



**SUBJECT** PROPOSED AMENDMENTS TO POLICY #87 - RESEARCH

**MEETING DATE** DECEMBER 3, 2015

Forwarded to the Board of Governors on the Recommendation of the President

**APPROVED FOR  
SUBMISSION**

Martha C. Piper, Interim President and Vice-Chancellor

**DECISION  
REQUESTED** For Information

**Report Date** October 30, 2015

**Presented By** Hubert Lai, Q.C., University Counsel  
John Hepburn, Vice-President Research & International

**EXECUTIVE SUMMARY**

The current Policy #87 has been in place, without amendment, since 1995 and the associated Procedures have not been substantially revised for many years. The Office of the University Counsel has convened a committee to review and amend the existing Policy #87 which is presented to the Board for information. The committee recommends that the proposed revised draft Policy #87 be published on the University Counsel web site with an invitation for comments from members of the UBC community.

**INSTITUTIONAL STRATEGIC PRIORITIES SUPPORTED**

- Learning     
  Research     
  Innovation     
  Engagement     
  International  
 (Internal / External)
- or  Operational

**DESCRIPTION &  
RATIONALE**

UBC wishes to support research excellence and facilitate the creation and advancement of knowledge and understanding. Policy #87 provides the framework within which UBC supports and enhances UBC researchers' grant funding success and also establishes the administrative processes necessary to assist researchers navigate the process of attracting and managing research funding.

The current Policy #87 has been in place, without amendment, since 1995 and the associated Procedures have not been substantially revised for many years. The University's administrative processes with respect to research have evolved such that the current Policy #87 does not reflect the University's current practices. In addition many of UBC's related policies have been revised and updated.

Accordingly, the proposed amendments are intended to update the Policy and Procedures to:

- (1) provide a concise statement of the rights and obligations of UBC researchers and administrators with respect to the conduct and administration of research;
- (2) accurately reflect UBC's current practices with respect to research and research administration;
- (3) ensure consistency and remove duplication with other UBC policies;
- (4) where possible, remove procedural details from the Policy and Procedures in order to enable change in administrative processes in the future without the need to update the Policy or Procedures;
- (5) provide a mechanism for the Responsible Executive to create and maintain procedural directives for the research community that can contain administrative processes at a level of detail that would be unwieldy in a Board of Governors Policy or Procedures; and
- (6) incorporate the content of Policy #91 (Purchase of Animals for Research and Teaching) into Policy #87 to enable Policy #91 to be deleted contemporaneously with the approval of a revised Policy #87.

**BENEFITS**  
Learning, Research,  
Financial,  
Sustainability &  
Reputational

The adoption of the proposed amendments will clarify UBC's current research practices and the responsibilities of UBC researchers and administrators. This reinforces and supports UBC's commitment to research excellence.

**SCHEDULE**  
Implementation  
Timeline

The proposed amendments to the Policy are submitted for information to the Board of Governors. They are unanimously recommended by the Policy Review Committee. The recommendation has the support of the University Counsel and the Vice-President Research & International.

Subject to input from the Board of Governors, the Office of the University Counsel will publish the proposed amendments to the Policy on the University Counsel web site with an invitation for comments from members of the UBC community. That feedback will be considered by the Policy Review Committee and a final proposal for amendments to the Policy is anticipated to be presented to the Board of Governors for approval in April of 2016.

**CONSULTATION**  
Relevant Units,  
Internal & External  
Constituencies

The policy review process was initiated at the request of the Vice-President Research & International Office. The Office of the University Counsel and the Vice-President Research & International Office consulted with the administrative units most impacted by Policy #87 to solicit advice on potential revisions to the policy. In addition a review was done of the research policies of a variety of other universities in and outside of Canada.

The Office of the University constituted a Policy Review Committee comprised of the following members, to consider and advise on the proposed amendment of the Policy:

- Mark Crosbie, Associate University Counsel (Chair)
- Christopher Lennon, Associate (External Legal Counsel)
- Helen Burt, Associate VP - Research & International

- Martin Kirk, Director, Research Services
- John-Paul Heale, Managing Director, Industry Liaison Office
- Tammy Brimner, Director, Business Development & Operations, Animal Care Services
- Allison Matacheskie, Director Faculty Relations
- Ian Welch, University Veterinarian, Animal Care Services
- Sharon Wu, Portfolio Finance Director, Office of the Vice President Research & International
- David Shorthouse, Director, Academic Initiatives, Office of the Vice-President, Academic
- Ross T. MacGillivray, Professor, Biochemistry and Molecular Biology, Faculty of Medicine
- Evelyn Miguel, Manager, Research & Trust Accounting
- T. Bruce Anderson, Director, Occupational & Research Health & Safety, Risk Management Services
- Matthew Evenden, Associate Professor, Arts - Geography
- Paul Van Donkelaar, Health & Social Development - Health and Exercise Sciences - UBC Okanagan
- Enav Zusman, Vice President University & Academic Affairs, Graduate Student Society
- The proposed amendments are unanimously recommended by the Policy Review Committee.

**Attached**

Proposed policy

Blackline comparing the proposed policy to the current policy

A copy of the current policy is available at

<http://universitycounsel.ubc.ca/files/2014/03/policy87.pdf>.

A copy of Policy #91 (Purchase of Animals for Research and Teaching) is available at

<http://universitycounsel.ubc.ca/files/2010/08/policy91.pdf>.



