



جامعة زايد
ZAYED UNIVERSITY

Grant management manual

Version 2 – January 2024

You have been awarded a grant – **Congratulations!**

Now that your hard work in preparing the proposal has paid off, you can start the real work - your research project.

We understand the many demands on your time, and with this in mind we have prepared a manual to guide you through the processes and procedures to be followed, so you can dedicate your time in the most efficient manner and have as many of your questions answered as possible. We begin with explaining some basic terms that we will be using in our future correspondence and that are related to grant management.

Award Administration:

Once the application review process is completed, the award phase begins. The final award decisions rest solely in the hands of the Office of Research based on approval and the budget availability. The award decisions are firmed up once the awards are approved appropriately.

Award Letter:

An email or letter of award and the award contract are sent to the individual faculty selected for funding. These documents constitute the official, legally binding issuance of the award. When the faculty accepts the grant (i.e., by signing the research contract), it becomes a legally fully signed award letter, and the project can officially begin. This fully signed **award letter** becomes the sole important document for all your details and reference in future. It is advisable to save this for future use.

Principal Investigator (PI):

Individual faculty member, the Principal Investigator (PI) of the project is the faculty to whom the award letter is issued. PI is entirely responsible for the financial management of the grant. What this means is that you should not incur any expenses without first verifying that you have the necessary funds available. Please refer to the section on **Requesting the financial statement for my grant** for the details on how to check the balance.

Activity Code:

Activity code is the budget code (a 5-digit numeric code) mentioned in the award letter that must be used to relate all your expenses related to the grant.

Please note activity codes are 5-digit numbers (eg: 12345) starting from 2023 and awards granted before 2023, have the letter R as prefix to the 5-digit (eg: R12345)

Start Date and End Date of the project:

These are the dates mentioned in your award letter and these dates indicate to you the start and end of your project based on what was mentioned in your proposal. If your project is not

completed within the period and if you need an extension, you may seek an extension from the Office of Research. Please refer to the section on **Requesting an Extension for the project** for the details.

Grant amount:

Grant amount is the amount mentioned in your award letter. This is the maximum amount you may spend in your grant based on the budget submitted. As PI, you are expected to monitor your spend on the grant and keep it within the grant amount. At no point, any excess spending will be allowed or approved.

Budget:

At the time of submitting your proposal you would have submitted a budget based on the needs of the project. This budget will be again added as an appendix document to the award letter. The total budget granted through your fully signed award letter is the final Grant Amount and **no change** can be made to that amount. You are expected to spend based on the line items that was mentioned in the budget and no other spending will be allowed. You may, however, do some budget reallocation by transferring funds from one budget line to another. To do so, you will have to follow the budget reallocation process. Please refer to the **Budget Reallocation** section to know the details.

Budget in the award letter and grant amount allow you to spend funds, but every spending has to be approved as per policy and procedure. For example, all travel has to be applied first via the PD portal and approved. Any equipment purchase has to be via PR process in Fusion. IT equipment purchase needs a no objection from the IT department before it can be bought.

Ethical Clearance:

It is the responsibility of the PI, to apply for ethical clearance, if your project involves human subjects' research. Please refer to **Applying for Ethical Clearance** for more details.

Do's and Don'ts:

