The flow of finances in a research project can be divided into two categories:

1. **Investigator-initiated studies.**

Investigator-initiated studies are those funded by agencies like Canadian Institutes of Health Research (CIHR), Michael Smith Foundation BC (MSFBC), and the Health and Stroke Foundation; the finances are administered through the University of British Columbia (UBC).

2. **Sponsor-initiated studies**.

Sponsor-initiated studies are those funded by industry sponsors; these are typically, as a rule of thumb, administered through Vancouver Coastal Health Research Institute (VCHRI) and/or Providence Health Care Research Institute (PHCRI)

Step-by-step summary of the financial processes. The current administrators can be confirmed at websites of affiliated organizations and are indicated in the reference list.

UBC

1. Complete the **Research Project Information Form (RPIF)** before the grant funding agency releases the first amount of money upon gaining the grant.
2. Collect signature from the department head of medicine:
   Dr. Anita Palepu assistant at PHC is Amy Zhou (azhou@providencehealth.bc.ca); also, studies conducted at PHC require Dr. Palepu to sign.
3. Collect signature from the Department Head, Centre Director, and Dean:
   - Department head: email to the Department of Medicine contact at UBC or PHC, and they will arrange to get the RPIF signed by the signatory available; dom@ubc.ca or Anna Meredith email: anna.meredith@ubc.ca
   - Faculty of Medicine Dean at UBC Vancouver Campus: Contact FOM Grant Approvals at fom.grantapprovals@ubc.ca.
   - Faculty of Medicine Dean at VCHRI Sites (Dr. Teresa Tsang). Email Sybil.Zhang@ors.ubc.ca.
   - Faculty of Medicine Dean (Dr. Darryl Knight) at PHC (e.g., RPIF shared): Contact Donna Lei at donna.lei@providencehealth.bc.ca.
   - CCI Ctr Directors is Dr. David Wood (assistant: Kim Ljubic; email: Kim.Ljubic@vch.ca)
     Studies at VCH:
   - Dr. Najib Ayas can sign on Dr. Palepu's behalf as of June 1, 2024.
4. Submit the completed RPIF to either ors@ors.ca (non-profit) or srg@uilo.ubc.ca (industry sponsor).
5. UBC will open a worktag for the study upon the receipt of first payment from sponsor or granting agency. A worktag is an identifier assigned to a grant, project or program. For instance, a grant ID e.g., GR000961 is considered a worktag. A formal contract

is mandatory when conducting clinical trials and/or sponsor-initiated studies with external parties. No formal contract is required when funding is received from e.g., Michael Smith Foundation BC or CIHR.

6. UBC does not draft a contract in case the grant is awarded to the PI and the award letter is available. Other times, yes, UBC will need to draft the contract. In general, Finance will provide an award letter as supporting documentation to ORS, when Finance submits an RPIF. However, there is no process that fits all situations. Check with ORS in case of doubt.
7. If there is a US sponsor involved, the US company may request completion of a W-8BEN form.
8. Upon establishment of the account/worktag, you and your unit administrator will receive an email notification and an electronic copy of the Research Project Budget (RPB) showing account details, such as budget, project period, speed chart, etc.
9. The Principal Investigator (PI) is responsible for financial reporting and monitoring activities once the research grant is awarded. Support staff can take care on behalf of PI.
10. The PI can add either add a **grant manager** (this person will have access to view the finance transactions and ledgers and also approve expenses on Workday) or add a **grant financial analyst** (this person will have access to view the finance transactions and ledgers but cannot approve expenses).
11. With the research account set up, you can access your funding and begin your research.
12. For budget changes, end date extensions, and transferring funds to collaborators at UBC or other institutions, direct inquiries to ORS.
13. In case of extensions, a funding agency/sponsor may need to release a letter (proof of extension) to be submitted to ORS for the extension process.
    Proof of extension: email approval or letter from sponsor/granting agency or an amendment or sometime, it’s stated on the contract that the study will end when research activities is completed (so UILO/ORS will just extend the end date automatically).

VCHRI

1. Completed Cost Centre Setup forms to be submitted to SzeWai.Ho@vch.ca
    - Email Subject: Protocol Name_PI Last Name- Cost Centre Setup Request
    - Attach completed Setup Package in excel format
    - Attach Signatures Forms for all Signing Officers in PDF format (scanned or e-signature, both are acceptable
    - If executed, please also attach the Clinical Trial Agreement (CTA). This is the contract.
    - If not yet executed, please indicate in the body of the email and when the contract becomes fully executed
    - For deposit confirmations: if additional coordinators are to be carbon copied in, please specify in the Submission Email
    - If the study receives special overhead (OH), please specify in email body where the funds should go to. VCHRI applies 30% overhead on all industry funded clinical trials and service contracts. See “Overhead guidelines for Industry

Funded Clinical Trials and Service Contracts" in the reference section for overhead inclusive vs exclusive items. Overhead funds must be used for the same or another study.

Some commonly asked questions for reference:
Clarification when completing Cost Centre Setup Request Form (1st Tab)

- Enter Projected Start and End Date, Expected Funds
- Enter Overhead % as per CTA: If over 30%, please specify in your submission email which cost centre the extra OH should go to.
- Treatment of Residual Funds: please select: "restricted for future use"; this option applies to industry-sponsored clinical trials. Select "return to sponsor" in case of funds received by CIHR, MSFBC or the Heart and Stroke Foundation of Canada.

