

<b>Research Grant Management</b>	
<b>Policy:</b> Support for Research, Scholarly Activity, and Scholarship	
<b>Category:</b> Academic-Administrative	<b>Approval Date:</b> February 5, 2021
<b>Procedure Owner:</b> Vice President Academic and Research	<b>Effective Date:</b> February 5, 2021
<b>Procedure Administrator:</b> Associate Vice President, Teaching, Learning, and Research	<b>Review Period:</b> 5 years
<b>Associated Documents:</b> General Research Fund Procedure ( <i>under development</i> ) Academic Freedom Intellectual Property Integrity in Research, Scholarly Activity, and Scholarship Research Involving Humans Research Involving Animals Research, Scholarly Activity, and Scholarship Student Intellectual Property	

**PURPOSE**

To ensure all grant funds administered by Red Deer College are managed in compliance with research grant agreements and sponsor policies, and to set standards and processes for managing and reporting research expenses. Standards and processes for grant funds applied for and held by recognized Research Centres also comply with research grant agreements and sponsor policies and are addressed in the Research Centres procedure (under development).

**PROCEDURE**

**Grant/Funding Applications**

1. The Office of Research and Scholarship acts as the Research Grants Office at RDC. It ensures that applications forwarded to any sponsor meet that sponsor's eligibility requirements. All application documents will be held confidentially and be accessible only to staff in the Office of Research and Scholarship and Financial Services for business purposes. Should any member of the Office of Research and Scholarship or Financial Services wish to apply for a research grant they will not have access to any other researchers' documents related to that competition.
2. The Office of Research and Scholarship and Financial Services assess all grant applications prior to sending them to a sponsor in order to certify their compliance with all College policy and procedures related to research, scholarly activity, and scholarship.

3. Once the grant application or grant agreement's formal documents are prepared, these are approved, in writing, by the Principal Researcher, the Dean in consultation with the Associate Dean, and the Vice President, Academic and Research, unless otherwise specified by the grant requirements. Grant applications involving faculty workload release require the approval of the Dean or Administrative Supervisor before they can be finalized.
  - a. The Principal Researcher's signature constitutes an acceptance of responsibility for the ethical, technical, and scientific conduct of the research. This signature is also the Principal Researcher's acceptance of the grant agreement's terms and conditions.
  - b. The Dean's signature, in consultation with the Associate Dean, constitutes an approval of the undertaking of the research; an assurance that the research is consistent with and will benefit the Department/School's teaching and learning, research, and public service mandates; an undertaking that the research can and will be accommodated within the constraints of the facilities and services currently available; an assurance that the direct costs of equipment, personnel, supplies, and services used for the research can and will be recovered from the grant funds; and an assurance that the research will not conflict with the researcher's responsibilities to the College.
  - c. The signature of the Vice President, Academic and Research, within their financial limits as specified in the Delegation of Signing Authority procedure, is required to finalize the grant application or grant agreement. The signature indicates that the College will accept and administer the grant funds in accordance with the sponsor's terms and conditions and in accordance with the College's policies and procedures. The signature indicates acceptance of any cost-sharing or other financial arrangements based on compensating/off-setting benefits, if applicable.
4. The Office of Research and Scholarship sends an original copy of the signed proposal or agreement to the Financial Services Department.

### ***General Fund Administration***

1. The Office of Research and Scholarship and the Financial Services Department work together to establish practices and procedures to meet the College's responsibilities related to research, scholarly activity, and scholarship activities (e.g., legal, financial, adherence to sponsor guidelines).
2. The College uses its integrated enterprise information system, including student, human resources, and financial reporting systems, to provide complete records of all transactions related to research, scholarly activity, and scholarship projects and services.
3. Internal Audits are regularly conducted on all financial systems within the College where required to ensure transactions related to research, scholarly activity, and scholarship are in full compliance with sponsor guidelines.

4. Research grant project budgets must include the recovery of indirect costs except when specifically prohibited in a sponsor's formally established research policy. However, the College may be prepared to participate in cost-sharing or other financial arrangements based on compensating/off-setting benefits. These arrangements require written approval by the Vice President, Academic and Research.