- No amendments can be made to the project without the prior written approval of the Office of Research.
- If needed, it is the responsibility of the Principal Investigator to obtain the necessary ethical clearances (both internal and external).
- Each instance of travel, even if approved in the proposal budget, needs to be approved separately prior to each travel and as per the most current ZU Policies and Procedures related to PD. Apply via the online PD portal.
- Any changes to budget allocations must be approved in writing and in advance by the Office of Research.
- All expenses incurred on behalf of the project—including, but not limited to, payments, purchases of assets, research-related travel, and the hiring of Research Assistants and consultants—even if approved in the budget, must still follow all Policies and Procedures in place at the University.
- Principal Investigator can be changed for grants that allow it, if so, required by the needs of the project or changes in university personnel, after having obtained the written permission of the Office of Research.
- At the discretion of the Office of Research, an extension may be granted to the project, provided there is documented progress, and it is likely that the research project will be finished within the extension period granted.
- Ownership of any Intellectual Property arising from the research funded through the University will follow University policies under the applicable UAE law.
- Any commercialization will be subject to a separate agreement.
- Any publication resulting from the current grant will acknowledge Zayed University as the funder of the research project.
- Publication costs and conference attendance are not included in the funds under the current grant awarded. However, Zayed University has a publication-specific fund available through the Office of Research and costs will be paid for those publications that are approved by the Dean through an established process and until depletion of funds.
- In the case of a project funded for a period beyond one year, a progress report will be submitted after each one-year period.
- A Final Report will be submitted no later than three months after the end date of the grant.
- All Zayed University Policies and Procedures related to Research and use of funds are deemed to have been read and understood by the Principal Investigator.

Hiring Research Assistants (RA):

Research Assistants are typically recruited to help with routine tasks that will facilitate your research project. The contract duration can be for the duration of the research project or less. Payment to the RA is from your research grant budget and linked via the activity code.

RA can be a current ZU student, a ZU graduate or an external person. Currently ZU does not have a database of RAs, but we are in the process of creating one. Office of Research does circulate to the relevant department any CV received from an external source who is seeking an RA opportunity.

Important notes to know before hiring:

- *All ZU Student RAs must be hired only via the <https://hourlypaid.zu.ac.ae> portal*
- *ZU undergraduate Student RA cannot work more than 10 hours per week.*
- *It is the faculty's responsibility to check that the student is not working on multiple projects or is also working under ONCE before hiring them as a ZU undergraduate student RA.*
- *Other Research Assistants that are working on multiple contracts can only work a maximum number of 40 (forty) hours on a weekly basis.*
- *Any RA work more than 40 hours per week must have a justification from PI, at the time of payment. Justification can be added in PI remarks for online timesheet and in the email for payment request.*
- *Payment to the Research Assistant must be done through a bank account in the name of the RA. Financial Resources Department will not issue any checks, nor transfer funds into an account not in the name of the person being hired.*
- *Spouse / relative of PI or Co-PI cannot be recruited as an RA as this constitutes a conflict of interest.*
- **No work should be undertaken without an approved agreement.**

1. ZU Student Research Assistants:

Any current ZU undergraduate student hired as an RA is called a ZU Student Research Assistant (SRA). By policy, a ZU SRA **cannot work more than 10 hours per week.**

All ZU Student RAs must be hired only via the <http://hourlypaid.zu.ac.ae> portal.

1. Initiate a hiring agreement via the online portal <http://hourlypaid.zu.ac.ae> landing page of this link has all the user guides.
2. Choose Research Assistant Agreement - PI or CO-PI
3. Follow the user guide to complete the agreement
4. Type of agreement will be **Student Research Assistant.**

5. In the PI remarks add the tasks and deliverables of the RA work
6. Do not forget to attach your award letter and add the activity code rightly.
7. Once completed, it will send an email to your student asking them upload documents – CV, passport, visa
8. When submitted, it will come to Office of Research for approval.
9. **Note:** *If you are hiring a ZU student as an RA through the Student Research Assistantship fund (SRAF), follow the above steps (1 to 6) but include the activity code meant for SRAF – R19021.*
10. It is the responsibility of the PI to ensure that RA submits timesheet on a timely manner via online timesheet. <http://hourlypaid.zu.ac.ae> landing page of this link has all the user guides.
11. Submitting it more than three months after the work has been done, may result in a delay or non-payment

2. External Research Assistants

In case of more specialized Research Assistant tasks for which a student cannot be found, you can recruit an external research assistant in-country or outside of UAE.

This RA can be either paid on an hourly basis for the work or a lumpsum amount based on deliverables.

