

Policy Name:	Research Administration Policy		
Policy No:	3.7	Approval Authority:	NSCAD Senior Management & Senate, jointly
Volume:	3	Responsible Executive:	Vice President (Academic & Research)
Chapter:	7	Responsible Office:	Office of Academic Affairs & Research
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1. Policy Statement

NSCAD is committed to research excellence and to our responsibility of supporting research activity. The research mission is supported by the Office of Academic Affairs & Research along with Principal Investigators, Divisions, Centres, Institutes and service units within their respective sphere of responsibility and accountability. All research activity conducted or proposed to be conducted under the auspices of the University using University personnel, students, premises, resources, services, facilities, or equipment; and all University staff and faculty responsible for managing and/or administering this Research activity.

If there is a conflict between the Policy and provisions of a collective agreement with regard to a faculty or staff member to whom the collective agreement applies, the collective agreement will prevail.

2. Reason for Policy

The purpose of this Policy is to outline the continuum of responsibility and authority for the management and administration of Research activity conducted under the auspices of NSCAD University.

3. Policy Applies to

- All members and units of the university

4. Who Should Read this Policy

- All members of the university community
- All those conducting research in the course of their employment at NSCAD, including faculty, non- faculty teaching personnel, academic and administrative staff
- Deans, directors, and division chairs

5. Contacts

Approval Authority: Office of Academic Affairs & Research

Detail on policy meanings and application: Office of Academic Affairs & Research, 902-494-8125, provost@nscad.ca, [nscad.ca/policy](http://nscad.ca/en/home/abouttheuniversity/administration/officeofacademicaffairsandresearch/default.aspx), <http://nscad.ca/en/home/abouttheuniversity/administration/officeofacademicaffairsandresearch/default.aspx>

6. Definitions -- SSHRC provides an exhaustive set of definitions relating to eligible research. Where a question exists with respect to a term or definition, the definition provided by SSHRC will normally be given priority.

6.1 Co-applicant (co-investigator) is an individual, participating in a grant application, who makes a significant contribution to the intellectual direction of the research or research-related activity, who plays a significant role in the conduct of the research or research-related activity, and who may also have some responsibility for financial aspects of the research. Eligibility requirements may vary between specific funding opportunities. Subject to SSHRC approval, a co-applicant affiliated with a Canadian postsecondary institution may be named principal investigator in the event of the original principal investigator's death or resignation.

6.2 Conflict of Interest may be 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. NSCAD University has a Conflict of Interest policy. The External Sponsor may have a definition and policy regarding conflict of interest that differs from NSCAD's authorized policy and to which the External Sponsor will require adherence from a Principal Investigator as well as from others participating in said externally sponsored research project.

6.3 Collaborator is an individual, participating in a grant application, who may make a significant contribution to the intellectual direction of the research or research-related activity, and who may play a significant role in the conduct of the research or research-related activity. Collaborators are not eligible to be named principal investigator in the event of the original principal investigator's death or resignation. Collaborators do not need to be affiliated with a Canadian postsecondary institution. With the exception of certain travel- and subsistence-related expenses, SSHRC does not cover expenses that research collaborators incur in the conduct of research or research-related activity.

6.4 Extended Leave refers to a leave of absence from work for a period of time such that consideration of alternate supervisory / custodial arrangements for on-going research may be required. The duration of a leave requiring such considerations will vary based on the nature of the research activities, examples include sabbatical and medical leaves.

6.5 External Sponsors are entities that provide direct support, including financial or in-kind contributions, for Research at the University 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.

6.6 Formal partnership is a bilateral or multilateral formal collaboration agreement between an applicant and one or more partner organizations, of which at least one must be a Canadian postsecondary institution and at least one must be different from the institution or organization that will administer the grant funds.

Partnerships may be between academic institutions, or between one or more academic institutions and one or more non-academic partner organizations. These partner organizations agree and commit to work collaboratively to achieve shared goals for mutual benefit. Partners must provide evidence attesting to the commitment that has been agreed upon.

