



Research Grant Management Procedure	
Parent Policy: Support for Research, Scholarly Activity, and Scholarship Policy	
Category: Academic-Administrative	Approval Date: March 15, 2023
Procedure Owner: Vice President Academic and Provost	Effective Date: April 1, 2023
Procedure Administrator: Associate Vice President, Teaching, Learning, and Research	Review Period: 5 years
Associated Documents: General Research Fund Procedure Research Centres Policy and Procedure (under development) Overhead Policy and Procedure (under development)	

PURPOSE

To ensure all grant funds administered by Red Deer Polytechnic are managed in compliance with research grant agreements and funder policies, and to set standards and processes for managing and reporting research expenses. Standards and processes for grant funds applied for and held by recognized Research Centres also comply with research grant agreements and funder policies and are addressed in the Research Centres policy and procedure (under development).

PROCEDURE

Grant/Funding Applications

1. The Office of Research and Scholarship acts as the Research Grants Office at Red Deer Polytechnic. It ensures that applications forwarded to any funder meet that funder's eligibility requirements. All application documents will be held confidentially and be accessible only to staff in the Office of Research and Scholarship and the Finance department for business purposes. Should any member of the Office of Research and Scholarship or the Finance department wish to apply for a research grant they will not have access to any other researchers' documents related to that competition.
2. The Office of Research and Scholarship and the Finance department assess all research grant applications prior to sending them to a funder in order to certify their compliance with all Polytechnic policy and procedures related to research, scholarly activity, and scholarship. Industry-focused grant applications created by the Centres will be subject to spot-checking/auditing for compliance on a regular basis.

3. Research grant project budgets must include the recovery of indirect costs except when specifically prohibited in a funder's policies and procedures. Please refer to Overhead Policy/Procedure (in development) for details.
4. Once the grant application or grant agreement's formal documents are prepared, these are approved, in writing, by the Principal Investigator, the Associate Dean, the Dean, and the Associate Vice President, Teaching, Learning and Research, unless otherwise specified by the grant requirements. Grant applications involving faculty workload release require the approval of the Associate Dean and Dean or Administrative Supervisor before they can be finalized.
 - a. The Principal Investigator's signature constitutes an acceptance of responsibility for the ethical, technical, and scientific conduct of the research. This signature is also the Principal Investigator's acceptance of the grant agreement's terms and conditions.
 - b. The Dean's signature, in consultation with the Associate Dean, constitutes an approval of the undertaking of the research; an assurance that the research is consistent with and will benefit the Department/School's teaching and learning, research, and public service mandates; an undertaking that the research can and will be accommodated within the constraints of the facilities and services currently available; an assurance that the direct costs of equipment, personnel, supplies, and services used for the research can and will be recovered from the grant funds; and an assurance that the research will not conflict with the researcher's responsibilities to the Polytechnic.
 - c. The signature of the Associate Vice President, Teaching, Learning and Research, within their financial limits as specified in the Delegation of Signing Authority procedure, is required to finalize the grant application or grant agreement. The signature indicates that the Polytechnic will accept and administer the grant funds in accordance with the funder's terms and conditions and in accordance with the Polytechnic's policies and procedures. The signature indicates acceptance of any cost-sharing or other financial arrangements based on compensating/off-setting benefits, if applicable.
5. The Office of Research and Scholarship sends an original copy of the signed proposal and agreement to the Finance department.

General Fund Administration

1. The Office of Research and Scholarship and the Finance department work together to establish practices and procedures to meet the Polytechnic's responsibilities related to research, scholarly activity, and scholarship activities (e.g., legal, financial, adherence to funder guidelines). New grant holders receive training from the Office of Research Scholarship on financial management, human resources management, and any other procedures and policies they need to be aware of to conduct their project and administer their grant.
2. The Polytechnic uses its integrated enterprise information system, including student, human resources, and financial reporting systems, to provide complete records of all transactions related to research, scholarly activity, and scholarship projects and services.

