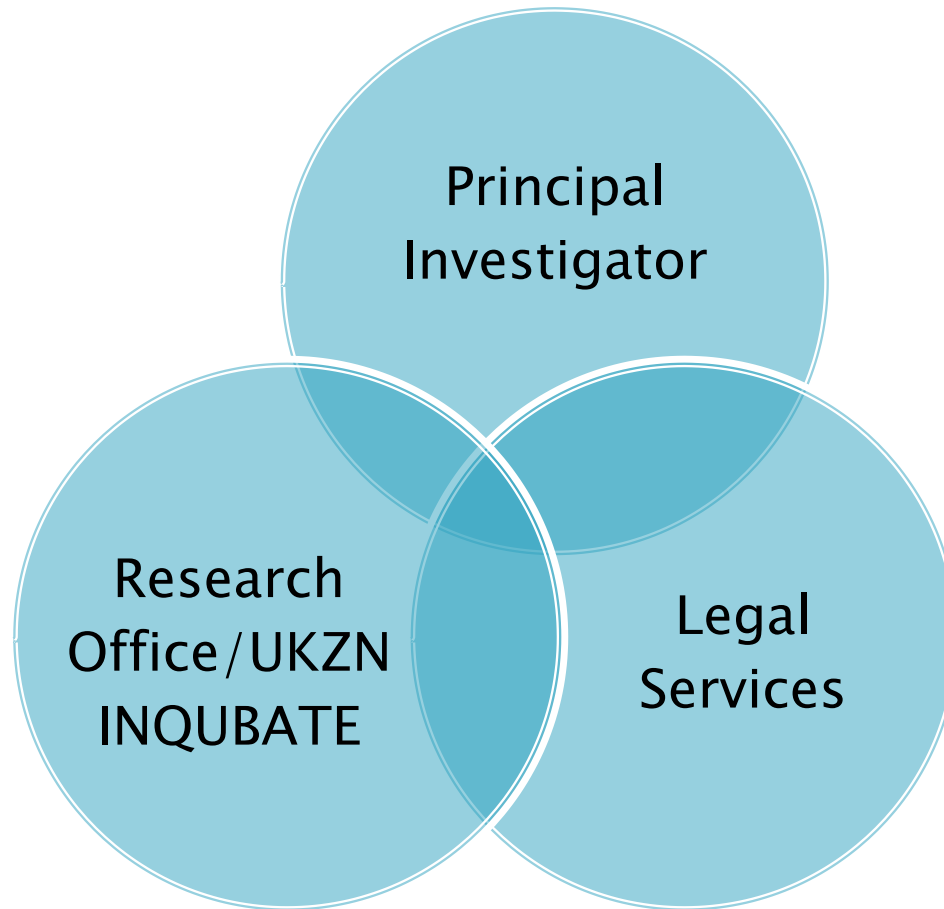


**UKZN'S ROLE IN RESEARCH APPLICATIONS,
MONITORING AND REPORTING**
Moni Mokotedi

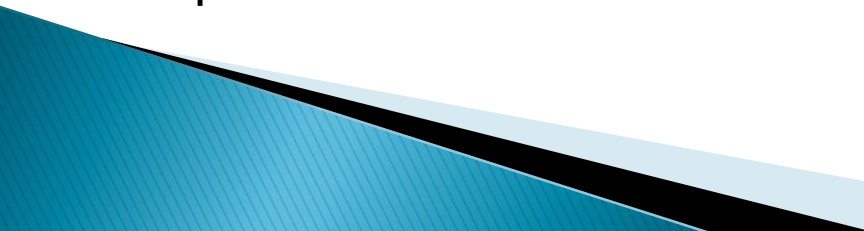
OBJECTIVE

- ▶ To have working knowledge of the UKZN systems and roles of different departments in the preparation and management of grants

ROLE PLAYERS



PREPARATION STAGE

- ▶ Identify the call early that you want to submit the application
 - ▶ Identify your principal investigator (PI)- UKZN regulations- permanent member of staff, if on contract, period and approval by Dean and HoS
 - ▶ Put together your team, other opportunities for buying time etc
 - ▶ Apply for era commons- same regulations- permanent member of staff etc
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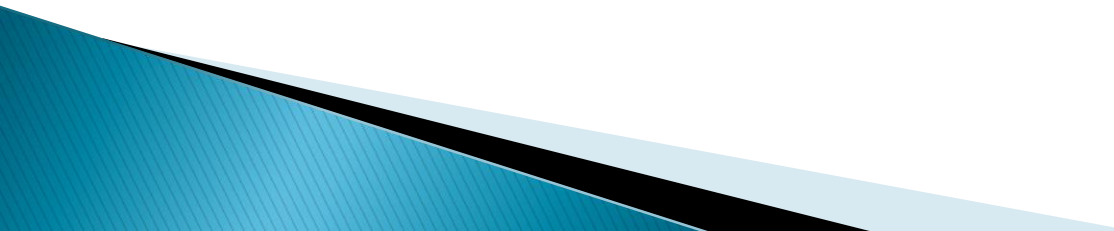
PREPARATION STAGE.....