While the formality of partnerships may vary, a formal partnership is grounded in trust and mutual respect, with partner organizations contributing in a meaningful way to the success of the endeavour. This may include, for example, sharing in intellectual leadership or providing expertise. The partner organization is also expected to provide cash and/or in-kind contributions.

6.7 Income includes any payments to the account holder from the research account comprising reimbursement or supplementation of the account holder's existing salary, or activities on a consultancy or subcontract basis.

6.8 Indirect Cost of Research are institutional costs that benefit and support research. These costs must be included in budget requests to external sponsors of research, where eligible. Indirect costs are difficult to attribute directly to a project, but they are nevertheless real and necessary for the conduct of research. The Canadian Government also has an indirect costs (overhead) program based on research funded by NSERC, CIHR, SSHRC and Networks of Centres of Excellence (not all programs). Indirect costs should not be included in budget requests to these sponsors.

6.9 In-kind contributions are goods or services contributed to support a specific research project or research-related activity.

6.10 Partner organization participates actively in a formal partnership and contributes in a meaningful way to the success of the endeavor. A partner organization may be, for example, a Canadian or foreign: postsecondary institution, government department (federal, provincial, territorial, municipal), for-profit or not-for-profit organization, or foundation. Partner organizations are required, for administrative purposes, to identify an individual who will act as a contact person. A partner organization is expected to support the activities of the formal partnership by sharing in intellectual leadership or providing expertise. The partner organization is also expected to provide cash and/or in-kind contributions.

6.11 Principal Investigator is the individual who has primary responsibility for the design, execution, and management of a research project and who will be involved in the project in a significant manner.

6.12 Research includes 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.

6.13 Research Agreement means an agreement entered into or proposed to be entered into by the University in respect of Research with or without conditions. For the avoidance of doubt and without limitation, a Research Agreement includes the following:

1. any notice of award and the terms and conditions of such an award (whether presented by the External Sponsor in a document to be signed, or published by the External Sponsor in some other format);
2. a Sponsored Research agreement; or
3. any other agreement to provide or receive materials, information or data, or any other tools to facilitate Research.

6.14 Research Support Fund (RSF) helps Canadian postsecondary institutions with the hidden costs of research. By alleviating the financial burden of expenses, such as lighting and heating, the program ultimately helps researchers concentrate on cutting-edge discoveries and scholarship excellence. The annual grant covers a portion of the total indirect costs of research at NSCAD University.

6.15 Sponsored Research is 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.

7. The Policy

7.1 All Research conducted by faculty, staff and students must be in accordance with all relevant University policies and procedures. Non-compliance will be reviewed and managed according to governing University policies, procedures, and collective agreements.

7.2 All funds received in support of Research, which utilize University resources, are administered on behalf of Researchers by the University and must be deposited in a research account administered by Research Accounting.

7.3 Payments to support research activity normally must be made payable to NSCAD University, not to the individual researcher.

7.4 Research or other study(ies) involving human subjects or radioactive/chemical hazards require the appropriate certificates of approval from the relevant University governing committee prior to the conduct of the research.

7.5 Research account overspending/deficits must be pre-authorised by the Vice-President (Finance and Administration).

7.6 Individuals holding a research account must have a faculty or staff appointment of longer than 9 months.

7.7 Individuals holding a research account cannot derive any portion of their income from the account funds or, as a result of holding the research account, be placed in a position of potential, perceived or real conflict of interest. In the event that research funding is received and one or more of these situations applies, a separate research project will be established under the name of the Vice-President (Academic & Research) or delegate, and/or the potential, perceived or real conflict of interest will be approved and managed by the Vice- President (Academic & Research).

7.8 In the event that a faculty member departs the University through voluntary resignation, dismissal, termination (resulting from a redundancy, layoff, expiration of contract, or cause), retirement, death, or is absent due to an Extended Leave, there are required administrative procedures that must be resolved on a timely basis.