3. The Finance department provides access to financial information on research grant accounts to all grant holders and the Office of Research and Scholarship. This information is updated on a regular basis.
4. Internal Audits are regularly conducted on all financial systems within the Polytechnic where required to ensure transactions related to research, scholarly activity, and scholarship are in full compliance with funder guidelines.
5. All expenses to be charged to a grant, including those for travel, must be incurred during the time period of the grant.

Monitoring of Projects and Funds

1. Researchers are responsible for providing copies of any necessary ethical, biosafety, or other certification connected to their project to the Office of Research and Scholarship. The Office of Research and Scholarship advises the Finance department that certification has been obtained and that funds may be released. The Finance department and Office of Research and Scholarship release funds to the researcher only when the necessary certification requirements are met. If the activities involving human participants or animals will take place in the future and certification is not in place yet, a part of the funds may be released to cover only expenses to be incurred before human participants or animals are involved.
2. In the case where a research grant is provided to a specific individual, that individual or their delegate is required to authorize all expenditures from the grant account. Any delegate must meet the same eligibility requirements as the grant holder. Delegation of signing authority for grant funds requires a completed Signing Authority Delegation for Grants/Projects form for each delegate. Note that a grant holder has spending authority only over their grant funds; any other spending or signing authority, including the ability to sign contracts that bind the institution, follows RDP's Signing Authority and Contractual Commitments Policy and associated Procedures.
3. In the case where a research grant is provided to the Polytechnic, the individual authorized to administer the institutional grant on behalf of the Polytechnic, and their delegate(s), is responsible for authorizing expenditures of funds from the grant account. Any delegate must meet the same eligibility requirements as the grant holder. Signing authority for grant funds requires a completed Signing Authority Delegation for Grants/Projects form for each delegate. Note that a grant holder has spending authority only over their grant funds; any other spending or signing authority, including the ability to sign contracts that bind the institution, follows RDP's Signing Authority and Contractual Commitments Policy and associated Procedures.
4. Records of delegated signing authority, signed contracts, and financial reports related to grants are kept by the Finance department.
5. Research projects are regularly monitored (at minimum once a year, or more frequently per the terms of the funding agreement) by the Office of Research and Scholarship to ensure ongoing progress and compliance with certification requirements, including attestation of ongoing eligibility of research team members. It is the duty of all grant holders to advise the Office of Research and Scholarship of any changes that might impact their eligibility to hold a grant and/or the certification of a project.

6. Should potential conflicts of interest be disclosed, they will be dealt with as set out in the Integrity in Research, Scholarly Activity and Scholarship Policy and Breach of Research Integrity Procedure, including any necessary notifications to the funder.
7. Departments/Schools will inform the Office of Research and Scholarship and the Finance department of any substantive changes in personnel appointments or continuing eligibility for grants during regular reviews of research projects. The Office of Research and Scholarship will inform the funder as soon as possible.
8. The Polytechnic provides safeguards to protect the sensitive information entrusted to it by funders for administering applications and awards and abides by the funder's data protection requirements as determined in any agreements entered into between the Polytechnic and the funder.
9. At the end of a funded project, the Office of Research and Scholarship, the Finance department, and the Principal Investigator will work together to ensure all final reporting is completed. Any residual funds are dealt with according to the guidelines of each individual funder. Eligible residual Tri-Council grant funds are held in trust and administered according to RDP's General Research Fund Procedure.

