

Research administration policy

Policy statement

Bow Valley College (College) engages in applied research activities aimed at solving specific problems or challenges faced by communities and organizations within their everyday context, rather than in pursuit of general knowledge creation. The College administers such research in accordance with all institutional, granting agency and funder policies, guidelines and procedures; and fulfills all contractual obligations with granting agencies, funders, and clients.

Purpose

This policy establishes the responsibilities of all College employees, learners, and clients engaged in research with regards to applying for funding, negotiating grant agreements and research contracts, complying with the conditions set forth in grant competitions, research contracts and grant agreements and adhering to the policies, guidelines, and procedures of funders and the College. It assigns the Department of Research and Innovation (RI) serving as the research grants office and gives it the responsibility for overseeing and managing the research activities of the College with the support of the Finance Department and the cooperation of researchers.

Scope

This policy applies to all research, research grant applicants, research grant agreements and contracts entered into by the College, employees involved in the administration of research and fiscal management of research funds, and employees and learners conducting research under the auspices and/or authority of the College.

Compliance

Employees (including contractors) and learners are responsible for knowing, understanding, and complying with College procedures, and any other documentation that relate to their position, employment, or enrolment at the College.

Principal objectives

1. Research and Innovation Responsibilities

- 1.1. RI maintains research-related policies to ensure that:
 - 1.1.1. Bow Valley College has a research policies and procedures framework that meets the requirements and needs of the College, employees and learners conducting research, clients, and funders,
 - 1.1.2. Research policies and procedures are developed and amended as required to maintain currency with policies, best practices, guidelines, and expectations of the College, funders, and other stakeholders, and
 - 1.1.3. Research policies and procedures are communicated to the College community and are readily available to stakeholders.
- 1.2. RI manages the research funding application, grant agreement, and research contract processes.
- 1.3. RI administers any internal funds earmarked by the College to support research.
- 1.4. RI manages all stages of the research process on behalf of the College.

2. Research Grant and Contract Applications and Agreements

- 2.1. All research projects seeking external funding must complete the Funding Assessment Form.

- 2.2. Research funding applications must be submitted to funders by RI and with the approval of the authorized representative.
 - 2.2.1. This applies to anyone applying for funding as a College employee, even if the funds are to be used for the employee's graduate study research. Any application submitted to funders by a department, employee, or learner in the name of the College, which has not been endorsed by RI and signed by the authorized representative, will not be considered a Bow Valley College application.
 - 2.2.2. If a College employee applies for funding under the supervision of another institution (e.g., a professor at a university), then the application does not have to be endorsed by RI; unless a part of the funds are administered by the College. Such projects are not considered College projects. However, such projects will still be subject to College policies (e.g., research ethics).
- 2.3. The College is the only entity that can enter into research funding agreements and contracts that will be administered by the College.
 - 2.3.1. Funding agreements and contracts must be endorsed by RI prior to submission to the authorized representative of the College for approval and signature.
 - 2.3.2. All research funding agreements and contracts become active only after the required approvals and signatures have been obtained from all parties and on the commencement date listed in the agreement or contract.
 - 2.3.3. Expenses incurred prior to an agreement or contract becoming active will not be reimbursable, unless provided for in the agreement or contract.

3. Research Project and Account Management

- 3.1. All research funds from internal and external sources will be utilized in compliance with research funding agreements and contracts and the policies of funders and Bow Valley College.
 - 3.1.1. RI, Lead Researcher, and Finance will work together to ensure compliance with funder and College policies, procedures, and guidelines.
 - 3.1.2. Funding agreements with any of the Tri-Agencies will be administered in compliance with the *Tri-Agency Financial Administration Guide* and/or the *Tri-Agency College and Community Innovation Program Tri-Agency Financial Administration Guide* as stipulated in the *Agreement on the Administration of Agency Grants and Awards by Research Institutions* signed between Bow Valley College and the Tri-Agency in 2018.

4. Responsibilities of College Staff, Clients, and Learners

- 4.1. Administrators and their staff are responsible for informing RI of any proposed research projects that involve internal or external clients and working with RI on applications, agreements, contracts and administering any research funds.
- 4.2. Academic departments are responsible for working with RI on research proposals and projects, including course-based research carried out by learners.
- 4.3. Non-academic departments are responsible for supporting RI, the Academic Division and those engaged in research as directed by the members of the Executive Committee or their delegates.
- 4.4. Administrators are responsible for ensuring that their staff support research as directed by members of the Executive Committee or their delegates.
- 4.5. Learners participating in research activities are expected to comply with this policy and ensure that their instructors are informed about their research activities and endorse research proposals and proposed expenditures.
- 4.6. Clients are expected to comply with this policy and collaborate with LR and learners on the development, execution and reporting of research projects.

Compliance

Employees (including contractors) and students are responsible for knowing, understanding, and complying with Bow Valley College procedures to the extent that procedures relate to their position, employment, or enrolment at the College.

Definitions

Bow Valley College employee:

Refers to any individual employed by the College (i.e., exempt, faculty [under the Bow Valley College Faculty Association], and staff [under the Alberta Union of Provincial Employees]).

