

Guidelines for Funded Research Agreements

Associated Policy: Policy on Funded Research Agreements

Approval Authority: President and Vice Presidents Group

Policy Sponsor: Director, Research and Innovation

Date: March 25, 2022

Purpose:

These guidelines are intended to assist University employees in understanding and meeting the responsibilities of the Policy on Funded Research Agreements.

Guideline:

1. All funded research agreements will undergo consideration by both the Principal Investigator and the Office of Research and Innovation.
2. Tri-Agency based research normally involves standardized expectations from the Tri-Agency based on the research proposal and guidelines of the Tri-Agency.
3. Research agreements that include partners such as industry or government normally involve research contracts with additional clauses related to the articulation of expectations of all partners.
4. A funded research agreement should include:
 - articulation of the deliverable or output from the research
 - a work plan including dates for receipt of any deliverable
 - identification of mandated reporting requirements
 - a budget and disbursement schedule, including terms for invoicing and payment
 - a termination clause and instructions for amendments or changes to the contract
 - provisions for confidentiality and ethical use of information shared
 - clear articulation of any transfer of data requirement which may require the assent of any faculty members having an intellectual property stake in the data being transferred
 - clear articulation of the ownership of intellectual property resulting from the project including publication and disclosure
 - clear articulation of the ownership of any physical property/equipment
 - protection of graduate student's intellectual property/data/thesis material (see Policy on Scholarly Misconduct)
 - identification of insurance and indemnification requirements
 - provision for the identification of parties' distinct names, descriptions and images
 - confirmation that any support provided by, or use of, University resources or services will be subject to the University Research Overhead Policy
 - acknowledgement of the University's protocol for ethics approval, as needed

5. For all funded research agreements, the Principal Investigator should:
 - initiate contact with the Office of Research and Innovation regarding the proposed research
 - submit a Declaration of Research Agreement to the Office of Research and Innovation for assessment
 - submit the proposed research to the funder once approved by the University in accordance with this Policy, except in instances where submission by the University is specified by the funder; agreements initiated by external partners must also follow this process
 - ensure that all obligations with respect to intellectual property, pursuant to the research agreement, relevant collective agreements and University policies, are met
 - maintain and secure scholarly or scientific records and data in accordance with the research agreement, University policies, federal policies; whichever is more rigorous
 - make data summaries and findings available as expected through the agreement
 - submit and retain a copy of reports and other deliverables in the form and by the dates specified in the research agreement
 - authorize all expenditures in accordance with the research agreement and the policies and procedures of the University; these are then further authorized by the Vice President, Research and Innovation or their designate
 - ensure 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 agreement
 - *Note:* the above list may occur in a different order of timing (eg. industry initiates contact)

6. For all funded research, the University, through the Office of Research and Innovation will:
 - work with the Principal Investigator and partners in negotiating and finalizing proposals, contracts and agreements
 - negotiate changes to contracts in consultation with the funder and the Principal Investigator
 - liaise with Research Finance to ensure that the University research funds are held as per financial protocols
 - liaise with Research Finance personnel, and provide final authorization of all expenditures related to the research funding
 - readily follow through on matters of support and risk as needed

7. Process guidelines by grant type will be posted and updated regularly on the Trent University Office of Research and Innovation website.

Related Policies, Guidelines and Procedures:

- Trent University Policy on Funded Research Agreements (under review)
- [Trent University Policy on Research and Scholarly Misconduct](#)
- [Trent University Conflict of Interest Policy \(Human Resources\)](#)
- [Trent University Indirect Costs Policy \(under review\)](#)
- [School of Graduate Studies Guidelines for Intellectual Property Developed by Graduate Students](#)
- Office of Research and Innovation Risk Assessment Tools

Date for Next Review:

Spring 2025