 <p><b>The University of British Columbia Board of Governors</b></p>	<p><b>Policy No.:</b> <b>87</b></p>	<p><b>Approval Date:</b> July 1993 <b>Last Revision:</b> March 1995 Draft – For Information</p>
	<p><b>Responsible Executive:</b> Vice-President, Research and International</p>	
<p><b>Title:</b> <b>Research</b></p>		
<p><b>Background &amp; Purposes</b></p> <p>A core function of UBC is the pursuit and dissemination of discovery and knowledge through research and enquiry. This Policy aims to set out the responsibilities and standards required of UBC Persons involved in Research and to articulate the authority, requisite processes, and requirements surrounding various aspects of Research activity undertaken by UBC and UBC Persons.</p> <p>Related Policies, Materials and Notes:</p> <p>Policy 9 - Hazardous Materials Management  Policy 10 - Procedures for Working with Biohazardous Materials  Policy 11 - Radiation Safety  Policy 85 - Scholarly Integrity  Policy 88 - Inventions and Discoveries  Policy 89 - Research Involving Human Participants  Policy 90 - Over- Expenditure on Research and Specific Purpose Trust Project / Grants  Policy 97 - Conflict of Interest and Conflict of Commitment  Policy 114 – Fundraising and Acceptance of Donations</p>		

## POLICY

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

### Scope

- 1.1 Research and academic enquiry is the foundation of discovery and knowledge creation and can directly improve the collective global condition. Research flourishes in circumstances of academic freedom; where researchers are free to investigate and enquire in an attempt to understand and discover, free to challenge conventional thought, and free to disseminate the results of their research.
- 1.2 Academic freedom is one of UBC's core values and UBC Researchers may pursue any avenue of enquiry subject to the law and UBC policies.

- 1.3 This Policy applies to all UBC Persons who conduct, supervise or otherwise participate in Research ("**UBC Researchers**").
- 1.4 UBC Researchers are responsible for the conduct and consequences of their Research activities and must comply with this Policy and any other Funding Terms, including those set out in the Procedures.
- 1.5 "**Funding Terms**" means the policies, rules and regulations that govern the use of Research Funds. They may come from various sources including UBC policies, the terms and conditions of an application for Research Funds, the provisions of a contract for Research Funds, or the policies of the organization providing the Research Funds.
- 1.6 "**Principal Investigator**" means the person who has primary responsibility for the design, conduct and supervision of a Research project. The Principal Investigator is normally the person identified as such to the funding agency and will normally be delegated Research Spending Responsibility over any Research Funds spent for a Research project.
- 1.7 "**Provost**" means, as applicable, the Provost and Vice Principal – UBC Okanagan or Provost and Vice-President Academic – UBC Vancouver.
- 1.8 "**Research**" means any disciplined enquiry or systematic investigation intended to extend knowledge or to establish facts or principles that is:
- 1.8.1 conducted by UBC Persons acting in their UBC capacity; or
  - 1.8.2 conducted with the authorization of UBC using resources of UBC including but not limited to:
    - (A) space that is under the administration of UBC including academic space at affiliated teaching hospitals;
    - (B) funds held in a UBC research account or that have been transferred to an affiliated institution (for example a teaching hospital) from a UBC research account; and
    - (C) administrative or support units,
- but does not include internal quality assurance and quality improvement studies, program evaluation activities and performance reviews, or testing within normal educational requirements when used exclusively for UBC's internal assessment, management or improvement purposes.
- 1.9 "**Research Funds**" means any funds for the use of a UBC Researcher in support of Research, including funds directed to UBC through third party donations, grants, awards and other contractual funding arrangements and internal UBC funding directed to support Research.
- 1.10 "**UBC Person**" means full-time and part-time faculty members, students, and staff members of UBC and any other person who is employed by, holds an appointment at, or otherwise participates in scholarly activity at or under the auspices of UBC or under the supervision of a UBC Researcher. For greater certainty, UBC Persons include but are not limited to students, adjunct and clinical faculty, librarians, lecturers, post-doctoral fellows,

faculty on study leave, emeritus professors, honorary professors, research associates, staff members, volunteers, and visiting scholars.

- 1.11 **“University Veterinarian”** means the veterinarian employed by UBC Animal Care Services to manage UBC’s veterinary services for UBC’s Animal Care and Use Program.

**2. General**

- 2.1 Support for Research may arise from various sources including government, industry, and other granting organizations. Only UBC has the legal authority to enter into contracts or commitments which are binding on UBC and such contracts or commitments must be executed by a delegated signing officer. No UBC Person can sign contracts on behalf of UBC unless they have been delegated that authority by the UBC Board of Governors pursuant to a Board of Governors Policy or pursuant to a Signing Resolution issued by the Signing Committee of the UBC Board of Governors.
- 2.2 Every application for external Research Funds (including renewals of prior awards) must be approved by the Responsible Executive or his or her delegate in accordance with the processes and procedures maintained by the Office of Research Services and the University-Industry Liaison Office.
- 2.3 Research Funds are held by UBC and are not the property of any individual UBC Researcher. Anything purchased with Research Funds becomes the property of UBC.
- 2.4 UBC wishes to facilitate discovery and the development and dissemination of knowledge. Accordingly, the results of all Research must be fully publishable at the discretion of UBC Researchers, subject only to the limited exceptions set out in the Procedures.

## PROCEDURES

Approved: July 1993

Revised: TBD

*Pursuant to Policy #1 – Administration of Policies, “Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors.” Note: the most recent procedures may be reviewed at <http://universitycounsel.ubc.ca/policies/index/>.*

### 1. **Administration**

- 1.1 The Responsible Executive will be the Vice President Research and International who will have the responsibility for the administration of this Policy and these Procedures.
- 1.2 The Responsible Executive may sub-delegate duties hereunder but remains responsible for oversight and answerable to the President.
- 1.3 The Responsible Executive may issue and maintain administrative directives (“Directives”) which conform to this Policy and these Procedures. Prior to creating or substantively revising a Directive the Responsible Executive will establish an advisory committee which will consist of representatives from the Office of the University Counsel and the units responsible for the subject matter of the Directive. The advisory committee will provide advice to the Responsible Executive on the form and content of the applicable Directive. All Directives can be found at <http://universitycounsel.ubc.ca/files/2014/03/policy87.pdf>.

