



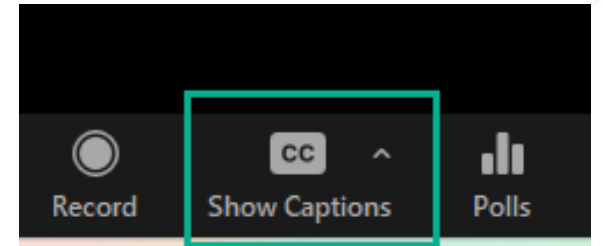
The Research Administrator's Playbook: Essential Policies & Guidelines

Wednesday, June 18, 2025, 1:30 – 2:30 pm

- **Melodie Buhagiar**, Associate Director, Academic Policy & Process, Vice-President, Faculty & Academic Life
- **Tina Coccia**, Director, Partnerships, Division of the Vice-President, Research & Innovation
- **Rames Paramsothy**, Senior Business Analyst, Financial Services
- **Renee Cheng**, Senior Procurement Officer, Research Portfolio, Procurement Services

Reminders

- We will be **recording** today's session.
- Slides and recording will be shared following the session.
- **Minimize distractions** to focus on learning!
- As needed, move your body (stretch, stand up) so that you can stay focused.
- Please mute your audio and turn off your video.
- We will have time for questions at the end of the session. **Please type your questions into the chat box.**
- Turn on captioning if needed.



Access Check

Access is a shared responsibility between everyone in this space. In doing this together, we strive to welcome disability, and the changes it brings into this space for learning and growth.

If there is anything that may affect your participation in this session, please use the Zoom chat to send a private chat message to **Luke Wesley**

Land Acknowledgement

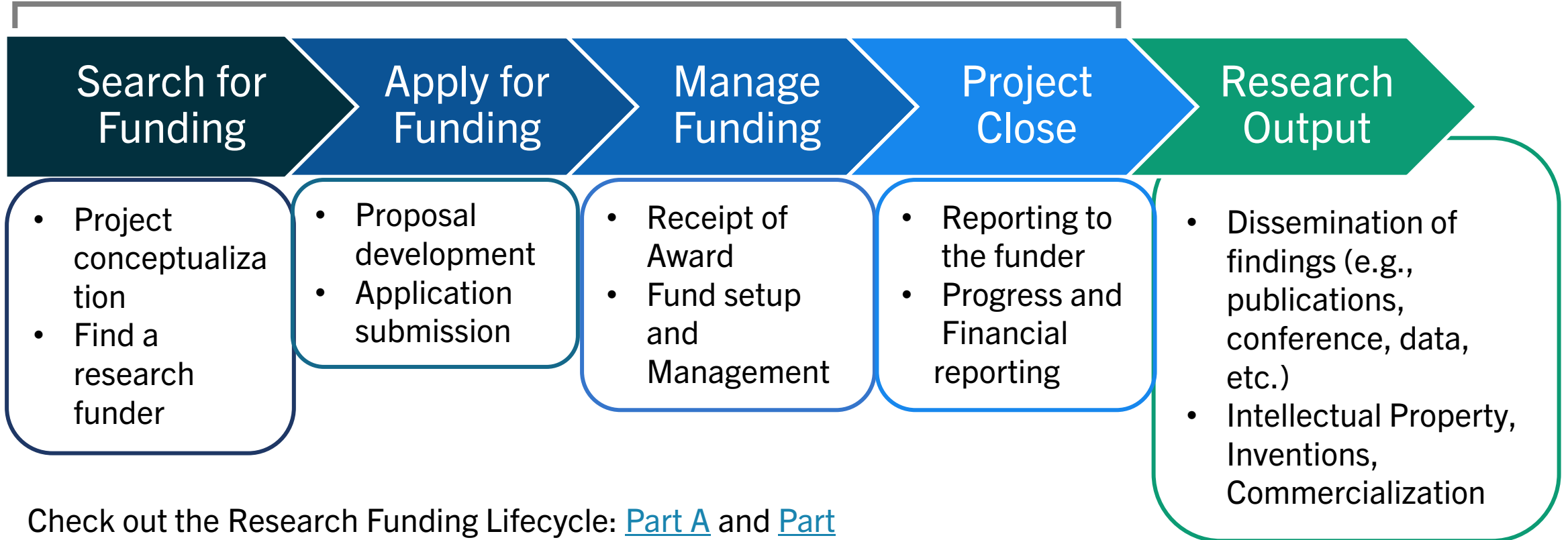
"I (we) wish to acknowledge this land on which the University of Toronto operates. For thousands of years it has been the traditional land of the Huron-Wendat, the Seneca, and the Mississaugas of the Credit. Today, this meeting place is still the home to many Indigenous people from across Turtle Island and we are grateful to have the opportunity to work on this land."

