



UNIVERSITY OF CAMBRIDGE

Department of Oncology

Department of Oncology – agreed procedures for managing expenditure associated with Research grants

Grant applications

- All applications are usually prepared by the departmental Finance Administrator in conjunction with the lead applicant. The Finance Administrator has the delegated responsibility from the Head of Department, through the Business & Operations Manager, to ensure that the applications are accurately costed including an accurate estimation of the directly allocated costs.
- All applicants must complete the departmental grant proforma before an application can be submitted. This form must contain the necessary signatures or supporting e-mails from the various divisions eg CI or CCTC confirming that space and resources are available to support the research if the grant is awarded.
- All grant applications must be authorised by the Head of Department or Deputy Head of Department. In the unlikely event that neither is available for signature then the Head of Department has authorised the Business & Operations Manager to sign off applications in their absence.
- After departmental approval has been given all applications must be checked and approved by the University's Research Operations Office (ROO) prior to submission to the funding body. If the grant application is in excess of £1m fEC then the application must also have Regius approval.

New grants

- ROO is responsible for setting up the new grants on the University's grants module and ensuring that the budgets are set up under the correct headings.
- ROO is also responsible for returning the grant activation forms to the funding bodies and for preparing the annual and final reconciliations.

Ongoing grants

- The Principal Investigator of the grant has overall responsibility for the research to be undertaken.



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- The Head of Department is responsible for ensuring that there are sound financial controls and that the research is done in compliance with the contractual terms.
- The Head of Department has delegated, through the Business & Operations Manager, responsibility to the Finance Administrator to act as financial guarantor for Oncology's research grants.
- It is expected that the Business & Operations Manager and the Finance Administrator will be familiar with the sponsors' terms and conditions and be able to advise PIs on eligible and ineligible costs for their grants.
- It is expected that the Finance Administrator will question PIs if asked to put inadmissible expenditure on grants and disallow expenditure that is ineligible. If the issue cannot be resolved between the two parties then the matter should be referred up to the Business & Operations Manager for advice & support. If the matter can still not be resolved the matter will be referred to the Head of Department & ROO if necessary.
- It is expected that the Finance Administrator, with the help of our accounts staff, will question any proposal to make capital purchases very late in the grant's life. If there appears to be a legitimate reason for the purchase a request should be put into the sponsor to seek permission to buy the equipment.
- Expense claims to be charged to research grants should be checked to ensure that they conform to the University's agreed limits, and that it is a legitimate charge to the grant. All expense claims should be signed of by the PI or their nominated individual and then countersigned by either the Finance Administrator or the Business & Operations Manager.
- PIs will be expected to nominate named individuals who are authorised to requisition goods on their behalf. The requisitioners are expected to know which goods are to be used for which research. It is also expected that requisitioners are aware of the University's financial regulations relating to procurement and obtain written quotes where necessary.
- Our Accounts Team will check that University's procurement procedures and will refer any queries to the Finance Administrator or the Business & Operations Manager. Requests for exemption from the formal quotes procedure should be forwarded to the Business & Operations Manager who will liaise with the Head of Department (for orders < £10,000) or Central Finance for the appropriate authorisation. A copy of the signed exemption form together with the purchase order and supporting documentation will be retained in the Department's admin office.



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- PIs will receive from the Finance Administrator (copy sent to the Business & Operations Manager) on a monthly basis a financial report detailing all their grants so that they can monitor expenditure against the various headings and action taken as necessary.
- The Finance Administrator will notify the Business & Operations Manager of any queries or concerns which can be discussed, if need be, at the departmental Management Committee attended by the Head of Department and Deputy Head of Department.

Staffing issues

Adverts

- All adverts will be placed on the University's online recruitment system by either the Business & Operations Manager or her PA.
- All people wishing to recruit a new member of staff must complete and an advert proforma to ensure that there is sufficient space to house an individual and proof of funding.
- Before any advert is placed the Business & Operations Manager will ensure that the funding for the proposed post is available and check the end date of the grant to ensure the limit of tenure for the post is on or before the end date of the grant.

Appointments

- All offer letters to prospective employees must be issued by the Business & Operations Manager to ensure that the salary offered and length of contract match the funding & post available on the research grant.
- All appointment forms for new employees will be submitted to the HR contracts team by the Business & Operations Manager's office. Where necessary the sponsor will be notified of new employees.
- All contracts of employment will be checked by the Business & Operations Manager or her PA to ensure that they match the information provided in the award letter.



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- If a PI wishes to appoint a person at a higher salary than outlined in the award letter, a formal request will be made in writing (in advance to the offer being issued to the candidate) to the sponsor to see if this is acceptable to them.