### 2. **Responsibilities**

- 2.1 UBC Researchers are responsible for the conduct and consequences of their Research activities. They must comply with, and ensure any Research with which they are involved complies with this Policy, these Procedures, and any other requirements of UBC or the funding agency sponsoring the Research. To this end UBC Researchers must:
  - 2.1.1 ensure all Research is conducted to the highest scientific, ethical, and professional standards, and in accordance with Policy #85 (Scholarly Integrity);
  - 2.1.2 ensure any proposed or resulting Research involving human subjects complies with Policy #89 (Research and Other Studies Involving Human Subjects);
  - 2.1.3 ensure any proposed or resulting Work with Animals complies with the policies of the ACC and the other requirements necessary to maintain the UBC GAP Certificate;
  - 2.1.4 ensure any proposed or resulting Research is conducted safely in accordance with all applicable laws, regulations, and in accordance with the safety policies of UBC including without limitation UBC policies governing the safe use of equipment, biohazardous materials, radioactive materials, and certain chemical materials;
  - 2.1.5 ensure they comply with all Funding Terms;
  - 2.1.6 ensure all Research Funds are properly managed, including by ensuring all expenditures authorized against UBC accounts conform with the approved budget

and with UBC policies on financial management including Policy #90 (Over-Expenditure on Research and Specific Purpose Trust Project/Grants);

- 2.1.7 where they have Research Spending Responsibility for a UBC research account, notify the Responsible Executive immediately upon becoming aware of any circumstances which could: (i) hinder or prevent the satisfactory completion of the Research project related to such research account; or (ii) impact the UBC Researcher's eligibility for Research Spending Responsibility;
  - 2.1.8 ensure they and all aspects of the Research project are compliant with UBC's Policy #97 (Conflict of Interest and Conflict of Commitment);
  - 2.1.9 inform themselves of the regulatory framework relevant to their Research;
  - 2.1.10 where they wish to mobilize the results of Research, to do so in accordance with UBC Policy #88 (Inventions and Discoveries); and
  - 2.1.11 where they are the Principal Investigator, ensure all members of the Research team are aware of and comply with the foregoing requirements.
- 2.2 UBC is committed to providing an environment that supports UBC Researchers and fosters the best Research practices. In that regard the Responsible Executive has established offices responsible for:
- 2.2.1 the negotiation of Research contracts between UBC and public sector contracting agencies, industry, or any other third parties;
  - 2.2.2 the negotiation of licences and other agreements which deal with UBC owned intellectual property;
  - 2.2.3 accepting and administering awards of Research Funds secured in accordance with the requirements of this Policy and these Procedures;
  - 2.2.4 maintaining the research ethics boards necessary to review and maintain oversight of the ethical acceptability of Research involving human participants; and
  - 2.2.5 maintaining the UBC GAP Certificate in order to meet certain Research funding eligibility requirements.

### **3. External Funding**

- 3.1 **Applications** - Every application for external Research Funds (including renewals of prior awards) must be approved by the Responsible Executive or delegate in accordance with the processes and procedures maintained by the Office of Research Services and the University-Industry Liaison Office. Guidance about which units at UBC are responsible for obtaining the appropriate signatures on applications for external Research Funds can be found on the website maintained by the Office of Research Services. Copies of every application for external Research Funds and a complete and properly signed application package must be provided to the Office of Research Services before the application can be considered and, if approved, signed by UBC. UBC may refuse any award of Research Funds arising from an application not properly approved by UBC.

- 3.2 **Signing Contracts** - No UBC Person can sign contracts on behalf of UBC unless they have been delegated that authority by the UBC Board of Governors pursuant to a Board of Governors Policy or pursuant to a Signing Resolution issued by the Signing Committee of the UBC Board of Governors. UBC may refuse any award of Research Funds arising from a contract not properly signed. UBC Persons must ensure that all contracts are properly signed. Guidance about which units at UBC are responsible for obtaining the appropriate signatures on contracts related to Research Funds can be found on the website maintained by the Office of Research Services.
- 3.3 **Personal Contracts** – If a UBC Person chooses to enter into a contract directly with a third party then the contract is the personal responsibility of that UBC Person. UBC is not liable for any obligations that may arise under a personal contract entered into between a UBC Person and a third party. UBC will not accept such contracts or any monies payable under such contracts for administration. No UBC facilities or UBC resources may be used for work carried out under such contracts. Any UBC Person entering into a personal contract must comply with UBC Policy #97 (Conflict of Interest and Conflict of Commitment).
- 3.4 **Approval of Funding** – When funding has been approved by a funding agency the Principal Investigator is responsible for providing the Office of Research Services with a copy of any documents containing the Funding Terms from the funding agency unless they have already been sent to the Office of Research Services directly by the funding agency.
- 3.5 **Donations** - Funds for Research are periodically received in the form of donations and thus formal grant applications may not exist. Donations are to be processed through the Development Office in accordance with UBC Policy #114 (Fundraising and Acceptance of Donations). Donation documents containing Funding Terms will be sent to the Office of Research Services by the Development Office.
- 3.6 **Indirect Cost Recovery** – The Responsible Executive may establish requirements for the recovery of the indirect cost of research from Research Funds.

#### **4. Administration of Research Funds**

4.1 **Eligibility for Research Spending Responsibility** – All Research Funds are received by UBC and deposited into UBC research accounts. UBC delegates to eligible UBC Persons the responsibility for ensuring that these research accounts are managed properly and in accordance with UBC policies, Funding Terms, and any other applicable requirements (“Research Spending Responsibility”). The following UBC Persons are eligible for Research Spending Responsibility:

4.1.1 UBC Persons who have a tenure stream faculty appointment as a Professor, Associate Professor, Assistant Professor, Instructor, Senior Instructor, or Professor of Teaching or comparable Emeritus status;

4.1.2 UBC Persons who have a faculty term appointment without review as a Professor, Associate Professor, Assistant Professor, Instructor, Senior Instructor, Professor of Teaching, Adjunct Professor, Clinical Professor, Clinical Associate Professor, Clinical Assistant Professor or Research Associate provided that they also have the prior written approval of both the appropriate Department Head and Dean;

4.1.3 Librarians who have the prior written approval of the University Librarian; or

4.1.4 Post-Doctoral Fellows who have the prior written approval of both the appropriate Department Head and Dean, but only where the Funding Terms for the research project specifically require it.