Agenda

1. Research & Innovation: Administrative Lifecycle
2. Research Administration Policy & Associated Guidelines
3. Guidelines Regarding Eligibility to be a Principal Investigator at U of T
4. Procurement Policy
5. Financial Policies for Research Administration
6. Inventions Policy
7. Key Takeaways
8. Questions & Answers

Research & Innovation: Administrative Lifecycle

Research Funding Lifecycle



Check out the Research Funding Lifecycle: [Part A](#) and [Part B](#) workshop resources for more detail!

Research & Innovation: Administrative Lifecycle

Research Funding Lifecycle



- [Guidelines Regarding Eligibility to be a Principal Investigator at the University of Toronto](#)
- [Research Administration Policy & Guidelines](#)
- [Guide to Financial Management](#)
- [Procurement Policy](#)
- [Inventions Policy](#)

Research Administration Policy & Associated Guidelines

- What is the [Research Administration Policy](#)?
 - **Purpose:** To establish general principles and procedures for the development, approval & administration of research projects conducted at the University of Toronto.
 - Addresses procedures and supports available for:
 - Sponsored Research
 - Negotiation & Signature of Research Contracts
 - Roles & Responsibilities of Stakeholders

Research Administration Policy & Associated Guidelines (Cont'd)

- Full Cost Recovery in Research
 - University's indirect cost rate = **40%** of direct research costs.
 - When generating a budget for a Sponsored Research project or proposal, the 40% rate applies *unless* an alternate rate and/or basis of calculation is:
 - (a) specified in the published terms or policies of the sponsor available at the time of proposal submission; or,
 - (b) otherwise requested by a Principal Investigator; and approved by the head of the academic division

Comprehension Check #1

Negotiation and Signature of Research Contracts

When Faculty members are interested in entering into a research agreement with a third party, who is the institutional authority eligible to bind the University to the agreement terms? (Select one answer)

- a) The Faculty member
- b) The Chair of the Faculty member's administering unit
- c) A delegate of the Vice-President, Research and Innovation, and Strategic Initiatives *(Correct)*
- d) The student(s) working on the research project

Guidelines Regarding Eligibility to be a Principal Investigator (PI) at the University of Toronto

Why is this guideline important and why is it in place (principles)?

- Clarifies Roles Across Diverse Appointments Types
 - There are A LOT of different types of appointments across the university
(this is a big one – more on this in a moment...)
- Ensures accountability
- Meets funding requirements

Understanding Various Faculty Types

Appointment Type	PI Eligibility	Conditions / Notes
Tenured/Tenure Stream	Yes	Automatically eligible upon appointment
Non-Tenure Stream (PT and CLTA)	Yes	Eligible; unit head should consider appointment duration and grant timeline
Teaching Stream, Continuing	Yes	Eligible upon appointment
Teaching Stream, Non-Continuing (PT and CLTA)	Yes	Eligible upon appointment; unit head should consider appointment duration and grant timeline
Status-Only & Clinical	Yes	Must request MRA access; submit through affiliated institution first unless sponsor does not permit affiliated institution to hold funding
Librarians (All Ranks)	Yes	Eligible upon appointment
Emeritus Faculty	With Approval	Requires unit head authorization and MRA access request
Others (e.g., Adjuncts)	Not Eligible	May be eligible only with Provost's approval in exceptional cases

Recent Changes & Special Considerations

Did you know?

- The PI Eligibility Guideline is not a static document
- Changes are occasionally made to reflect changes to appointment categories.
- Examples:
 - Teaching Stream
 - Affiliated Scientist (*coming soon*)

Resources & Questions

There are a number of resources (including comprehensive modules) related to understanding faculty appointment categories:

- [Academic Pay Scale Level – Rank and Status Codes](#)
- [Academic Processing Modules](#)

Questions?