Use of Funds

1. The Finance department establishes separate budget codes for each individual research grant in order to track revenue and expenses.
2. All goods and services purchased related to research grants are approved according to the standard purchasing and accounting policies and procedures of the Polytechnic, unless otherwise specified by the funder. It is the responsibility of the grantee to contact the Finance department to assure compliance with these practices.
3. Expenses related to internal staff working sessions and staff recognition sessions are not allowable unless specified in the grant terms and conditions. If these expenses are allowable under the grant terms and conditions, they are subject to RDP's policies.
4. Purchases of alcohol are not allowable expenses. Culturally appropriate gifts and payment of honoraria as means of incentives to participants must be approved by the Research Ethics Board and the Associate Vice-President, Teaching, Learning, & Research.
5. All equipment and material purchased or collected through research grants remains the property of the Polytechnic unless otherwise specified in the research grant terms and conditions.
6. All capital equipment purchased or collected through research grants is recorded in the Polytechnic inventory control system as maintained by the Finance department.
7. If equipment or material purchased or collected through research grants is later sold, the proceeds from the sale must be handled according to the funder's policies and procedures. If the funder does not provide direction, proceeds are received into the Polytechnic's general accounts. Equipment or material purchased or collected through research grants must be disposed of following the Capital Assets Disposal procedures.
8. Equipment purchased with grant funds is made available to other researchers and students when it is not used by the grant holder/Principal Investigator. Any maintenance and materials costs that result from such use are not eligible grant expenses and are the responsibility of the user.

9. If expenditures deviate significantly from original projections specified in the project proposal including:
 - a. Deviations from original objectives, or
 - b. Deviations as outlined and defined by the funder, or
 - c. Deviations of more than 20% of the total budget, or
 - d. Deviations of more than \$10,000 from the original budget, or
 - e. Deviations of 20% per line item,the Office of Research and Scholarship ensures that the funder is informed as outlined in the grant. Deviations cannot involve the over-expenditure of grant funds.
10. Salaries, including those for consultants and other types of contractors, need to comply with each grant's eligibility requirements, as well as its terms and conditions. Such expenditures are reviewed for compliance by the Office of Research and Scholarship in consultation with the Finance department.

Incentives

1. Incentives and honouraria may be paid to research participants provided that they:
 - a. Meet Research Ethics Board requirements,
 - b. Do not contravene funder requirements or agreements, and
 - c. Comply with the Red Deer Polytechnic Hosting and Business Expenses Policy regarding gifts and honorariums. If this policy conflicts with the grant agreement the grant agreement takes precedence.
2. Incentives and honouraria in the form of gift cards or cash must be signed for, per Finance best practices. If it is not possible or advisable to have the participant sign for the incentive in order to maintain the anonymity of the participant, a pseudonym or number system created by the researcher may be used, or two independent researchers can co-sign. Any other process for incentive distribution must be approved by both the Research Ethics Board and Finance.

Travel and Expense Claims

1. Travel expense claims that require expenditure of funds from a grant account must adhere to the Polytechnic's Travel and Related Expenses policy and associated procedure. Grant-related travel expense claims are required for each traveller and include at least the following information:
 - a. Purpose of the trip,
 - b. Persons or organizations visited,
 - c. Official documentation indicating the dates of events for conferences and workshops, and
 - d. Original receipts.

Should the Polytechnic's policy or the grant agreement require additional information, travellers are required to comply with those requirements as well.

2. Expense claimants are required to certify that they have not been reimbursed by other organizations.
3. All expense claims must be signed by the grant holder, unless the claim is for the grant holder, in which case they must be countersigned by the Associate Vice President, Teaching, Learning & Research to ensure compliance with Polytechnic and grant requirements and policies.

DEFINITIONS

Grant Application: An application to a funder for funds to carry out research and related activities.

Grant Agreement: The legally binding agreement between the Polytechnic and the funder that sets forth the terms and conditions of a grant award, including all amendments thereto.

Grant Funder/Sponsor: The entity providing the funding.

Grant Holder: The individual or institution named in the grant agreement as receiving grant funds and responsible for ensuring that the terms and conditions of the grant agreement are met. The Grant Holder may or may not also be the Principal Investigator.

Internal Audit: An activity conducted by the Finance department to ensure financial controls and adherence to internal policies and external funders' guidelines; includes but is not limited to process and document review and sample testing.

Principal Investigator: the individual who has primary responsibility for the overall intellectual direction of the research, research-related activity or partnership. They are also accountable for coordinating the grant's overall financial and administrative aspects (adapted from the [Social Sciences and Humanities Research Council](#) definition.)