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Policy Title:	Management of External Research Funding	
Policy No:	5021	Approval date: Nov. 30, 2015
Approval Body:	Academic Council	
Effective Date:	January 1, 2016	Review date: January 2019

## Purpose

The purpose of this policy is to set out the criteria for the approval of external research funding to establish conditions for the remuneration of faculty and university employees under research funding agreements.

## Scope

This policy applies to research supported by external funds, but does not apply to research carried out under a personal services contract. Such personal services are subject to *UCW Policy 2001 – Conflict of Interest*.

## Policy Statement

The university encourages researchers to seek and enter into arrangements which provide external financial support for research in which university infrastructure is 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 with the Vice-President, Academic and Students.

Research Funding Agreements are agreements between University Canada West and the contracting agency and must not be written in the name of an individual.

### 1. Criteria for Approval of Research Funding Agreements

The Vice-President Academic and Students will normally approve Research Funding Agreements that meet the following criteria:

- 1.1 The research is not deemed secret or classified.
- 1.2 The Research Funding Agreement is determined to be of overall benefit to the university, providing resources, equipment, or infrastructure not otherwise available from university funds, or academic benefits to staff, or educational opportunities for students.
- 1.3 The Vice-President Academic and Students has been engaged in agreement negotiations throughout to ensure the most favourable terms possible are obtained and that the funding agreement complies with university policies. The consent and signature of the Principal Investigator or the Co-investigator(s) is required as a prerequisite to approving any Research Funding Agreement.
- 1.4 The academic, ethical, and financial interests of all parties are considered to be reasonably protected.
- 1.5 Normal teaching or other responsibilities of the researcher will not be affected adversely.
- 1.6 There is no restriction in a Research Funding Agreement which unnecessarily prohibits or delays the use of research results by graduate students for theses or other academic purposes related to the completion of their graduate degree. Reasonable delays in publication at the request of a Funder are permissible in order to protect patentable material pending application, or where immediate commercialization may be jeopardized.

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- 1.7 University infrastructure will not be unduly burdened, or, needed modifications have been budgeted for in the proposal.
- 1.8 All direct and indirect costs have been considered and included as appropriate in the proposed budget. The proposed budget must have approval by the Vice-President, Academics and Students.
- 1.9 University Canada West will act as paymaster for Research Funding Agreements where the Principal Investigator is an employee of the University. The Principal Investigator is responsible for the proper management of all funds held in that account.

## 2. Remuneration from Research Funding Agreements to Faculty and University Employees

- 2.1 Remuneration to university employees is allowable from Research Funding Agreements under all of the following conditions:
  - a) The university will receive appropriate indirect costs; and
  - b) There is no perceived or apparent conflict of interest.
- 2.2 Remuneration to any other individual must be explicitly stated in the Research Funding Agreement and approved by the Vice-President, Academic and Students.

## 3. Research Funding Agreement Management and Financial Accountability

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

### Definitions

These definitions apply to terms as they are used in this policy.

Word/Term	Definition
Research Funding Agreement	Funding provided through an agreement with University Canada West to be used for research purposes, whether the agreement would be considered a grant, contract, or any other form.

### Related legislation

None

### Related policies

Policy Number	Policy Title
2001	Conflict of Interest
5020	Research Ethics Policy

### Responsibility

The Vice President, Academic and Students is responsible for the implementation of this policy.