- Academic unit head/supervisor.
- VPFAL for those in central offices.

Comprehension Check #2

Principal Investigator Eligibility

Your unit head has asked you about who is eligible to be a PI at U of T. Which one of the below selections is true? (Select one answer)

- a) Only tenured professors
- b) Anyone with a U of T email address
- c) Faculty members, status-only appointees, and even retirees (with approval!) *(Correct)*
- d) Graduate students with a really convincing proposal

Research Procurement

What we'll cover...

- Understanding U of T's Procurement Policy
- Purpose of Procurement Policy
- Key Procurement Principles
- Procurement Thresholds
- Additional Procurement Resources

Research Procurement

Understanding U of T's Procurement Policy

The University of Toronto's [Procurement Policy](#) is governed by a framework of internal policies, provincial legislation, and federally negotiated trade agreements. This ensures transparent, fair, and compliant procurement practices across the university.

For more details, visit the [Procurement Services Website](#).

Research Procurement

Purpose of Procurement Policy

- Ensure purchases are fair, open, transparent, and non-discriminatory
- Maintain compliance with trade agreements, legislation, and regulations
- Promote consistent, well-documented, and accountable decision-making

Research Procurement

Key Procurement Principles

Principle	Description
Supplier Access & Fairness	All qualified suppliers must be given equal opportunity to compete.
Procurement Planning	Purchases must not be structured to avoid policy obligations or thresholds.
Conflict of Interest	Any actual, potential, or perceived conflicts must be disclosed and managed.
Accountability	U of T must be able to justify procurement decisions and actions.
Sustainability	Consider environmental and social impacts in procurement planning.

Comprehension Check #3

Procurement

Which of the following is NOT a stated purpose of the University of Toronto's Procurement Policy? (Select one answer)

- a) Ensure purchases are fair, open, transparent, and non-discriminatory
- b) Comply with laws and trade agreements
- c) Maximize cost savings *(Correct)*
- d) Promote consistent and accountable decision-making

Research Procurement

Procurement Thresholds

Procurement Method	INFORMAL (1 written quote)	INVITATIONAL (2 written quotes)	INVITATIONAL (3 written quotes)	OPEN (Tender Call / RFx)
Goods	Up to \$9,999	\$10,000 – \$49,999	\$50,000 – \$99,999	\$100,000
Non-Consulting Services	Up to \$9,999	\$10,000 – \$49,999	\$50,000 – \$99,999	\$100,000
Consulting Services ⁱ	N/A	N/A	Up to \$99,999	\$100,000
Construction	Up to \$9,999	\$10,000 – \$49,999	\$50,000 – \$99,999	\$100,000
Procurement Authority	Local Unit			Procurement Services

i. **Consulting Services** must be competitively sourced regardless of dollar value.

Research Procurement

Calculating Total Cost of Ownership (total procurement value)

Formula:

$$\begin{array}{|c|} \hline \text{Equipment} \\ \text{Purchase Value} \\ \hline \end{array} + \begin{array}{|c|} \hline \text{Annual} \\ \text{Maintenance} \\ \text{Service} \\ \hline \end{array} \times \begin{array}{|c|} \hline \text{Number} \\ \text{of years} \\ \hline \end{array} + \begin{array}{|c|} \hline \text{Delivery /} \\ \text{Installation} \\ \text{fee} \\ \hline \end{array} + \begin{array}{|c|} \hline \text{Training} \\ \hline \end{array} = \begin{array}{|c|} \hline \text{Total Cost of} \\ \text{Ownership} \\ \hline \end{array}$$

Sample Calculation:

$$\$25,000.00 + \left[\$10,000.00 \times 5 \right] = \$75,000.00$$

Research Procurement

Additional Procurement Resources

For further guidance and support on procurement processes, consult the following resources:

Procurement Services Website: <https://www.procurement.utoronto.ca>

- [Procurement Policy](#)
- [Trade Agreements](#)
- [Open Competitive Procurement](#)
- [Non-Competitive Procurement](#)
- [Approved Supplier Program](#)
- [Tools, Templates, and Forms](#)
- [Procurement Restriction Policy](#)
- **Procurement Services Helpdesk:** purchasing.help@utoronto.ca

Essential Institutional Financial Policies for Research Administration



- Guide to Financial Management – Travel & Other Reimbursable Expenses
- Institutional Policy vs. Sponsor Guidelines: What takes precedence?

