

Policy Name: Establishment of an Institutional File and Account
Policy Number: F/UNTHSC/RES/OGCM-010
Scope: All Researchers
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I. POLICY

To set parameters for establishing sponsored research projID's and tracking expenditures as per established accounting practices. An institutional file will be established and maintained for all externally and internally sponsored research.

II. PURPOSE

To facilitate audits by establishing an institutional file for all research applications to both internal and external funding agencies and entities.

III. PROCEDURE

All applicants for external funding for research to be conducted at the Health Science Center must submit a copy of the application submitted to the funding agency, to the Office of Grant and Contract Management and any applicable internal routing forms for review and approval.

Researchers should provide the Office of Grant and Contract Management with any correspondence with the sponsor or agency and documentation received from the agency or sponsor.

This is necessary to 1) facilitate audit procedures within the institution; 2) to provide the cognizant office with the official document requesting funding; 3) to verify that the research meets the mission of the institution.

All documentation must be provided in order to set upProjID's.

Once an award or fully executed agreement has been received by OGCM, it is matched with a proposal and an award is generated in EIS. If not available in the proposal file, the PI must submit to OGCM a budget that directs the distribution of funds into acceptable budget categories as defined by the proposal or award if necessary. If a budget is not received in a timely manner, OGCM may issue the award by placing all funds into the M&O category and determine distribution into budget categories upon receipt of the budget from the PI. The PI and department are responsible for carefully reviewing the account summary to verify that the figures are consistent with the award documentation. If not, OGCM must be notified so that corrections can be made.