



## BOUCHER INSTITUTE OF NATUROPATHIC MEDICINE POLICY

**Policy Title: Research Contracts, Grants and Fund Administration Policy**

**Date of Initial Board Approval: May 13, 2019**

**Date of Last Approved Revision:**

**Person(s) Responsible for Implementation & Adherence: Research Director and Chief Financial Officer**

**Related Procedures: Research Policy and Procedure Manual**

### **Background & Purposes**

A core function of the BINM is the pursuit and dissemination of naturopathic knowledge through research and inquiry. Research contracts and grants often involve substantial use of institutional resources and may at times require a financial contribution made by the host institution in order to qualify.

This Policy specifies the terms and conditions by which Research Contracts, Grants and Funds will be reviewed and approved, and sets out the responsibilities and standards required of BINM Researcher Persons involved in its administration.

### **POLICY**

*Defined terms are capitalized in this Policy and Procedures.*

#### **1. Scope**

- 1.1 This Policy applies to all BINM persons who conduct, supervise or otherwise participate in Research ("**BINM Researcher Persons**").
- 1.2 This Policy applies to all research grants that propose the use of any of BINM's services or resources, including human, physical and financial.
- 1.3 BINM Researcher Persons are responsible to BINM for the manner in which they conduct their Research and must comply with this Policy, the Funding Terms, and any other requirements of BINM, including those set out in Procedures.

## 2. Definitions

- 2.1 **“Research Contract”** refers to an agreement to perform research or research related activities for a sponsor under specified conditions in exchange for payment of direct and indirect costs. The initial initiative for the project may be generated by the sponsor requiring that certain guidelines be followed with regards to the direction of the research and/or to the use of publication of research results. The BINM retains the rights to Publication, however the sponsor may request a publication delay (not more than 90 days) to review the manuscript for confidential and patentable content. Sponsors may also request to retain control of their Intellectual Property generated by a particular project.
- 2.2 **“Research Grant”** refers to a fund provided in aid of the independent research activities of a BINM Researcher Person. Grant recipients are expected to use the funds as outlined in the grant proposal and to contribute the research results to the public domain without undue delay. The Principle Investigator shall develop the research methodology. Grant agencies typically do not make any claim to Intellectual Property generated from the projects they fund. Federal or provincial agencies, non-profit organizations, private organizations or foundations may offer grant programs.
- 2.3 **“Sponsor”** means a partner in a research project and can be an individual, non-profit, private company, government federal, provincial or local agency or academic institution. The Sponsor is responsible for the initiation, management, and/or financing of the research project. Sponsors may not conduct the research, but often will define the research project. The sponsor usually remains in control of the final results and any Intellectual Property arising from the project.
- 2.4 **“Administering Unit”** means the academic division, department or unit in which the Principle Investigator holds appointment that accepts administrative responsibility for a sponsored research project. The Administering Unit may be within BINM or an outside institution or organization.
- 2.5 **“Research Agreement”** means the policies, rules and regulations that govern the use of Research Funds. These terms may come from various sources including BINM policies, provisions of a contract for Research Funds or the policies of the organization providing the Research Funds. The terms and conditions associated with an application for Research Funds are often incorporated into the Research Agreement.

- 2.6 **“Publish”** and **“Publication”** means making the results of Research publicly available, whether through papers in scholarly journals or otherwise.
- 2.7 **“Research”** means any disciplined enquiry or systematic investigation intended to extend knowledge or to establish facts or principles that are conducted by BINM Researcher Persons acting in their BINM capacity. This does not include quality assurance and quality improvement studies, program evaluation or performance reviews.
- 2.8 **“Research Funds”** are any funds designated for use to pay expenses related to the conduct of Research, including funds directed to BINM through grants, awards, third party donations, and other contractual funding arrangements as well as funding from internal BINM sources.
- 2.9 **“BINM Researcher Persons”** means full-time and part-time faculty, students and staff members of BINM and any other person who is employed by, holds an appointment at or otherwise participates in scholarly research activity at or under the auspices of BINM.
- 2.10 **“Principle Investigator”** means the individual responsible for the intellectual leadership of the research project.
- 2.11 **“Intellectual Property”** means any form of knowledge or expression created by a person that can be legally protected. Intellectual Property is the product of intellectual and creative activity, including but not limited to, patent, inventions, copyrights, trademarks, technical information, protocols, electronic or paper documents, software, Publications, multimedia or audiovisual materials, photographs, educational materials, designs, confidential information, and tangible research property such as biological materials.