A. For hourly paid RAs:

1. Initiate a hiring agreement via the online portal <http://hourlypaid.zu.ac.ae> landing page of this link has all the user guides.
2. Choose Research Assistant Agreement - PI or CO-PI
3. Follow the user guide to complete the agreement
4. Type of agreement will be **Research Assistant**.
5. In the PI remarks add the tasks and deliverables of the RA work
6. Do not forget to attach your award letter and add the activity code rightly.
7. Once completed, it will send an email to your student asking them upload documents – CV, passport, visa
8. When submitted it will come to Office of Research for approval.
9. It is the responsibility of the PI to ensure that RA submits timesheet on a timely manner via online timesheet. <http://hourlypaid.zu.ac.ae> landing page of this link has all the user guides.
10. Submitting it more than three months after the work has been done, may result in a delay or non-payment

B. For lumpsum payments based on deliverables:

1. Download the **Research Assistant** form from the link http://www.zu.ac.ae/main/en/research/for_researchers/grant-management/budget_management
2. Complete the form, attach the CV of the RA (not more than 2 pages), passport and visa (where applicable) and send to your grant manager in the Office of Research.
3. In case the tasks specified are by phase and against deliverable, you can define a monetary value against each task or date.
4. You will receive the signed agreement once it is approved.
5. It is the responsibility of the PI to ensure that RA payments are done on a timely manner by sending an email to the College AO who does Fusion payment requests.
6. Send an email stating work is complete and payment can be released and attach the approved RA agreement.
7. Submitting it more than three months after the work has been done, may result in a delay or non-payment.

3. Research Consultants:

A Research Consultant (RC) is **an individual** typically employed to augment the PI's expertise by providing services that are specialized and technical in nature, and for tasks that cannot be executed by a Research Assistant. The consultant's engagement in the project is limited in scope to such specific technical requirements, and his/her employment is generally of considerably shorter duration than the lifetime of the grant (in other words, typically for a few weeks only).

Note:

- a. You may recruit a research consultant in-country or outside of UAE.
- b. External Co-PIs are **not allowed** to be a **paid** Research consultant.
- c. Any ZU faculty who leaves ZU but still continues to contribute to the project **cannot** be a paid Research Consultant.
- d. Spouse / relative of PI or co-PI cannot be recruited as a consultant as this constitutes a conflict of interest.
- e. No work should be undertaken without a fully approved agreement.

This RC can be either paid on an hourly basis for the work or a lumpsum amount based on deliverables.

