

Procedure Number:	5021p
Procedure Title:	Management of External Research Funding
Approved by:	Senate
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1. Purpose

- 1.1. This procedure provides detail on the criteria and processes used for approval of research funding agreements. It is a companion document to Academic Policy 5021 Management of External Research Funding

2. Criteria For Research Funding Agreement Approval

- 2.1. The research is not secret or classified.
- 2.2. The Vice President Academic (or designate) and the Office of Research and Scholarship have been engaged in agreement negotiations throughout to ensure the most favourable terms possible are obtained and that the funding agreement complies with university policies.
- 2.3. Review by UCW legal counsel is required for all funding agreements over \$10,000. Grants from tri-council granting agencies are exempt from this requirement.
- 2.4. Review by UCW Finance is required for all funding agreements.
- 2.5. The academic, ethical, and financial interests of all parties are ascertained to be reasonably protected.
- 2.6. Normal teaching or other responsibilities of the Principal Investigator remain compliant with the DOE.
- 2.7. There is no restriction in the Research Funding Agreement which unnecessarily prohibits or delays the use of research results by students for theses, capstone project reports or other academic purposes related to the completion of their degrees. Reasonable delays in publication at the request of the sponsor are permissible in order to protect patentable material pending application, or where immediate commercialization may be jeopardized. Such delays are to be approved in writing by the Vice President Academic (or designate).
- 2.8. University infrastructure will not be unduly burdened, or needed modifications have been budgeted for in the proposal.
- 2.9. All direct and indirect costs have been considered and included as appropriate in the proposed budget. Indirect costs are at a flat rate of 25% of direct costs unless negotiated separately or unless accounted for by a separate mechanism. The proposed budget must have approval by the Vice President Academic (or designate).

- 2.10. University Canada West will act as paymaster for Research Funding Agreements. The Principal Investigator is responsible for the proper management of all funds held in that account.
- 2.11. In cases where the PI is a term employee and the research funding agreement extends beyond term length, the PI must identify a co-PI who will be responsible for management of funds in case of PI departure.

3. Procedure For Requesting Research Funding Agreement Approval

- 3.1. Prior to entering into contract negotiations or submitting a proposal for funding, a completed “Research Project Form – External Funding” available from the Office of Research and Scholarship should be signed by the Department Chair and submitted to the Office of Research and Scholarship at least 5 business days before grant applications or other funding applications are due.
- 3.2. Subsequent research funding agreement approval by the VPA will include items 2.1 – 2.11 above.
- 3.3. The Office of Research and Scholarship will work with researchers for timely approval of all requests.

4. Remuneration From Research Funding Agreements To Faculty And University Employees

- 4.1. Remuneration to university employees is allowable from Research Funding Agreements if all of the following conditions hold:
 - a) The university will receive appropriate indirect costs; and
 - b) There is no actual or apparent conflict of interest.
- 4.2. Remuneration to any individual other than the Principal Investigator must be explicitly stated in the Research Funding Agreement and approved by the Vice President Academic (or designate).
- 4.3. Any indirect costs collected are distributed, as appropriate, to the departments responsible for facilities and equipment use; the library; computing facilities and support; procurement and payroll; and research administration and research services.

5. Research Funding Agreement Management and Financial Accountability

- 5.1. Research account deficits after the end of a Research Funding Agreement are not permitted. The Principal Investigator is responsible for the sound management of funds to ensure that the funds are not over-expended at the end of the term of the Research Funding Agreement.

6. Related Policies

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