Research Spending Responsibility will not be granted to students or visitors. UBC Persons with positions not addressed above will require the written approval of both their Department Head and Dean (as applicable) and the Provost prior to being granted Research Spending Responsibility.

4.2 The Office of Research Services or the University-Industry Liaison Office (as applicable) must ensure that all persons granted Research Spending Responsibility are legally bound to comply with UBC policies, rules and procedures on the conduct of Research before such authority can be granted.

4.3 **Opening and Amending Accounts** - No payment may be made from any Research Funds until the opening of a financial research account (or the amendment of an existing account) has been authorized in writing by the Office of Research Services or the University-Industry Liaison Office. Requests for new accounts or amendments, such as budget increases to existing accounts must be made in writing in accordance with the processes implemented by the relevant office.

4.4 **Delegation of Research Spending Responsibility** - UBC Researchers given Research Spending Responsibility for a UBC research account may delegate their authority to approve expenditures from such research account to another UBC staff or faculty member provided that their Department Head is notified in writing of the delegation. For clarity, any UBC Researcher with Research Spending Responsibility who delegates authority will be responsible for ensuring all transactions in such research account, including all expenditures approved by the person(s) with delegated authority, are fully compliant with Funding Terms, University policies and any other applicable requirements.

4.5 **Payment of Funds** - Any Research Funds must be payable directly to UBC. UBC Researchers must not accept funds in support of Research directly. In the event Research

Funds are received directly by UBC Researchers such funds should be forwarded to the Vice President, Research and International Portfolio Finance Group for deposit into a UBC account.

- 4.6 **Responsibility for Financial Statements** - Financial statements or claims, if required by the sponsoring agency, will be prepared by the finance group within the portfolio of the Vice President, Research and International on the basis of their records. The Responsible Executive may authorize certain UBC employees, or classes of employees, to issue and sign financial statements or claims on behalf of UBC. UBC Researchers may request amendments to such statements or claims if it can be established, with supporting evidence that the statements or claims are in error.
- 4.7 **Payments to Employees** - All payments for services to UBC employees (in their capacity as employees) must be paid through the UBC payroll system managed by UBC Payment and Procurement Services. Budgets must account for required source deductions and employee benefits.
- 4.8 **Payments to Independent Contractors** - All payments for services in support of UBC Research made to independent contractors (incorporated or unincorporated) must be paid in accordance with UBC Payment and Procurement Services' processes.
- 4.9 **Purchase of Equipment and Supplies** – All purchases of equipment and supplies for UBC Research must be made in accordance with UBC Payment and Procurement Services' processes.
- 4.10 **Travel Expenses** - Travel expenses incurred for UBC Research must be incurred and reimbursed in accordance with UBC's Policy #83 (Travel and Related Expenses).
- 4.11 **Honoraria** – The execution or approval of any applications, grants, donations, or contracts between UBC and a third party that involves the payment of honoraria to UBC Persons must be approved in writing by:
- 4.11.1 the Head of Department or Director of the UBC Person; and
  - 4.11.2 the Dean of the UBC Person (where applicable)
- Where such approval has been obtained, UBC signing officers are authorized to sign or approve such applications, grants, agreements or contracts on behalf of UBC, and UBC staff are authorized to pay such honoraria (in accordance with UBC procedures), subject to the caveat below. Where honoraria for a UBC Person from all third party sources (contracts, grants, etc. whether the funding source is Research related or otherwise and whether the honorarium is for Research activities or otherwise) exceeds one-sixth of the UBC Person's total compensation (less benefits) from UBC during the annual period July 1 to June 30, then the approval in writing of the Provost is also required in addition to the approvals listed in section 4.11.1 and 4.11.2.
- 4.12 **Separate Accounts** – Research Funds from different sources may not be placed in the same UBC account. Transfers between accounts may only be made if a) the transfer is permitted by all applicable Funding Terms and b) is permissible pursuant to the policies and procedures of UBC's Department of Finance.

## 5. **Publication**

5.1 The results of all Research must be fully publishable at the discretion of the UBC Researchers subject only to the restrictions outlined in sections 5.2 to 5.5 of these Procedures.

5.2 **Sponsor Requirements** - A Research funding sponsor may be given the right under the Funding Terms of a contractual agreement to have the initial right to publish Research results, or to review such publication in advance. Funding Terms must ensure that UBC is completely free to publish the Research results, typically within 90 days but in all cases, no later than 12 months after termination of the project or submission of the final report, whichever is later. Delays in publication at the request of a Research sponsor are permissible only if the public interest is best served by such a delay or if patent protection is being sought.

5.3 **Fee-for-Service Work** - UBC may, upon the request of the relevant Principal Investigator, enter into agreements with third parties to provide such third parties access to unique UBC research related expertise and facilities on a fee-for-service basis ("**Fee-for-Service Projects**"). Under a Fee-for-Service Project, UBC may relinquish the right to retain and use data from the Fee-for-Service Project and the right of the UBC Researchers to publish the results. Fee-for-Service Projects must typically meet the following criteria:

5.3.1 they involve routine use of research equipment or facilities;

5.3.2 they are not supported directly by external Research Funding other than the funds provided by the third party funding the Fee-For-Service-Project;

5.3.3 they do not include the participation of any students in their thesis related Research;

5.3.4 the UBC Researcher(s) involved have confirmed that they do not wish to retain data or publish the results of the work undertaken; and

5.3.5 the UBC Researcher(s) involved have no conflict-of-interest with the third party funding the Fee-For-Service-Project.

