

Policy Number:	5021
Policy Title:	Management of External Research Funding
Approved by:	Senate
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1. Policy Statement

- 1.1. University Canada West “UCW” is committed to building and enhancing UCW research and scholarly capacity and is supportive of faculty collaboration with research partners and funders.
- 1.2. UCW encourages researchers to seek and enter into arrangements which provide external financial support for research in which university infrastructure and resources may be used, providing that such arrangements are compatible with the university’s mission and its policies and regulations and have been approved prior to entering into such arrangements.
- 1.3. Research Funding Agreements are agreements between University Canada West and the contracting entity and cannot be written in the name of an individual.
- 1.4. In administering and controlling research funds, UCW will follow generally accepted financial and administrative controls and best practices, supplemented, where required, by any additional requirements of the sponsor.

2. Purpose

- 2.1. The purpose of this Policy and its associated procedure is to identify the general criteria for approval of research funding agreements and to outline responsibilities of faculty, Department Chair (or designate), Office of Research and Scholarship, Finance, and Vice President Academic (or designate) for approving, negotiating, and implementing external research funding agreements.

3. Scope

- 3.1. This policy and its associated procedure apply to research supported by external funds but does not apply to research carried out under a personal services contract, provided that no university resources are used in said research, and that any conflicts of commitment are disclosed and mitigated. Such personal services contracts are subject to UCW Policy 8023 – Conflict of Interest.

4. Definitions

4.1. These definitions apply to the terms as used in this Policy.

Word/Expression	Definition
Indirect costs	The costs that are not directly connected with a specific research project but with the research enterprise as a whole, including facilities and equipment use and maintenance; utilities; insurance; administration costs such as legal, procurement, payroll, ethics and research administration; libraries, computing facilities and support; and other professional services provided by the University.
Principal Investigator	Faculty member leading the externally funded research project.
Research Funding Agreement	An agreement with University Canada West through which funding will be provided to be used for research purposes, whether the agreement is considered a grant, a contract, a research services agreement or a collaborative research agreement

5. General Roles And Responsibilities For Externally Funded Research Agreement

- 5.1. The Vice President Academic (or designate) is responsible for negotiation and approval of research funding agreements relying on advice of the Office of Research and Scholarship and UCW legal counsel when necessary.
- 5.2. Principal Investigators are responsible for the conduct of research projects and proper management of sponsor funds in cooperation with the Office of Research and Scholarship.
- 5.3. Department Chairs (or equivalent) are responsible for prioritizing and making available departmental infrastructure and resources required to carry out the research project, with help from the Vice President Operations & IT Services.
- 5.4. UCW Finance is responsible for supporting the Principal Investigator and any administrative support staff through provision of financial transaction and support functions, including for financial auditing, and for financial reporting to the sponsor if necessary.

6. Principles For Approval Of Research Funding Agreements

- 6.1. The Vice President Academic (or designate) will approve research funding agreements provided that (a) the academic, ethical, and financial interests of all parties are reasonably protected; (b) the agreement is of overall benefit to the university; and (c) any indirect costs associated with the research project have been considered in accordance with 6.2 below.
- 6.2. Indirect costs are at a flat rate of 25% of direct costs unless negotiated separately or unless accounted for in a separate mechanism. This rate is subject to revision from time to time.

7. Responsibility

- 7.1. This policy is administered under the authority of the Vice President Academic, who is responsible for the maintenance of this policy and the associated procedure.

8. Related Policies

Policy Number	Policy Title
5020	Research Ethics
8023	Conflict of Interest and Conflict of Commitment

9. Related Procedure

Procedure Number	Procedure Title
5021p	Management of External Research Funding