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**2.I-2006: Research Administration: Roles and Responsibilities**

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**1. Researcher**

In general, the researcher is required to carry out research responsibly. Projects are to be carried out in accordance with the policies and procedures established by the Tri-Councils and St. Mary's University (University) and the Research Ethics Board (REB). The primary responsibilities of the researcher are:

1.1 Preparing funding applications that:

- Meet the requirements of the sponsor
- Include the signatures of all co-applicants and their appropriate administrators
- Budget for all direct costs
- Include indirect costs where applicable
- Identify in writing the space and other resource requirements.

1.2 Signing all applications, where the researcher's signature denotes that:

- The researcher will abide by sponsor terms and conditions and the policies and procedures of St. Mary's University
- Research involving human subjects, animals, biohazardous agents or radioactive materials will on be undertaken with prior approval of the appropriate University committee.

1.3 Disclosing any conflict of interest or potential conflict of interest at the time of the application or at any time during the term of the award.

1.4 Exercising financial control over research funds, including:

- Approval of all expenditures where such approval indicates that expenditures are:
  - Associated with the project or program for which the award is made
  - Eligible in accordance with the terms and conditions of the agreement
  - Necessary to the research endeavor being undertaken
  - Reasonable and conform with the financial guidelines of the sponsor and the University
  - Incurred within the eligible dates of the agreement

Approval Authority	Responsible Office	Effective Date	Date Last Revisited	Review Frequency
Academic Council	Academic	November 16, 2005	November 28, 2019	Every 5 years

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- Submission and retention of original documentation; and
  - Review and approval of financial reports.
- 1.5 Being personally responsible for any expenses in excess of available award funds, including ineligible costs and revenue lost due to failure to meet the terms and conditions of the agreement.
- 1.6 Managing and supervising research personnel by:
- Abiding by University policies and procedures including those relating to human resources where acting as supervisor; and
  - Ensuring all staff and students engaged in the research are fully informed of and agree to be bound by the terms and conditions of the award.
- 1.7 Submitting all required reports and deliverables to the sponsor in accordance with the terms and conditions of the agreement.
- 1.8 Advising the Vice-President Academic of:
- Any change in academic status
  - Any significant change to the research program that was originally approved, including any impact on certifications
  - Any other changes that may impact the terms and conditions of the agreement.

### **2. Vice-President Academic**

The Vice-President Academic or designate is responsible for supporting research activities at St. Mary's University.

- 2.1 The Vice-President Academic must sign all grant applications, where the signatures denote:
- The University's willingness to administer the research funds in accordance with University policies and sponsor terms and conditions
  - Their support of the proposed activity
  - The availability of space and other resources that the applicant has declared
  - The ability to provide administrative support to the research activity
  - That the applicant is eligible to hold grants under University policy
  - That the applicant meets the sponsor's eligibility requirements
  - Where specified, agreement to the negotiated terms and conditions.

- 2.2 The Vice-President Academic will provide one-over-one approval of expenses paid directly to the researcher. Such approval implies that expenses are reasonable and conform to sponsor terms and conditions and University policies.
- 2.3 The Vice-President Academic is also responsible for implementing effective systems to ensure that:
- Research is carried out in compliance with University policies and sponsor terms and conditions
  - Appropriate ethics approval has or will be secured prior to the release of funds
  - All research has the appropriate certification approvals
  - Researchers provide research deliverables and reports
  - Receive disclosure reports of actual or potential conflicts of interest; chair the Conflict of Interest Review Committee; notify researchers of conflict of interest assessments, and ensure compliance with the terms and conditions and management of an allowed conflict.
- 2.4 The Vice-President Academic is also responsible for:
- Facilitating the collaborative identification and implementation of services, systems and process that will enhance research administration
  - Improving communication with researchers
  - Ensuring accountability of all stakeholders
  - Providing related education and training for researchers and administrators
  - Communicating to researchers and faculty sponsor decisions and administrative requirements related to awards
  - Providing assistance to identify potential sources of financial support for research projects
  - Liaising with sponsors to ensure compliance with the most recent guidelines and to resolve conflicts and concerns.

### **3. Office of the Vice-President of Finance**

The Office of the Vice-President Finance is responsible for implementing internal control procedures for:

- Administering and accounting for research funds received by the University
- Generating invoices during life of the award in accordance with sponsor terms and conditions

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- Processing research accounts receivable payments
- Preparing and submitting financial reports to sponsors
- Monitoring grant finances and ensuring action is taken to address:
  - Potential or actual over expenditures
  - Eligibility of expenditures
  - Project end management
  - Dormant account review