8. Responsibilities

8.1 Principal Investigator(s)

- Prepare and submit research project budgets within the approved funding.
- Responsible for the management of spending within available funds held in trust in their

name according to University and funder policies, and for completion of the research project within the funds available.

- Ensure all expenditures authorized against University 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 the University.
- Ensure 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.
- Maintain records and data in accordance with the Research Agreement, sponsor's funding terms, University policies, Canada Revenue Agency guidelines, and/or best practices of the Principal Investigator's academic discipline, whichever is more rigorous.
- Authorize, or delegate authorization, of all expenditures in accordance with University policies and/or funding agency requirements.
- Notify Finance Office when requirements for deliverables-based invoices have been met so invoices can be issued.
- Notify Chair, Research Office, and Finance 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.
- Monitor the balance and spending commitments within each research project.
- Use available discretionary research funds to eliminate or mitigate over-spending and over- commitments.
- Obtain pre-approval for all over-spending, over-commitments, or pre-spending.
- Familiarize one's self and liaise, when appropriate, with University shared services (e.g., Environmental Health and Safety, Facilities, Human Resources) and comply with University policies and procedures.

8.2 Research Grant Officer, Office of Academic Affairs and Research

- Provide support to individual faculty members for pre-award activities.
- Approve proposals for Sponsored Research prior to submission to the Vice-President (Academic & Research).
- Include operational and maintenance costs in planning and budget processes and documents, for the required support to conduct Sponsored Research projects, and ensure sustained operation of research infrastructure and assets funded by External Sponsors.
- Consult with University shared services (e.g., Environmental Health and Safety, Facilities, Human Resources) to understand requirements, and monitor compliance with University policies and procedures pertaining to the administration of research activity.

8.3 Coordinator, Office of Academic Affairs and Research

- Provide the necessary support for financial management and administration of research activity.
- Provide financial oversight of research project balances and research progress, and resolve financial issues throughout the duration of research projects in consultation with Controller.

8.4 Controller, Office of Finance and Administration

- Establish and maintain research projects within the financial system.
- Monitor research expenditures for eligibility and authorized approval.
- Deactivate research projects that are overspent or overcommitted, according to the accompanying procedure, so that further spending cannot be charged to the research project. Reactivate research projects if/once the overspending issue has been resolved.
- Process and monitor over-spending or pre-spending approvals.
- Update project budgets on a timely basis.
- Issue invoices to funding bodies as required by research agreements
- Monitor and assist in the collection of research accounts receivable.
- Provide support to the research community through the development and maintenance of relevant financial reports.
- Prepare and approve all financial reports submitted to funding agencies.
- Coordinate and support audits of research funding.
- Develop and implement effective policies, controls, and procedures to support compliance with legislative and research funding authorities in consultation with Vice-President (Finance and Administration).
- Confirm that adequate funds are available prior to approving salary contracts to be charged against research projects.
- Review and approve or deny requests for over-expenditure, over-commitment, or pre-spending in consultation with Vice-President (Finance and Administration).
- Notify Research Office of any approved over-spending or pre-spending.
- Resolve financial shortfalls associated with any research project.

8.5 Vice-President (Academic & Research)

- Provide the following support to Principal Investigators, NSCAD co-applicants and collaborators:
- Provide support to individual faculty members for pre-award activities.
- Approve proposals for Sponsored Research on behalf of the University prior to submission.
- Negotiate and execute Research Agreements on behalf of the University.
- Authorize pre-spending, the opening of research accounts and communicate such to Finance Office.
- Notify Financial Services of approved changes to budget and/or project end dates.
- Provide support to individual faculty members for post-award activities (e.g., fund transfers, ethics renewals).

- Liaise with the External Sponsor where changes of budget, project end date, or clarification of terms is as required.
- Develop and implement effective policies and procedures that support compliance with all legislated requirements and external sponsor-funded policies and procedures.