

Policy on Funded Research Agreements

Category: Research Policy

Approval: Board of Governors

Responsibility: Vice President, Research and Innovation

Date: March 25, 2022

Definitions:

A Principal Investigator is defined as the Researcher responsible for the conduct of a research grant, cooperative research agreement, or other funded research project.

Purpose/Reason for Policy:

The purpose of this Policy is to define responsibilities and related policies to facilitate funded research agreements when a Principal Investigator engages in research at Trent University (the University).

Scope of this Policy:

This Policy applies to all funded research agreements conducted or proposed to be conducted at, or under the auspices of, the University involving University personnel, students, premises, resources, services, facilities, and/or equipment. Examples include, but are not limited, to:

Example 1: A Principal Investigator is awarded a Tri-Agency grant. Two graduate students are hired as research assistants to conduct analysis in an on-campus laboratory. Funds are held in trust by the University, and disbursed to pay the student salaries and any research related expenses.

Example 2: A Principal Investigator is awarded a contract with a private company. Funds are held in trust by the University, and disbursed to pay for equipment, supplies and research personnel.

Example 3: A Principal Investigator is awarded a partnership grant that involves multiple funding partners including Tri-Agency, government and industry contributions. Funds are held in trust by the University, and disbursed to pay for equipment, supplies, research personnel and student salaries.

Example 4: A program evaluation with deliverables is carried out by a Principal Investigator through private donor funds routing through the External Relations and Advancement office.

Policy Statement:

This policy outlines the responsibilities within funded research agreements as follows:

The University (via the Office of Research and Innovation) will:

- review, and consider for approval, all funded research agreements
- assess for risk using the Trent University Risk Assessment Tool and work with the Principal Investigator, as warranted, to mitigate risks thereby identified, including those relating to real, perceived, or potential conflicts of interest.

- Approve and legally bind the University research agreements by the Vice President Research and Innovation or their designate.

Following approval, the University (via Financial Services) will:

- hold the research funds in trust
- carry out any required external financial reporting
- ensure compliance with external auditing guidelines

The Principal Investigator will:

- adhere to the University's Policy on Research and Scholarly Misconduct
- disclose any real, perceived or potential Conflicts of Interest that may arise in relation to the approved project
- participate in the activity stated in the research agreement and advise the Office of Research and Innovation if circumstances prevent satisfactory completion
- identify the need for any modifications to the agreement and collaborate with the Office of Research & Innovation to update the agreement as required

Revisions to Funded Research Agreements:

If a Principal Investigator requests modifications to an approved agreement, the Office of Research and Innovation shall expedite the request for revisions provided that they remain within the risk parameters previously identified. If the requested changes increase risk to the University, the Vice President Research and Innovation or their designate will work with the Principal Investigator to address the requested revisions and bring the overall risk within acceptable limits.

Contact Officer:

Director, Office of Research and Innovation

Date for Next Review:

Spring 2025

Related Policies, Procedures & Guidelines

- a) Trent University Policy on Research and Scholarly Misconduct
- b) Trent University Conflict of Interest Policy (Human Resources)
- c) Trent University Indirect Costs Policy (under review)
- d) Guidelines for Funded Research Agreements
- e) School of Graduate Studies Guidelines for Intellectual Property Developed by Graduate Students
- f) Office of Research and Innovation Risk Assessment Tools

Policies Superseded by This Policy:

- a) Policy on Contract Research (Faculty), 2016
- b) Research Policy on External Research Activities (Faculty), 2016