

## **Research administration procedure**

### **Parent Policy**

Research Administration Policy.

### **Purpose**

The purpose of this procedure is to provide detailed guidance on the responsibilities of all Bow Valley College (College) employees, learners and clients engaged in research with regard to administering research.

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 procedure 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.

### **Procedures**

1. RI manages the research funding application, grant agreement and research contract processes in cooperation with Deans and other College departments. This includes, but not limited to:
  - 1.1. Maintaining an awareness of grant opportunities and competitions and communicating these to the College community,
  - 1.2. Leading and/or supporting grant development and review activities,
  - 1.3. Obtaining signatures of authorized representatives on applications, agreements and contracts,
  - 1.4. Endorsing or approving all applications for external funding opportunities,
  - 1.5. Negotiating grant agreements and research contracts,
  - 1.6. Endorsing or approving all grant agreements and research contracts, and
  - 1.7. Tracking and maintaining records of all research grants and contracts.
2. RI administers any internal funds earmarked by the College to support research – in cooperation with Deans and other College departments. This includes, but not limited to:
  - 2.1. Managing any competitions established to award funds to successful applicants,
  - 2.2. Ensuring funds are expended as proposed, and
  - 2.3. Tracking and maintaining a record of all awards.
3. RI manages all stages of the research process on behalf of the College – in cooperation with Deans and other College departments. This includes, but not limited to:
  - 3.1. Ensuring all research is conducted in compliance with College, funder and client policies and procedures,
  - 3.2. Supporting researchers in the execution of research,

- 3.3. Endorsing or approving all expenditures proposed for internally and externally funded projects, in cooperation with Finance,
  - 3.4. Maintaining a repository of research documents such as applications, agreements, contracts and reports,
  - 3.5. Ensuring sensitive research data and records provided by stakeholders or resulting during the research are protected,
  - 3.6. Ensuring reports are provided as per research agreements and contracts,
  - 3.7. Maintaining oversight for any College intellectual property developed during a research project and assisting with technology transfer activities,
  - 3.8. Supporting knowledge transfer and the dissemination of research,
  - 3.9. Liaising with internal and external stakeholders to promote the College's research abilities, capabilities and successes,
  - 3.10. Marketing research services and attracting clients to collaborate with the College,
  - 3.11. Providing reports on research activities and metrics to the College, and
  - 3.12. Supporting all College committees and boards that deal with research.
4. Research Project and Account Management
- 4.1. Amendments to research agreements and contracts can be made by mutual consent of all parties.
  - 4.2. Finance, in coordination with the Lead Researcher (LR) and RI, will endorse or approve all research expenditures according to College policies. Finance and RI are responsible for ensuring all expenditures authorized against Bow Valley College research accounts adhere to the approved budget, terms of the agreement, policies and guidelines of the funder, and all applicable policies and procedures of the College.
  - 4.3. The LR identified in a research agreement or contract will exercise overall management of the research activities, including the supervision of any research personnel paid from the agreement or contract funds. The LR will work closely with Finance and RI on the spending, tracking and reporting of expenditures.
    - 4.3.1. The LR will notify RI of any change(s) in the research project that may significantly impact compliance with funding agency requirements, individual researcher eligibility, Research Ethics Board approval, or relevant College policies. RI will notify the funder and other departments/units (e.g., Finance) as needed.
  - 4.4. For internally funded projects, proposed expenditure deviations of more than 10% from the approved budget included in an application will require mutual agreement by the supervisor and the LR and the approval of RI.
  - 4.5. For course-based research projects undertaken by learners in collaboration with an internal and/or external client and under the guidance of the course instructor, the instructor shall endorse any funding applications and proposed expenditures prior to submission to RI. The instructor shall assist learners with tracking expenses against budgets. Learners shall not be allowed to administer their own research funds.

## 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](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 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](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](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](http://www.science.gc.ca/eic/site/063.nsf/eng/h_5429D5A5.html?OpenDocument))