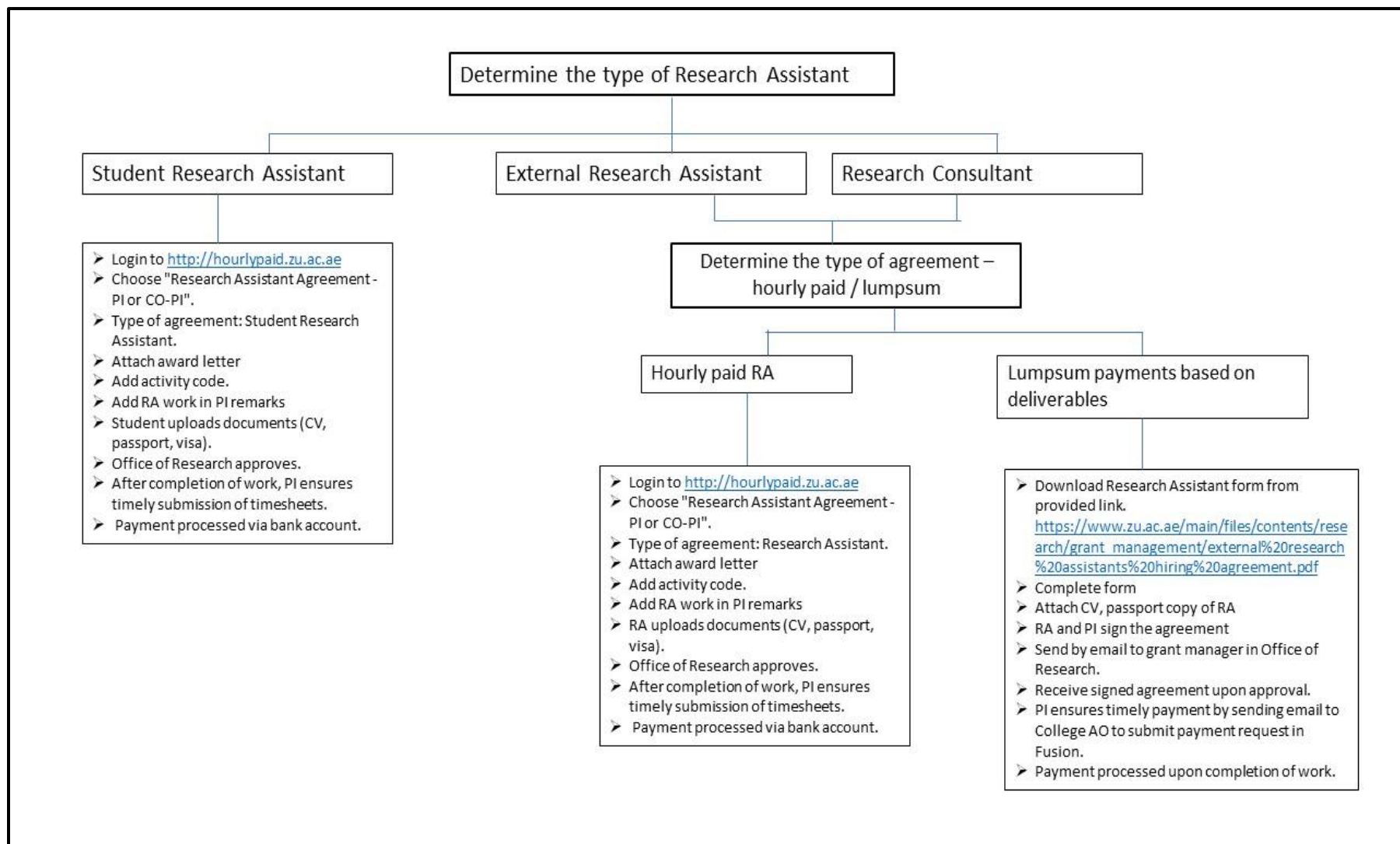
A. For hourly paid RCs:

1. Initiate a hiring agreement via the online portal <http://hourlypaid.zu.ac.ae> landing page of this link has all the user guides.
2. Choose Research Assistant Agreement - PI or CO-PI
3. Follow the user guide to complete the agreement
4. Type of agreement will be **Research Consultant**.
5. In the PI remarks add the tasks and deliverables of the RA work
6. Do not forget to attach your award letter and add the activity code rightly.
7. Once completed, it will send an email to your student asking them upload documents – CV, passport, visa
8. When submitted it will come to Office of Research for approval.
9. It is the responsibility of the PI to ensure that RA submits timesheet on a timely manner via online timesheet. <http://hourlypaid.zu.ac.ae> landing page of this link has all the user guides.
10. Submitting it more than three months after the work has been done, may result in a delay or non-payment

B. For lumpsum payments based on deliverables:

1. Download the **Research Consultant** form from the link http://www.zu.ac.ae/main/en/research/for_researchers/grant-management/budget_management
2. Complete the form, attach the CV of the RA (strictly not more than 2 pages), passport and visa (where applicable) and send to your grant manager in the Office of Research.
3. In case the tasks specified are by phase and against deliverable, you can define a monetary value against each task or date.
4. You will receive the signed agreement once it is approved.
5. It is the responsibility of the PI to ensure that RC payments are done on a timely manner by sending an email to the College AO who does Fusion payment requests.
6. Send an email stating work is complete and payment can be released and attach the approved RC agreement.
7. Submitting it more than three months after the work has been done, may result in a delay or non-payment.

Flow Chart of RA hiring process



Research Travel

All travel has to be approved as per policy and procedure, prior to travel even if approved in your grant budget.

