

## Roles and responsibilities for support of externally-funded projects where the project code starts with R, T or O

This guide aims to help PIs to identify who provides support at each stage of externally-funded research projects, from award notification through to the end of the project. More detailed guidance and information on applying for and managing grant funding is on the RIN Portal: <https://portal.uea.ac.uk/rin/>, or via your Project Officer (see <https://portal.uea.ac.uk/rin/contact-us>). Please note that support for certain functions may need to involve your School Manager and/or local support team. Please check with them on a case-by-case basis.

Scenario	Principal Investigator (PI)	Head of School (or delegate)	RIN Project Officer (or delegate) (RID)	RIN Finance (RID)	Faculty Finance (FPG)	UEA Procurement (FPG)	UEA HR (HRD)	Notes
<b>General enquiries on live projects - who to contact</b>								
Enquiries on funder terms and conditions, reporting to the funder, project budgets etc.			Funder T&Cs, contractual arrangements and project recruitment. Liaises with funders on behalf of UEA	Budgets and financial reporting to funders	Assist with day-to-day charging of expenses/transactions to projects. Guidance on UEA's expenses policy and UBW workflow issues	Provide advice on UEA's policies on purchases and tendering	Provide advice and guidance to RIN Project Teams on HR-related matters	Support for certain functions may involve School Manager/local support
<b>Project set up</b>								
New award, supplementary funding for live project or transfer in of existing award	Checks award terms and budget & confirms acceptance to RIN via e-mail	Checks award terms and budget & confirms acceptance to RIN via e-mail	Issues internal award acceptance paperwork to PI and HoS via e-mail					Award notification circulated to others as necessary, e.g. Faculty Finance, PGR Office
Contract signing/acceptance			Signs on behalf of UEA					Contracts/agreements must only be signed by a UEA authorised signatory. For R, T and O grants this is always RIN
Award has been accepted/contract fully signed	Starts working on project in accordance with start date		Issues internal award acceptance confirmation to PI and HoS via e-mail	Set up budget in UBW	Facilitate authorised signatory arrangements in UBW (adding/removing approvers in UBW)			Award notification circulated to others as necessary, e.g. Faculty Finance, PGR Office
New award setup meeting (as required)	Meets with RIN (and others) to discuss funding T&Cs and project activities		Arranges meeting with PI and others to discuss funding T&Cs and project activities	Attendance at setup meeting				Others may attend as necessary, e.g. School Mgr or Faculty Finance
Minor contractual changes occur after RIN consultation with the funder	Manages amended project in accordance with content of AN3		Issues internal award amendment confirmation to PI and HoS via email	Amend UBW to reflect revised arrangements				Award amendment circulated to others as necessary, e.g. Faculty Finance, PGR Office
<b>Project staff appointments</b>								
Appointing new staff to a project (fixed term or temporary)	Completes recruitment paperwork, liaising with RIN Project Team	Signs formal HR appointment paperwork	Supports recruitment, liaising with the PI, HR and the funder as necessary				Confirm grade of post, advertise post and issue formal offer letter to successful candidate	
Timesheets for UEA staff working on funded projects	Ensures timesheets are completed by all relevant UEA project team staff if required by the funder	Approves timesheets as necessary		Receive and retain completed and signed timesheets as part of claim management				
Extensions/terminations of staff appointments	Completes paperwork as advised by HR/RIN	Approve as necessary	Calculates budgets for extensions and liaise with HR/the funder as necessary				Issue formal paperwork to employee	
Queries or changes on project staff appointments	Line manages UEA staff on funded project. Liaises with RIN Project team for queries or changes	Overall responsibility for staff within School	First point of contact for queries about project staff				Provide advice and guidance on HR-related matters	
<b>Project finances - ALL PURCHASES MUST BE IN LINE WITH UEA AND FUNDER POLICIES (see <a href="https://portal.uea.ac.uk/finance/regulations-and-procedures">https://portal.uea.ac.uk/finance/regulations-and-procedures</a> and <a href="https://portal.uea.ac.uk/procurement">https://portal.uea.ac.uk/procurement</a> for details of UEA policies and procedures)</b>								
Purchasing goods					Authorise expenditure in UBW	Provide advice on UEA's procurement policy		
Contracting with service providers	Ensures expenditure is in line with UEA and funder policies. Raises requisition in UBW as necessary	Approves requisition/claim (unless PI has delegated authority)			Authorise purchase order in UBW	First point of contact for discussion around quotes and tendering process. Liaise with PI to carry out tendering for high-value goods/services		