Guide to Financial Management – Travel & Other Reimbursable Expenses

- Addresses institutional guidelines and principles governing reimbursable expenses for University business activity
- Governs reimbursements charged to:
 - Operating Funds Centers
 - PI Funds Centers and Professional Expense Reimbursement Allowance (PERA) accounts
 - Research grants where sponsor defaults to institutional guidelines
- Provides guidance on receipts/backup documentation requirements
- Items that are not reimbursable

GTFM vs. Granting Agency Guidelines

NOTE: The GTFM policy is intended to be the baseline when reimbursing from research grants. Granting agency policy may be stricter but cannot be more lenient than the GTFM.

The ***stricter*** of the GTFM vs. granting agency policy should be followed.

Comprehension Check #4

Financial Policies

The GTFM states that reasonable alcohol consumption in some circumstances is acceptable. However, the granting agency's guidelines restricts reimbursement of alcohol.

If alcohol is claimed against the grant, which policy applies? (Select one answer)

- a) GTFM
- b) Granting agency guidelines (*Correct*)
- c) None of the above

Inventions Policy

- What is the University of Toronto's Inventions Policy?
- The Policy has three basic objectives:
 - to encourage creativity and innovation within the University community;
 - to facilitate the translation of knowledge for the greatest possible public benefit, including by commercialization through development of Inventions into commercial products or processes; and,
 - to ensure that revenue generated by these Inventions is distributed in a manner consistent with the first two objectives and the advancement of research at the University.

Inventions Policy (Cont'd)

Disclosure & Ownership of Inventions

- When a researcher develops new intellectual property, they must disclose the invention to the Innovations & Partnerships Office using a Confidential Invention Disclosure Form which can be found at the following link:
 - <https://research.utoronto.ca/inventions-commercialization-entrepreneurship/inventions-policy-revenue-sharing>

Inventions Policy (Cont'd)

- The University maintains a hybrid ownership structure, whereby inventions are jointly owned by the University and the inventors
- Confidential Information and Intellectual Property agreement
 - <https://research.utoronto.ca/research-innovation-agreements/confidential-information-intellectual-property-obligations>

Inventions Policy (Cont'd)

- Commercialization options for inventors
 - By the University:
 - An inventor may offer an invention to the University if the inventor would like the University to take full responsibility for the legal protection and/or commercialization the invention
 - May be required if a pre-existing agreement is in place to allow the University to meet its obligations under such an agreement
 - By the Inventor:
 - If an Inventor prefers to take full responsibly for the legal protection and/or commercialization of an Invention, the Inventor may choose to take personal ownership of the invention.

Comprehension Check #5

Inventions Policy

Intellectual property developed at the university under a research agreement between a third party and the University of Toronto is owned by the inventors and can be patented and licensed to other parties by the inventors. (Select one answer)

- a) True
- b) False *(Correct)*
- c) I don't know 😞

Key Takeaways

1. The Governing Council's Research Administration Policy defines general principles and procedures for the development and approval of research projects & to support the administration of research funding.
2. The PI Eligibility Guideline establishes eligibility to be a Principal Investigator at U of T - *all applicants are also subject to the eligibility guidelines of the research sponsor*

Key Takeaways

3. Procurement policies exist to protect fairness, transparency, and accountability – they ensure public funds are spent responsibly.
4. When the GTFM and the research fund sponsor policy differ regarding expense eligibility, the **stricter** policy applies.
5. Inventions developed at the University using university resources and facilities **must** be disclosed to the Innovations & Partnerships office for processing.

Questions & Answers





Post-Workshop Knowledge Assessment Quiz

Upcoming Events

STAR Networking Event: Building Stronger Research Administration Through Shared Knowledge

Tuesday, June 24, 2025, 10:00 am – 1:00 pm

Myhal Centre, 55 St. George Street, Room 360

Feedback, please!





Thank you!