*Please refer to **ACA-RES-104** policy and procedure to know about grant funded travel. After reviewing it, follow the steps below to apply for approval.*

<http://policies.zu.ac.ae/Policy/DownloadAttachment/?id=1166>

a. Before travelling

- After having verified budget availability with the Financial Resources department, the PI has to fill out the online Professional Development form (PD form) from academic services portal.
- You must choose **Expenses to be charged to Research** in the form.
- Add the correct activity code of your grant.
- Obtain an airfare quote from ZU travel services by sending an email to
 - Reservation-dxb@zu.ac.ae if you are Dubai based faculty &
 - Reservation-auh@zu.ac.ae if you are an Abu Dhabi based faculty.
- Once you receive save the email as PDF.
- Attach the saved PDF quotation, as well as any supporting documents related to other costs that will be incurred.
- Cost of Hotel, meals and transportation are covered by the Per Diem amount, which is **AED 1,000 per day** for a maximum of seven (7) calendar days.
- *In case it is a ZU based co-PI that is travelling, you also need to attach an e-mail from the PI, confirming he is aware you are travelling on his/her grant and that (s)he approves the travel from the grant budget.*

Once you submit the form online, regular approval process in the system will be followed. It will go to your supervisor and the Dean of the College. After Dean approval, it will be sent to the Office of Research for approval. After approval, you will receive a notification that your PD is approved. Save the approved PD for future use.

Note:

- i. Approval on the form from your supervisor and Dean is required so (s)he is aware that you will be absent from campus and your classes will be covered.*
- ii. For in-country travel, hotel bookings need to be made through Travel Services.*

- iii. *For in-country travel and in case of the use of your personal car, mileage will be reimbursed at the rate of AED 1 per km and up to a maximum of AED 200 per day. You must attach the Google Map showing the distance travelled.*
- iv. *For out-country travel you need to make your own bookings, both for flights and hotel.*
- v. *It is possible to get an advance payment for your expenses. You can claim the full amount for the cost of the air ticket as per the quotation of the Travel Services Department and up to 50% of approved per diem. Please complete the SAP concur request <http://eu1.concursolutions.com>*
- vi. *Please send all PD requests **at least four weeks prior to your travel.***

b. After Travel

- After your return, you must fill out the PD Report. http://www.zu.ac.ae/main/en/research/for_researchers/grant-management/budget_management
- *Submit claim via SAP concur request <http://eu1.concursolutions.com>*
- *You must attach, approved PD, PD report (PD report need not be approved by Dean, but you may send it to them for info)*
- You will have to attach any **original** receipts that are relevant.
- ***All expenses are to be submitted within two weeks of the costs having been incurred.***

Purchases

Purchases up to AED 2000.

1. You are allowed to make purchases of equipment, consumables or books that are at a value of AED 2000 or less.
 - If the item purchased is a book costing more than AED 300, you will need to take it to the library, and have it registered there so that it can be entered as a ZU asset.
 - If the item is considered equipment (i.e. not a book or a consumable), you need to take the item and its receipt to the Ware house officer in the Contracts and purchasing department in your campus. They will barcode it and enter it into the system as a ZU asset. You will receive a “Goods Received Note” from them.
2. In order to get reimbursed for the purchases, you will need to fill out a claim form via SAP concur <http://eu1.concursolutions.com>.
3. Please ensure you choose expenses to be charged to research and mention the correct activity code while submitting.
4. You will have to attach the receipt to the Form, as well as the Goods Received Note or library Registration Document in order to receive reimbursement.
5. On submitting this form, Office of Research will receive it for further processing and approval.
6. Once approved finance would do a bank transfer to your account.
7. Note: No reimbursement can be claimed without the original receipt. In case it was an online purchase, please attach a copy of the email confirmation of the purchase or a bank statement showing the expense being incurred.
8. All expenses are to be submitted within two weeks of the costs having been incurred.

Purchases for a value of more than AED 2001

- It is your responsibility as a PI to first verify that you have the necessary funds available to go ahead with the purchase.
- After having verified budget availability,
 - For purchase of IT related equipment and software, send an e-mail to IT.ServiceDesk@zu.ac.ae and cc Trideepu.pillai@zu.ac.ae of the IT Department, with the specifications of the equipment you wish to purchase. IT will confirm that the type of equipment you are requesting can either be supplied by them from ZU assets or there is no objection to the purchase and use at ZU.