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Claiming expenses for travel/subsistence	Completes expenses claim in UBW in line with UEA expense claim rules	Approves requisition/claim (unless PI has delegated authority)		Retain expense claim paperwork and receipts as part of claim management	Authorise claim in UBW. Provide advice on UEA's expenses policy			
Transfer of funds between budget headings	Liaises with RIN Project Team regarding need for amendment. Manages project in line with approved changes		Liaises with PI and funder as required, in advance of budget transfer	Amend budgets on UBW to reflect revised arrangements				
Ongoing budget management	Ensures expenditure is eligible and within budget			Carry out budget reviews in line with funder requirements	Set up and remove approvers in UBW; guidance on UBW workflow issues			
<b>Changes to live projects</b>								
Extension to end date	Liaises with RIN Project Team regarding need for amendment. Manages project in line with approved changes		Liaises with funder as relevant. Issue internal award amendment confirmation to PI and HoS via e-mail	Amend UBW to reflect revised arrangements				Award amendment circulated to others as necessary, e.g. Faculty Finance, PGR Office
Change of PI/Co-I institution	Liaises with RIN Project Team regarding need for amendment. Manages project in line with approved changes		Liaises with relevant parties. Manages contractual arrangements between UEA/funder/collaborators. Issues internal award amendment confirmation to PI and HoS via email	Amend UBW to reflect revised arrangements				
<b>Projects involving:</b>								
Collaboration with other organisations	Manages approved collaborative work on project		Liaises with relevant parties; draft/review/sign collaboration agreement	Manage invoicing and transfer of funds between UEA and collaborating organisations.				
Sharing personal data outside of UEA	Manages data in accordance with signed data sharing agreement	Overall responsibility for data management within School	Liaises with relevant parties; draft/review/sign data sharing agreement					UEA Data Protection Team provide support as necessary
Transfer of Materials	Manages materials in accordance with signed material transfer agreement	Overall responsibility for management of Materials within School	Liaises with relevant parties; draft/review/sign material transfer agreement					
Commercialisation of IP	Liaises with RIN IP Team for commercialisation of IP		RIN IP Team liaise with relevant parties; manage contractual and payment arrangements					
Reporting to the funder	Responsible for technical/narrative reporting. Ensures all eligible expenditure is charged to project and liaises with RIN Finance for financial reporting			Reconcile expenditure and submit financial statements to the funder				
UEA ethics	Prepares and submits ethics application for approval. Runs project in accordance with ethics approval	Overall responsibility for research ethics and governance within School						Ethics applications should be submitted to the relevant sub-committee of the University Research Ethics Committee
NHS ethics/governance	Prepares and submits IRAS application for approval. Runs project in accordance with HRA/RES approval	Overall responsibility for research ethics and governance within School	Reviews and approves IRAS application (UEA-sponsored projects only) and any subsequent amendments					
<b>End of project</b>								
Project closure and ongoing activities/responsibilities	Submits final narrative report to funder as required. Continues to manage/archive research data in line with ethics approval and UEA policies	Approves transfer of project overspend/underspend to School budget code if applicable. Overall responsibility for ongoing management/archiving of research data within School	Archives project file and retains for required duration	Final reconciliation of budget and close account in UBW. Submits final expenditure statement to funder as required.	Identify School budget code for project overspend/ underspend if applicable			Ineligible costs charged to projects are treated as overspend and are transferred to the relevant School budget code