- ▶ Responsibility of the PI and team to put together the application package, eg scientific writing, budgets, letters of support etc
- ▶ Confirmation form (FORM 1)- HoS and Dean and College Dean of Research
- ▶ Supporting letter- scope of your participation
- ▶ UKZN is registered institution- all registration numbers are on the Legal Services website- address: <http://legalservices.ukzn.ac.za>
- ▶ UKZN signing official (SO): Deputy Vice Chancellor: Research: Prof Nelson Ijumba


SUBMISSION STAGE

- ▶ Electronic submission- send application package in time once completed to Research Office
- ▶ LS- processes the application
- ▶ Same principles applies for non-electronic applications
- ▶ Timing is important- allow for review processes
- ▶ Once reviewed and given the go ahead (changes made if any), sent to SO- for approval, once done the submission is done on his behalf

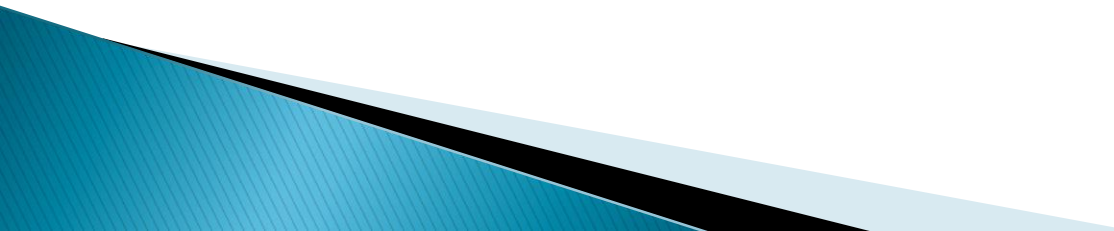
POST-SUBMISSION STAGE

- ▶ Track number- PI responsibility to check any errors and any issues to be addressed and sent to LS for re-submission
 - ▶ Just in time: sent to the PI, submission later in the process, after review. PI must address the issues and send to LS for submission
 - ▶ PI responsibility all the way!
- 

AWARD STAGE

- ▶ Notice of Award –legal document- important to read- terms and conditions applicable
 - ▶ Code of Federal Regulations (CFR)- applicable to higher education institution
 - ▶ Subcontracting- same terms as the main recipient
 - ▶ NIH Policy statement- intellectual property, access
 - ▶ Administration- the PI- new developments at UKZN- College and UKZN Inqubate
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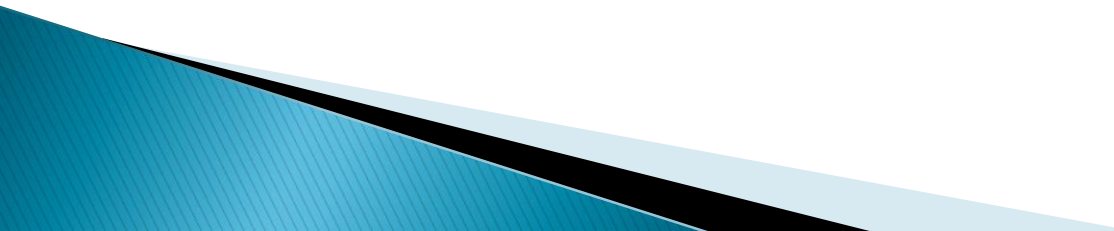
MONITORING AND REPORTING

- ▶ Obligations of the institution- the PI discharging these obligations
 - ▶ Quality of work –required format, appropriate forms, etc
 - ▶ Meeting the obligations –very important to adhere to the deadlines, always be in contact with your grants management specialist
 - ▶ NoA- progress reports and federal financial reports should be submitted when due- allow time for internal processes
- 

MONITORING AND REPORTING

- ▶ Invention statement – report to the funding agency- acknowledge support in patents
- ▶ Federal financial reports (FFR)-Director: Research Financial Services has been delegated to submit these on behalf of UKZN
- ▶ End of your project- no renewal- final reports due: progress, ffr, invention statement and certification- 90 days end of grant support
- ▶ Record retention: requirement to retain financial and programmatic records, supporting docs, 45 CFR Part 74.53 and Part 92.42

MONITORING AND REPORTING

- ▶ PI should monitor their own expenditure- put systems in place to ensure compliance
 - ▶ NIH will question any inconsistent with expenditure that is not within the allocated budget period
 - ▶ Comply with prior approval requirements
- 



We need to work together

CONCLUSION

- ▶ Questions?
- ▶ Contact details: Legal Services

legalservices@ukzn.ac.za

Tel: (031) 260 1257

Legal Advisor: mokotedim@ukzn.ac.za