- For software purchase that IT cannot provide, please send an email to License and Subscription Renewals Taskforce, LicenseandSubscription@zu.ac.ae to get clearance to buy.
- Forward the above e-mails from IT and license task force to the College AO who enters research related purchase requests in Fusion.
- For the other purchases than IT and software, send an email to the College AO who enters research related purchase requests in Fusion.
- Once submitted it will come to the Office of Research for approval and will follow the purchasing process.

Note:

1. *Should you wish to purchase an item from one specific vendor, you will need to obtain an official quotation from the vendor addressed to Zayed University. The quotation received must be signed by the PI and attached to the Purchase request in Fusion when created.*
2. *If the quotation value exceeds AED 10,000, the vendor requires to be the sole provider. Otherwise, we should proceed with the tendering process.*
3. *For direct orders (sole provider)- **AED 10,000 and above**, we require a quotation from the supplier signed by the PI along with a signed justification memo address to C&P stating the reason why the vendor is selected.*
4. *In case you do not wish to purchase from one specific vendor, the Purchasing department will obtain quotes and send you the various quotes with their specs. You can then decide which one is best for your needs.*
5. *For Purchases – **AED 50,000 and above**, purchase request will be sent to the Purchasing committee who will have to approve the purchase.*
6. *Please specify the point of contact details when the request is created online in Fusion, so that the Purchasing department will know who to liaise with when issuing the Purchase Order.*
7. *In case the item you wish to purchase is only available on-line, please ensure you communicate with the vendor first so we will have a point of contact with whom to liaise when further processing the request and payment.*
8. *Invoices and receipts submitted must be in English.*
9. *Please allow at least 6 weeks for the full purchasing process to be completed.*

At the end of your grant:

At the agreed end date of your grant, it is the responsibility of the PI to submit all expenses related to your grant, as the fund access will be closed one month after the end date.

Three months after the end date of your grant, you are required to submit a Final Report to the Office of Research. Final report template can be found in the http://www.zu.ac.ae/main/en/research/for_researchers/grant-management/budget_management

Please request a financial overview from the Financial Resources Research Officer to include in the Report.

If your grant is not closed with a report to the Office of Research, requesting future grants will be an issue. Office of Research will not award any new grants if you have existing grants that are complete and not closed with a report.

Until your report is received by the Office of Research and the activity code is closed thereafter, you remain accountable for the activity code and the funds associated with it.

Requesting the financial statement for my grant:

Please send an email to Hamad Ahmad Hamad.Mohammed@zu.ac.ae in finance to request a financial statement of expenses incurred under the activity code of your grant. Do not forget to mention the activity code that was issued to you. You may copy the grant manager in the Office of Research for information.

Change PI:

When a PI of a project decides to leave ZU, the project can be handover to another faculty with mutual agreement. Start-Up, IRG, ERG, PRFA cannot be transferred to another person and will be terminated when the PI leaves. Transfer or change of PI is possible only for RIF and Cluster projects.

Original PI who is leaving ZU, can be a Co-PI in the project but will not be able to claim any monetary benefit.

It is the responsibility of the New PI to understand the current budget status and the progress of the project and be able to continue with the project and complete it. It is also the new PIs responsibility to get a handover of the project from the original PI. The terms and conditions of the award as per the award letter that was issued at the start of the project, remains the same.

Change PI form is available on the website

http://www.zu.ac.ae/main/en/research/for_researchers/grant-management/budget_management

Complete the form and send it by email to your grant manager or research@zu.ac.ae. All requests are attended to within a week. Once approved, your grant manager will send a scanned copy of the approval to you. Kindly save this for future use.

Requesting an Extension for the project

Under certain circumstances, the Office of Research may grant you an extension of the grant period. In order to obtain it, you will have to send an extension request form to the Office of Research to your Grant Manager.