The Responsible Executive has the authority, in the event of a disagreement, to determine whether a project is a Fee-for-Service Project.

5.4 **Theses** - No restriction shall prohibit or delay in any way the use of Research results by graduate students for theses or other academic purposes except in the circumstances outlined in section 5.2 with the written consent of the student prior to the student's involvement in the relevant research project.

5.5 **Confidential Data** - If, under the terms of a funding agreement, a sponsor agrees to provide data essential to the Research which is clearly labeled as confidential data, UBC may with the consent of the Principal Investigator accept such a contract and observe such confidentiality obligations provided that the results of the Research may be published without identifiable reference to the confidential data and that no limitations are placed on the publication of results other than those outlined in this section 5.5.

## 6. **Working with Animals in Research and Teaching**

- 6.1 **Canadian Council on Animal Care** – UBC is the holder of a Good Animal Practice Certificate (“**UBC GAP Certificate**”) issued by the Canadian Council on Animal Care (“**CCAC**”). To ensure UBC is in compliance with the standards required to maintain the UBC GAP Certificate, UBC operates an Animal Care and Use Program which includes an Animal Care Committee (“**ACC**”) that reports to the Responsible Executive, with Terms of Reference consistent with those mandated by the CCAC. Copies of the policies of the ACC may be found at [www.animalcare.ubc.ca](http://www.animalcare.ubc.ca). All Research or teaching involving animals at UBC or governed by the UBC GAP Certificate (“**Work with Animals**”) must comply with ACC policies and the animal use protocol approved by the ACC for such Research or teaching.
- 6.2 **Responsibility of User** – Work with Animals is a privilege granted to certain UBC Persons. It is the responsibility of each UBC Person involved in Work with Animals to ensure such Work with Animals meets high scientific standards and, in the case of teaching, has pedagogical merit.
- 6.3 **Animal Care Committee** - The Responsible Executive has delegated to the ACC the authority to implement and enforce policies to ensure compliance with any requirements necessary to maintain the UBC GAP Certificate including the authority to approve, monitor and intervene in any Work with Animals conducted at UBC or governed by the UBC GAP Certificate including the procurement and living conditions of the animals.
- 6.4 **Responsibility of UBC Veterinarians** - The ACC may delegate portions of its authority to veterinarians operating under the direction of UBC's Animal Care and Use Program (“**UBC Veterinarians**”). Such delegated authority may include the authority to:
- 6.4.1 inspect, at his or her discretion, all animal facilities involving animals under the control of UBC or governed by the UBC GAP Certificate to ensure that standards of housing and care are uniformly acceptable;
  - 6.4.2 review and advise UBC Persons on methods of facility maintenance and use;
  - 6.4.3 advise on the design of new and renovated animal facilities; and
  - 6.4.4 co-ordinate the basic training of UBC Persons who Work with Animals.
- UBC Veterinarians have been delegated the authority in an emergency to treat, remove from a study, or otherwise intervene in Work with Animals and to proceed with any necessary emergency measures.
- 6.5 **Animal Facilities** – No animal facilities under the control of UBC or governed by the UBC GAP Certificate may be constructed or renovated until the Responsible Executive or, where such authority has been delegated, the University Veterinarian has approved the design of such construction or renovation.
- 6.6 **Acquisition of Animals** - The acquisition of animals to be used in Work with Animals must be approved by the ACC and carried out in accordance with the processes and procedures maintained by Animal Care Services.

**7. Reporting of Concerns**

- 7.1 UBC will consider allegations of non-compliance with this Policy or these Procedures made against those to whom this Policy applies and, where appropriate, investigate such allegations. Such investigations will be conducted in accordance with UBC's processes and principles. In the event the allegations relate to matters addressed by another UBC policy or its procedures, the investigation will be conducted in accordance with the policy deemed most suitable by UBC.

UBC Persons are expected to report in good faith any information pertaining to possible non-compliance with this Policy and these Procedures to UBC, and must cooperate fully with UBC in any process under this Policy. UBC will not tolerate any retaliation against anyone who, in good faith, makes an allegation, gives evidence, or otherwise participates in a process under this Policy.

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Description	Current Policy #087
Document 2 ID	file://C:\Users\ylui\Desktop\Final Revised Policy 87 BOG#1 Submission.docx
Description	Final Revised Policy 87 BOG#1 Submission
Rendering set	Standard

Legend:	
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Inserted cell	
Deleted cell	
Moved cell	
Split/Merged cell	
Padding cell	

Statistics:	
	Count
Insertions	261
Deletions	209
Moved from	26
Moved to	26
Style change	0
Format changed	0
Total changes	522

 <p><b>The University of British Columbia</b> <b>Board of Governors</b></p>	<p><b>Policy No.:</b></p> <p style="text-align: center;"><b>87</b></p>	<p><b>Approval Date:</b></p> <p>July 1993</p> <p><b>Last Revision:</b></p> <p>March 1995</p> <p><a href="#">Draft – For Information</a></p>
	<p><b>Responsible Executive:</b></p> <p>Vice-President, Research <a href="#">and International</a></p>	
<p><b>Title:</b></p> <p><b>Research</b></p>	<p style="text-align: center;"><b><a href="#">Research</a></b></p>	
<p><b><a href="#">Background &amp; Purposes</a></b></p>		
<p><b><del>Background &amp; Purposes:</del></b></p> <p><del>To set out the authority, responsibility, and procedures for</del> <u>A core function of UBC is the pursuit and dissemination of discovery and knowledge through research and enquiry. This Policy aims to set out the responsibilities and standards required of UBC Persons involved in Research and to articulate the authority, requisite processes, and requirements surrounding various aspects of <del>research</del> <a href="#">Research</a> activity, undertaken by UBC and UBC Persons.</u></p>		
<p><u>Related Policies, Materials and Notes:</u></p> <p><a href="#">Policy 9 - Hazardous Materials Management</a>  <a href="#">Policy 10 - Procedures for Working with Biohazardous Materials</a>  <a href="#">Policy 11 - Radiation Safety</a>  <a href="#">Policy 85 - Scholarly Integrity</a>  <a href="#">Policy 88 - Inventions and Discoveries</a>  <a href="#">Policy 89 - Research Involving Human Participants</a>  <a href="#">Policy 90 - Over- Expenditure on Research and Specific Purpose Trust Project / Grants</a>  <a href="#">Policy 97 - Conflict of Interest and Conflict of Commitment</a>  <a href="#">Policy 114 – Fundraising and Acceptance of Donations</a></p>		

