



Office of Research
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Responsibility of Chairs with Respect to Research Grants and Contracts

The following summarizes the significance of the Chair's signature which is required on research applications and claims.

Chairs should be aware that there are important differences between grants and contracts. Briefly stated, a **grant** has **no formal restrictions on the usage of the monies other than financial support for an investigator working in a particular field**. A **contract**, by contrast, has specific objectives (i.e., deliverables such as a report), and normally **includes restrictions both on how the money can be allocated and on publication or discussion of the research findings**. By signing a research contract a researcher has a **legally binding obligation to fulfill the contract and produce whatever deliverables are set out under the contract**.

Detailed information on the preparation of specific proposals to a wide range of agencies is available from the Office of Research. Some agencies have regular annual programs of sponsored research in universities and announce their needs and invite proposals on a formal basis with definite deadlines. These deadlines, along with information on fields of research supported, are advertised in the Trent Report. Announcements of research opportunities are sometimes sent directly to chairs for circulation within the Department/Program.

1. SIGNATURES ON PROPOSALS FOR EXTERNAL RESEARCH GRANTS AND CONTRACTS

General:

All applications for external research funds require a signature by the chair of the department/program. The chair's signature should only be placed on the proposal when he or she has had sufficient time to assess all the implications of the planned work. This is particularly important in large projects and in research involving more than one department.

Whenever extraordinary requirements relating to space, energy, safety, special facilities, services, etc. (including building modifications and utility supply services) are likely to emerge in the planning of a research project, **it is absolutely essential that enough time be allowed for full prior consultation with appropriate University authorities**. The procedure in these cases would involve consultation with the chair/director concerned and, as soon as possible, with the Vice-President (Administration). Such a proposal may be submitted to the Space Utilization Committee for its consideration and advice.

After the application has been signed by the principal investigator and the chair of the department/program, the application for external funds should be forwarded to the Office of Research, which will obtain other necessary University signature(s).

Significance of Approval by Department/Program

The Department/Program (through its Chair), has knowledge of the proposal; has determined that the grant or contractual obligations can be fulfilled; and agrees that provision has been made for all the necessary department or library space, equipment and other facilities. In the case of a contract where the faculty member is cross-appointed between two different units (e.g., a department and a program), it is important that an understanding be reached in advance between the units regarding distribution of overhead revenues.

2. SIGNATURES ON INTERNAL RESEARCH APPLICATIONS

The purpose of the NSERC and SSHRC Committees on Research is to support scholarly work for which external assistance has proved to be unavailable or insufficient. "Seed money" requests are encouraged rather than continuing support of the same project. The basic mechanism of these committees is to encourage the development of a project to a point where the researcher is in a position to apply for external funds. The Committees normally hold two competitions a year (November and March) and application forms are available from the Office of Research.

The signature of the Department/Program Chair indicates that he or she has knowledge of the proposal; has determined that the grant obligations can be fulfilled; and agrees that provision has been made for all the necessary department or library space, equipment and other facilities.

3. SIGNATURE ON CLAIMS AGAINST RESEARCH ACCOUNTS

When awards are made from an external or internal granting body the Office of Research informs the Finance Office of the award and an account is set up in the name of the faculty member to which charges associated with the grant or contract can be made.

Claims against research accounts are made on a "Travel Expense Report" (Form 25, Oct. 96). The signature of the Department/Program Chair is required to verify the appropriateness of the expenses claimed.

4. SIGNATURE ON RESEARCH ALLOWANCE CLAIMS

Details of the nature and function of the Research Allowance are outlined in the Collective Agreement (Section IV.4) Each TUFA member is provided with a research allowance upon which he or she may draw twice per annum for eligible research expenses. This allowance is administered by the Dean's Office. Research Allowance Claim Forms are available from the Dean's Office. Completed claimforms should be forwarded to the Chair of the member's Department/Program who "... shall approve all claims that meet the criteria as specified, sign their approval, and, within ten days of receiving them, forward these claims for payment ...". Guidelines for Clause IV.4 of the Collective Agreement are distributed to each TUFA member in the fall.