### ***Monitoring of Projects and Funds***

1. The Office of Research and Scholarship advises the Financial Services Department that certification has been obtained (Research Ethics Board approval, animal care committee approval, biosafety officer approval, and any other required certifications) and that funds may be released. Financial Services releases funds to the researcher only when the necessary certification requirements are met. If the activities involving human participants or animals will take place in the future and certification is not in place yet, a part of the funds may be released to cover only expenses to be incurred before human participants or animals are involved.
2. Research projects are regularly monitored (at minimum once a year) by the Office of Research and Scholarship to ensure ongoing progress and compliance with certification requirements. It is the duty of all grantees to advise the Office of Research and Scholarship of any changes that might impact the certification of a project.
3. Should potential conflicts of interest be disclosed, they will be dealt with as set out in the Integrity in Research, Scholarly Activity and Scholarship Policy and Breach of Research Integrity Procedure, including any necessary notifications to the sponsor.
4. Departments/Schools will inform the Office of Research and Scholarship and the Financial Services Department of any substantive changes in personnel appointments or continuing eligibility for grants during regular reviews of research projects. The Office of Research and Scholarship will inform the sponsor as soon as possible.
5. The College provides safeguards to protect the sensitive information entrusted to it by sponsors for administering applications and awards and abides by the sponsor's data protection requirements as determined in any agreements entered into between the College and the sponsor.
6. At the end of a funded project, the Office of Research and Scholarship, Financial Services, and the Principal Researcher will work together to ensure all final reporting is completed.

### ***Purchasing***

1. The Financial Services Department establishes separate budget codes for each individual research grant in order to track revenue and expenses.
2. All goods and services purchased related to research grants are approved according to the standard purchasing and accounting policies and procedures of the College, unless otherwise specified by the sponsor. It is the responsibility of the grantee to contact the Financial Services Department to assure compliance with these practices.

3. In the case where a research grant is provided to a specific individual, that individual or delegate is required to approve all expenditures from that account, subject to the level of signing authority provided by the College. Should the amount exceed that signing authority, additional signatures are required as per the Signing Authority and Contractual Commitments policy.
4. In the case where a research grant is provided to the College, unless otherwise specified by the sponsor the Vice President Academic and Research is responsible for authorizing expenditures of funds from the grant account subject to the signing authority limits specified in the Delegation of Signing Authority Procedure.
5. Records of delegated signing authority, signed contracts, and financial reports related to grants are kept by the Financial Services Department.
6. The Financial Services Department provides electronic access to financial information on research grant accounts to all grant holders and the Office of Research and Scholarship. These accounts are updated with every transaction record as they are posted, including summaries, details by transaction, and summaries by type of expense.
7. All equipment and material purchased or collected through research grants remains the property of the College unless otherwise specified in the research grant agreement.
8. All capital equipment purchased or collected through research grants is recorded in the College inventory control system as maintained by the Financial Services Department.
9. If equipment or material purchased or collected through research grants is later sold, the proceeds from the sale are received into the College's general accounts unless otherwise specified in the research grant agreement.
10. Equipment purchased with grant funds is made available to other researchers and students when it is not used by the grantee. Any maintenance and materials costs that result from such use are not eligible grant expenses and are the responsibility of the user.
11. If expenditures deviate significantly from original projections specified in the project proposal including:
  - a. Deviations from original objectives,
  - b. Deviations of more than 20% of the total budget,
  - c. Deviations of more than \$10,000 from the original budget,
  - d. Deviations of 20% per line item; or
  - e. Deviations as outlined and defined by the sponsor

the Office of Research and Scholarship ensures that the sponsor is informed as outlined in the grant agreement. Deviations cannot involve the over-expenditure of grant funds.

12. Salaries may be encumbered against grant accounts when they comply with the terms of the sponsor and the specific project grant. Such expenditures are reviewed for compliance by the Office of Research and Scholarship in consultation with the Financial Services Department.
13. Incentives may be paid to research participants provided that the incentive:
  - a. Meets Research Ethics Board requirements,
  - b. Does not contravene sponsor requirements or agreements, and
  - c. Complies with the RDC Hosting and Business Expenses Policy regarding gifts and honorariums. If this policy conflicts with the grant agreement the grant agreement takes precedence.

### ***Travel and Expense Claims***

1. Travel expense claims that require expenditure of funds from a grant account must adhere to the College's Travel and Related Expenses policy. Grant-related travel expense claims are required for each traveller and include at least the following information:
  - a. Purpose of the trip,
  - b. Persons or organizations visited,
  - c. Official documentation indicating the dates of events for conferences and workshops, and
  - d. Original receipts.

Should the College's policy or the grant agreement require additional information, travellers are required to comply with those requirements as well.

2. Expense claimants are required to certify that they have not been reimbursed by other organizations.
3. All expense claims must be countersigned by the Vice President, Academic and Research to ensure compliance with College and grant requirements and policies.

## **DEFINITIONS**

**Grant Application:** An application to a sponsor for funds to carry out research and related activities.

**Grant Agreement:** The legally binding agreement between the College and the sponsor that sets forth the terms and conditions of a grant award, including all amendments thereto.

**Internal Audit:** An activity conducted by Financial Services to ensure financial controls and adherence to internal policies and external sponsors' guidelines; includes but is not limited to process and document review and sample testing.