**POLICY**

## **1. General**

- ~~1.1. University facilities may not be used for secret/classified research.~~
- ~~1.2. Results of all research undertaken in the University shall be fully publishable at the discretion of the principal investigator, subject only to qualifications listed in the procedures. (Note that publication of the details of an invention may make it impossible to seek patent protection. See Policy #88, Patents and Licensing)~~

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

### **Scope**

- 1.1. Research and academic enquiry is the foundation of discovery and knowledge creation and can directly improve the collective global condition. Research flourishes in circumstances of academic freedom; where researchers are free to investigate and enquire in an attempt to understand and discover, free to challenge conventional thought, and free to disseminate the results of their research.
- 1.2. Academic freedom is one of UBC's core values and UBC Researchers may pursue any avenue of enquiry subject to the law and UBC policies.
- 1.3. This Policy applies to all UBC Persons who conduct, supervise or otherwise participate in Research ("**UBC Researchers**").
- 1.4. UBC Researchers are responsible for the conduct and consequences of their Research activities and must comply with this Policy and any other Funding Terms, including those set out in the Procedures.
- 1.5. "**Funding Terms**" means the policies, rules and regulations that govern the use of Research Funds. They may come from various sources including UBC policies, the terms and conditions of an application for Research Funds, the provisions of a contract for Research Funds, or the policies of the organization providing the Research Funds.
- 1.6. "**Principal Investigator**" means the person who has primary responsibility for the design, conduct and supervision of a Research project. The Principal Investigator is normally the person identified as such to the funding agency and will normally be delegated Research Spending Responsibility over any Research Funds spent for a Research project.
- 1.7. "**Provost**" means, as applicable, the Provost and Vice Principal – UBC Okanagan or Provost and Vice-President Academic – UBC Vancouver.
- 1.8. "**Research**" means any disciplined enquiry or systematic investigation intended to extend knowledge or to establish facts or principles that is:
- 1.8.1. conducted by UBC Persons acting in their UBC capacity; or
- 1.8.2. conducted with the authorization of UBC using resources of UBC including but not limited to:
- (A) space that is under the administration of UBC including academic space at affiliated teaching hospitals;

(B) funds held in a UBC research account or that have been transferred to an affiliated institution (for example a teaching hospital) from a UBC research account; and

(C) administrative or support units.

but does not include internal quality assurance and quality improvement studies, program evaluation activities and performance reviews, or testing within normal educational requirements when used exclusively for UBC's internal assessment, management or improvement purposes.

1.9 "Research Funds" means any funds for the use of a UBC Researcher in support of Research, including funds directed to UBC through third party donations, grants, awards and other contractual funding arrangements and internal UBC funding directed to support Research.

1.10 "UBC Person" means full-time and part-time faculty members, students, and staff members of UBC and any other person who is employed by, holds an appointment at, or otherwise participates in scholarly activity at or under the auspices of UBC or under the supervision of a UBC Researcher. For greater certainty, UBC Persons include but are not limited to students, adjunct and clinical faculty, librarians, lecturers, post-doctoral fellows, faculty on study leave, emeritus professors, honorary professors, research associates, staff members, volunteers, and visiting scholars.

1.11 "University Veterinarian" means the veterinarian employed by UBC Animal Care Services to manage UBC's veterinary services for UBC's Animal Care and Use Program.

## 2. General

~~1.3. Support for research arises from grants or contracts. Every application for funds (new or renewal) from an external source must be signed, in the following order, by the applicant, the Department Head or Director, the Dean and the Director of Research Services. Only the University itself~~  
Support for Research may arise from various sources including government, industry, and other granting organizations. Only UBC has the legal authority to enter into contracts or commitments which are binding on the University; UBC and such contracts or commitments must be executed by a delegated signing officer. No UBC Person can sign contracts on behalf of UBC unless they have been delegated that authority by the UBC Board of Governors pursuant to a Board of Governors Policy or pursuant to a Signing Resolution issued by the Signing Committee of the UBC Board of Governors.

~~1.4. Grant and contract funds are held in trust by the University~~

2.2 Every application for external Research Funds (including renewals of prior awards) must be approved by the Responsible Executive or his or her delegate in accordance with the processes and procedures maintained by the Office of Research Services and the University-Industry Liaison Office.

2.3 Research Funds are held by UBC and are not the property of any individual.

~~1.5. No research or other study involving human subjects, animals or biological hazards may be undertaken unless requirements listed in the procedures have been met, and the appropriate certificates of approval issued.~~ UBC Researcher. Anything purchased with Research Funds becomes the property of UBC.

2.4 UBC wishes to facilitate discovery and the development and dissemination of knowledge. Accordingly, the results of all Research must be fully publishable at the discretion of UBC Researchers, subject only to the limited exceptions set out in the Procedures.

## PROCEDURES

Approved: July 1993

Revised: ~~December 2008~~ TBD

~~Pursuant to Policy #1—Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors and are incorporated in the next publication of the UBC Policy and Procedure Handbook."~~ Administration of Policies, "Procedures may be amended by the President, provided the new procedures conform to the approved policy. Such amendments are reported at the next meeting of the Board of Governors." Note: the most recent procedures may be reviewed at <http://universitycounsel.ubc.ca/policies/index/>.