You must specify the reason why the grant needs to be extended (why is there a delay compared to your timeline) and you need to be able to show significant progress in your grant thus far. This request must be sent at least three months prior to the end date of your grant.

Extension request form is available on the website

http://www.zu.ac.ae/main/en/research/for_researchers/grant-management/budget_management

Complete the form and send it by email to your grant manager or research@zu.ac.ae. All requests are attended to within a week. Once approved, your grant manager will send a scanned copy of the approval to you. Kindly save this for future use.

Budget Reallocation:

If the PI wishes to reallocate the budget based on the changing needs of the project, they are allowed to do so by completing the budget reallocation form and getting it approved by the Office of Research. Only reallocation from one category to another like Travel to RA, RA to equipment, etc needs approval. Changes within the category like instead of one RA can I hire 2 RAs, does not need approval as long as the budget is followed.

Budget reallocation request form is available on the website
http://www.zu.ac.ae/main/en/research/for_researchers/grant-management/budget_management

Complete the form and send it by email to your grant manager or research@zu.ac.ae. All requests are attended to within a week. Once approved, your grant manager will send a scanned copy of the approval to you. Kindly save this for future use.

Applying for Ethical Clearance:

Please visit the ethical clearance section on the website and apply for ethical clearance as mentioned there.

http://www.zu.ac.ae/main/en/research/for_researchers/research_integrity/ethical_clearance

Request for a temporary ZU ID for your RA or RC:

In case you need the RA or RC to have a ZU ID to access campus or to access online files, Please send an email to IT.ServiceDesk@zu.ac.ae with the approved RA/RC agreement, start date and end date of the access needed. Access will be discontinued after the end date automatically.

Adding/removing Co-PIs during the research progress:

If for any reason, you wish to add or remove a Co-PI to your project, please send an email to the Office of Research to your grant manager with a CC to the Co-PI. You will receive an email acknowledgement of the same by email, once approved.

Appendix A

Who Do I Contact?

1. For any general query on Research, you may send an email to research@zu.ac.ae
2. For any Research Ethics related query, you may send an email to researchethics@zu.ac.ae
3. **Prof. Philip Hamill**
Assistant Provost for Research
Contact Philip for any strategic, administrative issues or clarification
Philip.hamill@zu.ac.ae
4. **Office of Research Grant Managers:**

Ms. Priya Sridhar
Research Grant Specialist
Grant manager for Start-Up, RIF, IRG, ERG, PRFA, Cluster grants.
Priya.sridhar@Zu.ac.ae
5. **To create Payment request and Purchase request on Fusion contact your respective college AO:**
 - CACE - Hanan Al Garni Hanan.ALGarni@zu.ac.ae
 - CoB - Sara AlHammadi Sara.ALHammadi@zu.ac.ae
 - CCMS - Balqees Bahaisami Balqees.Bahaisami@zu.ac.ae
 - CHSS – Hawra AIObaid Hawra.AIObaid@zu.ac.ae
 - CNHS - Bashayer AlFarsi Bashayer.ALFarsi@zu.ac.ae
 - CIS - Shaima Alnufaili Shaima.Alnufaili@zu.ac.ae
 - CTI - Sarra Almessabi Sarra.Almessabi@zu.ac.ae
6. For financial report to know the expenses incurred under your activity code, please email Hamad Ahmad Hamad.Mohammed@zu.ac.ae
7. For any status related to payments to RA or RC or any vendor, Please contact Neshla Sheas Neshla.Sheas@zu.ac.ae or Kannampuzha Joby Joby.Kannampuzha@zu.ac.ae
8. For checking IT equipment availability in ZU assets or to get a NOC for purchase, please email IT.ServiceDesk@zu.ac.ae and cc Trideepu.pillai@zu.ac.ae
9. For barcoding of any equipment, and any quotation related enquiry, please contact **Warehouse officers**
Ali AlJasmi Ali.ALJasmi@zu.ac.ae in Dubai
Saleh Alobeidli Saleh.Alobeidli@zu.ac.ae in Abu Dhabi
10. For any purchasing related enquiry please email Kaltham.ALShamsi@zu.ac.ae