Evaluation:

Evaluation is a systematic process of gathering information about a program, course, or service that enables well-informed decisions to be made. It involves studying the characteristics of the program, course, or service, including a systems view of the structure, activities, and organization.

Funder:

Includes any person or organization providing funding to Bow Valley College in support of research. Examples of a funder are granting agencies (such as NSERC and SSHRC), federal or provincial departments, foundations, donors and persons or organizations having research contracts with the College.

Funding agreement:

An agreement with an internal or external party (typically a granting agency, government organization or department, or foundation) that provides financial support for research activities where there is no contractual obligation to participate in the research or expectation of benefiting from the results of the research, other than being recognized for its financial contribution to the research.

General research fund:

A General Research Fund (GRF) is a special account opened as a trust account under the authority of the President of the College (and authorized delegates by the President), into which the unspent funds of expired or terminated grants are transferred with the authorization of the granting agencies. (Tri-Agency: http://science.gc.ca/eic/site/063.nsf/eng/h_5429D5A5.html)

Lead researcher:

The person who has primary responsibility for the intellectual direction of the research or research-related activity, and assumes administrative responsibility for the grant. In the case of teams or formal partnerships, the Lead Researcher is understood to be responsible for the overall leadership of the team or partnership. Lead researcher is an umbrella term that covers those employed by the Tri-Agency, such as applicant, principal investigator, and project director.

Learner:

Any person registered in a program or course delivered by the College.

Management:

The continuous operational management of individual grants on a transactional or regular basis including the responsibilities of employees within specific functions related to the management of grants as part of their role within the college (e.g., authorized representative reviews transactions for eligibility, finance processes transactions and reviews and reviews for eligibility). Functions such as

Internal Audit are not involved in daily management. (Adapted from: Tri-Council Collaborative Information Gathering Tool glossary)

Research:

An activity under the auspices of the College by employees, learners, and/or external partners, which involves a systematic undertaking to establish facts, principles, or knowledge in order to solve specific problems of an organization or community. Most activities that involve information collected solely in the course of teaching (that is, projects that are not Client-Driven Course-Based Collaborative Research) are not considered research for the purposes of this policy. In addition, other usual college functions such as market research (the gathering data/information about consumer/customer preferences, ideas and attitudes), quality assurance studies, performance reviews, instructor evaluations, program evaluations or reviews, curriculum development projects, or testing within normal educational requirements are not considered research for the purposes of this policy.

Research Administration:

The administration of research encompasses all stages of the research process, including grant proposal development and submission, engagement of researchers (employees and learners), client relations management, contract negotiations, management of finances and infrastructure, project execution, dissemination of results, handling of intellectual property, marketing, and reporting to funders and stakeholders.

Research Contract:

An agreement entered into with internal or external parties for research services where there is a contractual obligation for the parties to participate in the research and an expectation of benefitting from the results of the research in return for contributing to the research through in cash and/or in kind.

Research Grant:

A fund provided in aid of the independent research activities of a faculty or staff member. Grant recipients are expected to use the funds as outlined in the grant proposal and to contribute the results from the research to the public domain without promptly. The research methodology is usually developed by the Principal Applicant/Lead Researcher/Principal Investigator and co-applicants/co-investigators, not under the direction or in collaboration with the granting agency. Grant agencies will not typically make any claim to Intellectual Property generated from projects they fund. Grant programs may be offered by federal or provincial agencies (e.g., Social Sciences and Humanities Research Council of Canada, Natural Science and Engineering Research Council of Canada).

Tri-Agency:

Refers to the Canadian Institutes of Health Research (CIHR), Natural Sciences and Engineering Research Council (NSERC), and Social Sciences and Humanities Research Council (SSHRC).

Policy Data

This information is to be included at the end of every policy on the following Data Sheet.

Data sheet

Accountable officer

Vice President, Academic.

Responsible officer

The Dean, Research and Innovation.

Approval

Academic Council
Board of Governors of Bow Valley College

Contact area

Research and Innovation

Relevant dates

Approved	Board of Governors: BOG190620-04
Effective	June 20, 2019
Next review	June 2022
Modification history	Rebranded 2021
Verified by	Office of the President, March 2022*

Associated policy(ies)

Applied Research and the Promotion of Innovation at Bow Valley College Policy 500-3-1
Delegated Signing Authority Policy 100-2-5
Ethical Conduct for Research Involving Human Participants Policy 500-3-2
Hospitality Event Expense Policy 100-1-9
Integrity in Research and Scholarship Policy 500-3-3
Purchasing Policy 100-1-2
Travel and Expense Policy 100-1-8
General Research Fund Policy – 500-2-12
Employee Code of Conduct Policy 200-1-1
Fraud Policy 200-1-4

Directly related procedure(s)

Research Administration Procedure

Directly related guideline(s) (if any)

Tri-Agency College and Community Innovation Program Tri-Agency Financial Administration Guide
(http://www.nserc-crsng.gc.ca/Institutions-Etablissements/CCIGuide-ICCGuide/Index_eng.asp)
Tri-Agency Financial Administration Guide
(http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index_eng.asp)
Tri-Agency Guidelines for the General Research Fund
(http://www.science.gc.ca/eic/site/063.nsf/eng/h_5429D5A5.html?OpenDocument)