### ~~1. Application for External Funds—Grants & Contracts~~

~~1.1. The following procedures apply to every application for external funding for research and other projects, including application for renewal of existing support:~~

#### ~~1.1.1. Signatures~~

~~1.1.1.1. Every application for funds (new or renewal) from an external source must be signed, in the following order, by the applicant, the Department Head or Director, the Dean and the Director of Research Services. Only the University itself has the legal authority to enter into contracts which are binding on the University; such contracts must be executed by a delegated signing officer.~~

~~1.2. This rule applies equally to:~~

- ~~1.2.1. funding requests for new projects;~~
- ~~1.2.2. requests for renewal or supplemental funding for existing projects;~~
- ~~1.2.3. requests made by letter or by written proposal as well as those prepared on pre-printed forms;~~
- ~~1.2.4. all faculty awards and fellowships, even when funds will not be administered by UBC;~~
- ~~1.2.5. post-doctoral fellowships which will be administered by UBC;~~
- ~~1.2.6. all graduate or undergraduate scholarships and fellowships which include a research allowance which will be administered by UBC.~~

#### ~~1.3. Copies of Applications~~

~~1.3.1. Copies of every application for funds from an external source must be provided for the Office of Research Services before the application will be reviewed and signed by the Director, Research Services. The Research Services copy may be limited to the following: title page, abstract or summary of project, signature page, all pages dealing with budgets or related financial matters, and, in the case of cooperative projects, letters of support or commitment from collaborating companies or institutions.~~

#### ~~1.4. Procedures in the Faculty of Medicine~~

~~1.4.1. Members of the Faculty of Medicine should be aware of the following special procedures for the processing of research grant applications in the Faculty:~~

~~1.4.1.1. All applications presented for signature must be accompanied by a fully completed Faculty of Medicine Grant Application Cover Sheet.~~

~~1.4.1.2. Fellowship or scholarship applications for individuals who will be offered a faculty appointment must be accompanied by a *Faculty Recruiting Form* as well as the cover sheet.~~

~~1.5. Forms and information are available from departmental offices and from the Associate Dean of Medicine (Research & Planning), 604-822-8633 or 604-822-4305.~~

#### ~~1.6. Deadlines for Applications~~

~~1.6.1. Every effort will be made to process all applications brought to the Office of Research Services within one half day if the copy is provided and all required signatures have been obtained. However, applicants must be prepared for a 24 hour turn-around at all times.~~

#### ~~1.7. Grant and Contract Budgets and Salaries~~

~~1.7.1. Applicants must discuss with Human Resources the classification and salary levels for all potential grant and contract employees before finalizing budget proposals. Care must be taken to account for future salary increases and to allow for the employer's share of benefits and overhead charges. All contract budgets must be discussed and approved by the appropriate Department Head, or his or her delegate, before they are submitted for signature.~~

#### ~~1.8. Research and Other Studies Involving Human Subjects~~

~~1.8.1. Any proposed research~~

### 1. Administration

1.1. The Responsible Executive will be the Vice President Research and International who will have the responsibility for the administration of this Policy and these Procedures.

1.2. The Responsible Executive may sub-delegate duties hereunder but remains responsible for oversight and answerable to the President.

1.3. The Responsible Executive may issue and maintain administrative directives ("Directives") which conform to this Policy and these Procedures. Prior to creating or substantively revising a Directive the Responsible Executive will establish an advisory committee which will consist of representatives from the Office of the University Counsel and the units responsible for the subject matter of the Directive. The advisory committee will provide advice to the Responsible Executive on the form and content of the applicable Directive. All Directives can be found at <http://universitycounsel.ubc.ca/files/2014/03/policy87.pdf>.

### 2. Responsibilities

2.1. UBC Researchers are responsible for the conduct and consequences of their Research activities. They must comply with, and ensure any Research with which they are involved complies with this Policy, these Procedures, and any other requirements of UBC or the funding agency sponsoring the Research. To this end UBC Researchers must:

2.1.1. ensure all Research is conducted to the highest scientific, ethical, and professional standards, and in accordance with Policy #85 (Scholarly Integrity);

2.1.2. ensure any proposed or resulting Research involving human subjects must comply with Policy #89—Research and Other Studies Involving Human Subjects and any other requirements arising under it.—

**1.9. Research and Teaching Involving Animals**

1.9.1. Any proposal involving the use of animals in research or teaching must have the approval of the UBC Animal Care Committee. Applications for Animal Care Committee review are made via the Researcher Information Service (RISe) accessible from the Office of Research Services website. For further information, contact the Animal Care Committee, Office of Research Services.

**1.10. Research Involving Biological Hazards**

1.10.1. Any proposed use of biohazardous materials (including bacteria, viruses, plasmids, cell lines, animals, recombinant DNA, and/or primate body fluids, including blood), must be reviewed and approved by the UBC Biohazards Committee. Requests are made on the *Application for Biosafety Project Approval*. Application forms and information may be obtained from the Office of Research Services website at [www.ors.ubc.ca](http://www.ors.ubc.ca).

**1.11. Notification of Award**

1.11.1. When an award is made the grantee is responsible for providing the Office of Research Services with a copy of the award notice or letter plus copies of any other documents concerning the regulations or conditions governing the use of grant funds. This procedure is not necessary if the award notice has been sent to the Office of Research Services by the granting agency.

**1.12. Unsolicited Donations**

1.12.1. Funds for research are often obtained in the form of unsolicited donations or as a result of informal conversations with potential donors, and thus formal applications may not exist. In such cases copies of letters or other related documents, a summary of the project, and the proposed budget, on an Office of Research Services Grant Information Form, should be sent to the Office of Research Services. Copies of this form are available from the Office of Research Services. Such requests must be endorsed by the Head and Dean in the usual way.

