy on Indirect Cost Recovery rate (Overhead) and Faculty Time Buy-Out.
 - c) If pertinent, negotiations between the Principal Investigator and the sponsor may then be initiated in consultation with the RSPO.
 - d) The RSPO is responsible for the final internal review of the research contract or grant agreement, and as pertinent, to obtain University approval as per the Signatory Authority, and subsequent submission to the sponsor for signing formalities.
 - e) When the contract or grant is awarded, the RSPO will issue a project number and coordinate with Finance to establish a corresponding grant fund; notify the College Dean or Center/Institute Director, Department/Unit Chair or Coordinator, project Principal Investigator(s), and appropriate administrative offices; and take other steps as necessary so the Principal Investigator(s) may start the research and begin to make appropriate charges to project fund.
3. Any correspondence proposing modification of the terms or conditions of a contract or grant, including changes in the scope of the work or the period of performance, or an increase or decrease in the total estimated costs, or change in the Principal Investigator(s) will be forwarded to the RSPO, and have the endorsement of the Department Chair and the Dean or Director. If such modifications require an amendment to the research agreement or contract, such an amendment will be reviewed by the RSPO and submitted for University approval as per the Signatory Authority.

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4. The RSPO, in coordination with the respective PIs and their Academic Units will issue periodic invoices to the sponsors as per the terms of contracts or agreements and coordinate with Finance to deposit payments into the grant fund taking into consideration any deduction for overhead.

5. At the conclusion of the project and after submission of the final report, the RSPO will coordinate with the relevant offices closure of the project fund and the refund and/or utilization of any remaining balance in consistency with the research contract or agreement.