Study Details
Cost Centre Name or Protocol Name: please use official Protocol # and official Nickname of the study (if available)

- For instance, C1232E456 Explore
- Do NOT put in study title
- Provide FAS# - generated by Clinical Trials Admin (Zahra)
- Provide Ethics #: H24-00123 (actual approval certificate not required); however, the dependencies between contracts, accounts, and ethics are critical components in the research process, particularly in obtaining VCH Operational approval and UBC Ethics approval for industry-funded studies.
- Primary Financial Contact: this person will receive the Cost Centre Reports (from Peoplesoft=VCHRI system) and Deposit Confirmations (SzeWai.Ho).
- If you would like to have additional coordinators to be carbon copied in, please specify in the Submission Email

Signing Authority Section

- Each Cost Centre should have 1 Level 5 and 1 Level 4 Signing Officer at minimum.
- Everyone listed in this section should sign the Signing Authority Form for each study, regardless if they already have the Financial Signing Register setup previously (existing ID). Because the spending level could differ depending on the individual's role.
- VCH Peoplesoft ID: if unknown, leave empty and I will complete.
- VCH Employee ID: if unknown, put N/A
- TAB 2, 3, 4 will auto-generate once this section is complete

Signing Authority Tabs

- Indicate Position Title if available (Clinical Professor, Associate Professor, Department Head etc.,)
- PI of the study has Level 4 Authority
- Each Cost Centre should have 1 Level 5 and 1 Level 4 Signing Officer at minimum.

- All transactions over $3,000 requires 2 Signatures

Last Tab (Purple Form), leave for VCHRI use only.
Contact for questions: SzeWai.Ho@vch.ca

PHCRI

- The Providence Research Finance team provides financial accountability of research funds held in trust accounts at Providence Research.
- A new trust account is required for each new contract, agreement or grant and for different funding sources.
- To open a new trust account submit to the book keeper a completed and signed “Research Trust Account Application and Signing Authority Form” budget for the project and a copy of the contractual agreement with the sponsor outlining their financial commitment. The new trust account form can be submitted to Kinny Dunga.
- Additionally, submit a copy of the award notice and a copy of the terms and conditions governing the use of the funds in case of awarded research grants;
- See references for a link to relevant forms:
- Upon the completion of a project it is important that the Providence Research Finance Team be informed for the account to be closed.
- It is important to ensure the signing authority for each trust account is up to date. For any signing authority changes, please complete and forward the “Research Trust Account Application and Signing Authority Form” to the Providence Research Accountant Freda Liang
- All cheques for research trust accounts must be made payable to “Providence Health Care Research Institute Trust” and identified with the trust account number or principle investigator name.
- Funds received by the grantees or departments should then be forwarded with the following documents to the Providence Research Bookkeeper.
- Complete and submit the “Check Deposit Form” including supporting documents for received payment and check with cheque stubs attached. The deposit form and supporting documentations can be submitted to: pr.revenue@providencehealth.bc.ca
  Most payments are EFT and wire transfer, but if you received a physical check, then you need to mail the check to Providence Research Finance Office.
- For payment requests from a trust account, please submit a completed and signed "Cheque Request Form" including original receipts, invoices or other supporting documentation. Pay attention to the deadlines for accounts payable as indicated on the website. You can email check request form and supporting documentation to: pr.checkrequest@providencehealth.bc.ca
- For payment requests from the Research Indirect Costs account (overhead) submit a completed and signed "Indirect Cost Cheque Request Form" including original receipts, invoices or other supporting documentation to the book keeper pr.checkrequest@providencehealth.bc.ca

- For accounting purposes it is important to capture all revenue and expenses in the correct accounting period. In cases where an invoice or cheque has not been received but is expected, we are required to accrue these to the trust account.

References

UBC
Research Project Information Form (RPIF)
https://research.ubc.ca/support-researchers/research-project-information-form

Sometimes needed:
https://ors.ubc.ca/proposal-development-submission/ubc-identification-numbers

Frequently asked questions:
https://universitycounsel.ubc.ca/homepage/faqs/

VANCOUVER HEALTH COASTAL RESEARCH INSTITUTE; cost centre set-up form
https://www.vchri.ca/services/developing-your-project/clinical-trials-administration
https://www.vchri.ca/about-us/our-team

Overhead Guidelines for Industry Funded Clinical Trials and Service Contracts
https://www.vchri.ca/sites/default/files/overhead_guidelines_20210818.pdf

PHCRI
Research Trust Account Application and Signing Authority Form (pdf)
Research Trust Account Closure Form (MS Word)
Research Trust Account Application and Signing Authority Form (pdf)
Providence Research Deposit Form (MS Word)
Providence Research Check Request Form (MS Excel)
Deadlines for accounts payable (pdf)
Indirect Cost Cheque Request Form (MS Word)
Providence Research Finance team
https://www.providenceresearch.ca/research-support/overview/finance

https://www.providenceresearch.ca/research-support/overview/forms-templates

https://www.providenceresearch.ca/contact

Staff and Administrative Support
Current staff research services
https://www.vchri.ca/about-us/our-team

Current administrator under who is who and contacts
https://medicine.providencehealthcare.org/about-us/

https://www.vchri.ca/researchers/teresa-tsang https://cci-cic.org/contact-us/