### 3. General

- 3.1 Every application for external Research Funds (including renewals of prior awards) must be approved by the Research Committee with the processes and procedures maintained by the Research Department.
- 3.2 Research Funds are held by BINM and are not the property of any individual BINM Researcher. Unless otherwise directed by BINM, anything purchased with Research Funds becomes the property of BINM. BINM will only direct otherwise where it is permitted by the terms outlined in the Research Agreement 2.5.
- 3.3 BINM intends to facilitate the discovery and the development and dissemination of knowledge. Accordingly, the ability of BINM

Researchers to publish the results of Research must be protected in all instances, including in all Research Agreements, subject only to the limited exceptions set out in the Procedures.

#### **4. Roles and Responsibilities**

##### **4.1 Principle Investigator**

- The Principal Investigator is responsible for;
  - Preparing the proposal for the project, including budget and statement of work;
  - Submitting the proposal to the sponsor once it has been endorsed by the BINM in accordance with this Policy, except in instances where submission by the BINM is specified by the sponsor;
  - Carrying out the work as stated in the proposal or as otherwise stated in the Research Agreement;
  - Ensuring that all persons working on the project, whether paid or unpaid, are fully informed of and agree to comply with all applicable terms of the Research Agreement or sponsor's funding terms;
  - Ensuring that all obligations with respect to Intellectual Property, whether pursuant to the Research Agreement, sponsor's funding terms, or BINM policies, are met;
  - Maintaining scholarly or scientific records and data in accordance with the Research Agreement, sponsor's funding terms, BINM policies, and best practices whichever is more rigorous;
  - Submitting (and retaining at least one copy of) reports and other deliverables in the form and by the dates specified in the Research Agreement or sponsor's funding terms;
  - Providing financial oversight to manage budgets, and authorizing all expenditures in accordance with the Research Agreement or sponsor's funding terms and the policies and procedures of the BINM;
  - Following all relevant laws, regulations, and BINM policies and procedures in the conduct of the project; and

- Informing the Research Committee as soon as possible if the Principal Investigator becomes aware of any circumstances that could prevent satisfactory completion of the project or compliance with any terms and conditions of the Research Agreement or sponsor's funding terms.

#### **4.2 Administering Unit**

- The Administering Unit is responsible for;
  - Providing the necessary support for the project (including administrative support, financial support and space as indicated in the proposal) and ensuring the sustained operation of the research infrastructure and assets funded by the sponsor by including related operating and maintenance costs into planning and budget processes and documents;
  - Processing authorized expenditures in accordance with the Research Agreement or sponsor's funding terms and the policies and procedures of the Administering unit;
  - Maintaining financial records in relation to the project in accordance with the Research Agreement or sponsor's funding terms and the policies and procedures of the Administering Unit, whichever is more rigorous; and
  - Managing all financial shortfalls associated with the project, whether occasioned by failure to comply with the Research Agreement or sponsor's funding terms, overspending, or shortfalls in revenue.

#### **4.3 Research Department**

- The Research Director is responsible for the administration of this policy, to monitor its effectiveness, and to report to BINM Administration on an annual basis.
- The Research Department, through the approval of the Research Committee, is responsible for;
  - Approving proposals for Sponsored Research on behalf of the BINM, unless otherwise expressly delegated;
  - Negotiating and executing Research Agreements on behalf of the BINM;

- Overseeing the administration of Sponsored Research funds in a restricted research fund throughout the term of the Research Agreement or sponsor's award;
- Providing financial reports to the sponsor in accordance with the Research Agreement or sponsor's funding terms;
- Informing the Principal Investigator and the Administering Unit as soon as possible if the Research Department becomes aware of any significant adverse matter in respect of the project.

#### **4.4 BINM Researcher Persons**

- BINM Researcher Persons are responsible for;
  - Ensuring all Research is conducted to the highest scientific, ethical, and professional standards, and in accordance with the Institute's policies.
  - Ensuring any proposed or resulting Research involving human subjects complies with the Institute's Policy on the Protection of Human Subjects.
  - Ensuring any proposed or resulting Research is conducted safely in accordance with all applicable laws, regulations, and in accordance with the safety policies of BINM including without limitation BINM policies governing the safe use of equipment, biohazardous materials, and certain chemical materials;
  - Ensuring they comply with all Funding Terms of the Research Agreement;
  - Ensuring all Research Funds are properly managed, which will include ensuring all expenditures authorized against BINM accounts conform with the approved budget and with BINM policies on financial management.
  - Notifying the Research Department immediately upon becoming aware of any circumstances which could: (i) hinder or prevent the satisfactory completion of the Research project (ii) impact the BINM Researcher's eligibility for spending responsibility;
  - Ensuring they and all aspects of the Research project are compliant with BINM's Conflict of Interest Policy;

- Informing themselves of the regulatory framework relevant to their Research;
- Ensuring the work of BINM employees in the furtherance of Research is carried out in compliance with applicable legal employment standards and the policies and procedures of BINM Human Resources; and
- When the BINM Researcher Person is the Principal Investigator, ensuring all members of the Research team are aware of and comply with the foregoing requirements.