

Management of Research Funds Policy			
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Objectives

Lasalle College Vancouver (LCV) is committed to research excellence and to our responsibility of supporting research activity. The purpose of the policy is to outline the responsibility and authority for the management and administration of funds for research activity conducted under the auspices of LCV.

Scope

This policy addresses all research activity conducted or proposed to be conducted under the auspices of LCV using LCV staff, faculty, students, premises, resources, services, facilities, or equipment as outlined in a Research Agreement; and all LCV staff and faculty responsible for managing and/or administering this research activity in such Research Agreement.

Policy Statement

All research conducted by faculty, staff and students must be in accordance with all relevant LCV policies and procedures. At the core of this policy are processes to ensure:

- Accountability and good management practice of research funds.
- Academic Freedom and appropriate attribution of scholarly contributions are upheld when entering into external funding arrangements, in line with LCV's Academic Freedom Policy.
- Research funding will align with LCV's values and consider LCV's commitment to the United Nations Sustainable Development Goals.
- Credibility of research findings and their interpretation, acceptance and implementation are not compromised by funding sources.

Definitions

Administering Institutions: Organizations that receive and administer grant funds on behalf of an agency and the grant recipient.

Conflict of Interest (real, potential or perceived): It occurs when a financial or personal interest of an individual or their immediate family member may compromise, or have the potential to compromise, or create the perception of compromising, the individual's professional judgment or integrity and independence in performing their obligations as required by their employment agreement. *(The External Sponsor may have a definition and policy regarding conflict of interest that differs from the definition provided here and to which the External Sponsor will require adherence from a Principal Researcher as well as from others participating in said externally sponsored research project.)*

Equipment: Any item (or interrelated collection of items comprising a system) of tangible and intangible (software, licenses, etc.) property, which is used wholly or in part for research.

Expenditures: The action of spending funds. Grant recipient's expenditures may be fall under the following types:

- **Consulting fees:** A fee for service provided by a third party (non-employee).
- **Direct costs:** Essential expenditures that would not have been incurred had the grant not been undertaken. Accordingly, they can be directly assigned to the grant activities with a high degree of accuracy.
- **Indirect costs:** The operational costs that underpin an institution's research activities (i.e., heating, lighting, ethics reviews, management of intellectual property, environmental assessment and safety compliance). The services that give rise to indirect costs are institutionally based and may not be specific to individual research grants.

External Sponsors: Entities that provide direct support, including financial or in-kind contributions, for Research at the LCV and, by way of example, includes philanthropists and entities such as the Federal Tri-Council Agencies, other Federal and Provincial funding agencies, and industry partners.

Grant: A type of agency funding intended to support the direct costs of research and related activities.

Grant Recipient: Grant holder or grantee. This is typically the Principal Researcher.

Principal Researcher: The faculty member or staff who is responsible for the intellectual leadership and overall management of a research project. It is the person or persons who make final decisions and supervise funding and expenditures on a given research project.

Research: A studious investigation or experimentation aimed at the discovery or interpretation of knowledge; the systematic collection or revision of knowledge or accepted theories in the light of new facts, or practical application of such new or revised theories; and the development and application of methodologies to increase knowledge and the practical application of knowledge to specific problems or circumstances.

Research Agreement: An agreement entered into or proposed to be entered into by LCV in respect of Research with or without conditions.

Research Grant Committee: LCV's internal committee that oversees review of applications, awarding of, and oversight of LCV Research Grants.

Sponsored Research: Research undertaken or proposed to be undertaken using financial and/or other in-kind support from an External Sponsor, whether by participation in a competition, call for proposals, or pursuant to a Research Agreement or Clinical Trial Agreement.

Exclusions

This policy applies to the management of research funds administered by LCV. The management of research funds from external parties is subject to LCV policies and procedures and must align with The Tri-agency Guide on Financial Administration.

Provisions

- Individuals holding a Research Agreement with LCV must have a faculty or staff appointment.
- LCV has the right to administer funds received in support of Research which utilize LCV resources, and may be administered on behalf of Researchers by LCV and deposited in a research account administered by LCV.
- Research account overspending/deficits must be pre-authorized by LCV.

Principal Researcher

The Principal Researcher is responsible for preparing and submitting research project budgets within the approved funding, and for the management of spending within available funds held in trust in their name according to LCV and funder policies, and for completion of the research project within the funds available. This includes:

- Ensuring all expenditures authorized against LCV research accounts conform to the approved budget, with all terms and conditions of the sponsored Research Agreement, with all regulations and policies of the sponsoring agency, and with the regulations and policies of LCV.
- Ensuring all individuals working on the project are fully informed of and agree to comply with all applicable terms of the Research Agreement or sponsor's funding terms, including intellectual property terms, as documented by signed agreements.
- Ensuring all individuals working on the project are fully informed of and agree to comply with LCV's policies, including the Conflicts of Interest Policy.
- Maintaining records and data in accordance with the Research Agreement, sponsor's funding terms, LCV policies, Canada Revenue Agency guidelines, and/or best practices of the Principal Researcher's academic discipline, whichever is more rigorous.
- Familiarizing oneself and liaising, when appropriate, with LCV shared services (e.g., Health and Safety, Talent & Culture, Finance).
- Monitoring the balance and spending commitments within each research project.
- Obtaining pre-approval for all over-spending, over-commitments, or pre-spending.
- Notifying LCV of any circumstances preventing satisfactory project completion, or compliance, or change with any terms and conditions of the Research Agreement or sponsor's funding terms including changes in end dates.

Supporting Procedures

LCV will provide the following support to Principal Researchers:

- Establish and maintain research projects within the financial system as required.
- Monitor research expenditures for eligibility and authorized approval.
- Deactivate research projects that are overspent or overcommitted, so that further spending cannot be charged to the research project.
- Issue invoices to funding bodies as required by Research Agreements
- Monitor and assist in the collection of research accounts receivable through the development and maintenance of relevant financial reports.
- Develop and implement effective policies, controls, and procedures to support compliance with legislative and research funding authorities.

Further Information

426 Conflicts of Interest Policy

743 Respectful Use of Indigenous Knowledge and Intellectual Property

708 Intellectual Property Policy

715 Academic Freedom Policy

737 Research Ethics Policy

738 Supervision of Research or Senior Applied Projects Policy

[N SERC - Inter-agency, Tri-agency Financial Administration, Tri-agency Guide on Financial Administration](#)