**1.13. Administration of Trust Funds** [complies with Policy #89 \(Research and Other Studies Involving Human Subjects\);](#)

[2.1.3 ensure any proposed or resulting Work with Animals complies with the policies of the ACC and the other requirements necessary to maintain the UBC GAP Certificate;](#)

[2.1.4 ensure any proposed or resulting Research is conducted safely in accordance with all applicable laws, regulations, and in accordance with the safety policies of UBC including without limitation UBC policies governing the safe use of equipment, biohazardous materials, radioactive materials, and certain chemical materials;](#)

[2.1.5 ensure they comply with all Funding Terms;](#)

[2.1.6 ensure all Research Funds are properly managed, including by ensuring all expenditures authorized against UBC accounts conform with the approved budget and with UBC policies on financial management including Policy #90 \(Over-Expenditure on Research and Specific Purpose Trust Project/Grants\);](#)

[2.1.7 where they have Research Spending Responsibility for a UBC research account, notify the Responsible Executive immediately upon becoming aware of any circumstances which could: \(i\) hinder or prevent the satisfactory completion of](#)

the Research project related to such research account; or (ii) impact the UBC Researcher's eligibility for Research Spending Responsibility;

2.1.8 ensure they and all aspects of the Research project are compliant with UBC's Policy #97 (Conflict of Interest and Conflict of Commitment);

2.1.9 inform themselves of the regulatory framework relevant to their Research;

2.1.10 where they wish to mobilize the results of Research, to do so in accordance with UBC Policy #88 (Inventions and Discoveries); and

2.1.11 where they are the Principal Investigator, ensure all members of the Research team are aware of and comply with the foregoing requirements.

2.2 UBC is committed to providing an environment that supports UBC Researchers and fosters the best Research practices. In that regard the Responsible Executive has established offices responsible for:

2.2.1 the negotiation of Research contracts between UBC and public sector contracting agencies, industry, or any other third parties;

2.2.2 the negotiation of licences and other agreements which deal with UBC owned intellectual property;

2.2.3 accepting and administering awards of Research Funds secured in accordance with the requirements of this Policy and these Procedures;

2.2.4 maintaining the research ethics boards necessary to review and maintain oversight of the ethical acceptability of Research involving human participants; and

2.2.5 maintaining the UBC GAP Certificate in order to meet certain Research funding eligibility requirements.

### **3. External Funding**

3.1 Applications - Every application for external Research Funds (including renewals of prior awards) must be approved by the Responsible Executive or delegate in accordance with the processes and procedures maintained by the Office of Research Services and the University-Industry Liaison Office. Guidance about which units at UBC are responsible for obtaining the appropriate signatures on applications for external Research Funds can be found on the website maintained by the Office of Research Services. Copies of every application for external Research Funds and a complete and properly signed application package must be provided to the Office of Research Services before the application can be considered and, if approved, signed by UBC. UBC may refuse any award of Research Funds arising from an application not properly approved by UBC.

3.2 ~~1.13.1. Grant and contract funds are held in trust by the University and are not the property of any individual. Please refer to the procedure following on the Administration of Trust Funds and Policy #90—Over-Expenditure on Research and Specific Purpose Trust Project/Grants.~~ **Signing Contracts** - No UBC Person can sign contracts on behalf of UBC unless they have been delegated that authority by the UBC Board of Governors pursuant to a Board of

Governors Policy or pursuant to a Signing Resolution issued by the Signing Committee of the UBC Board of Governors. UBC may refuse any award of Research Funds arising from a contract not properly signed. UBC Persons must ensure that all contracts are properly signed. Guidance about which units at UBC are responsible for obtaining the appropriate signatures on contracts related to Research Funds can be found on the website maintained by the Office of Research Services.

#### **1.14. Study Leave Research Grants**

~~1.14.1. Faculty on Study Leave may apply to have a portion of their personal income declared a research grant for income tax purposes during the period of study leave. Application forms and information may be obtained from the Office of Research Services web site.~~

#### **1.15. Publication**

~~1.15.1. Results of all research undertaken in the University shall be fully publishable at the discretion of the principal investigator, subject to the following section on limitation of publication. (Note that publication of the details of an invention may make it impossible to seek patent protection. See Policy #88— Patents and Licensing.) Publication cannot be withheld unilaterally. Where “investigator” means more than one person (e.g. a research team), and consensus about the timing of publication cannot be achieved, the matter will be referred to the Executive Committee on Research for advice to the President, whose decision is final.~~

#### **1.16. Limitation of Publication**

~~1.16.1. A sponsor may be given the right under the terms of the formal contractual agreement to publish research results or to approve such publication in advance. In any case, the University shall be completely free to publish after a maximum of 12 months from termination of the project or submission of the final report, whichever is later, unless an exception for a brief extension is granted by the Vice President, Research.~~

~~1.16.2. No restriction shall prohibit or delay in any way the use of research results by graduate students for theses or other academic purposes.~~

~~1.16.3. Delays in publication at the request of sponsor are permissible only if the public interest is best served by such a policy or if patent property protection is being sought.~~

#### **1.17. Confidential Data**

~~1.17.1. If, under the terms of a formal contract, a sponsor agrees to provide data essential to the research which is clearly labeled “Confidential Data”, the University will accept such a contract and observe such confidentiality provided that the results of the research may be published without identifiable reference to the confidential data and that no limitations are placed on the publication of results other than those outlined.~~

## **2. Contracts For Research and Other Projects**

### **2.1. Contract Research**

~~2.1.1. Contract research is carried out under the terms of a written agreement which, generally:~~

~~2.1.1.1. defines in specific terms the work to be carried out for the contracting agency;~~

~~2.1.1.2. includes a budget which restricts, by category, the payment for actual expenditures, except that some portion of the allocated funds may be withheld until the contracted work is complete and a final report submitted; and~~

2.1.1.3. requires a detailed financial audit of all expenditures charged to the contract.

2.1.2. The above restrictions are typical of those found in contracts issued by Public Works and Government Services Canada, the department responsible for most federal contracting. While not all contracts contain all these conditions, staff members should be aware that contracts are inherently more restrictive than grants and that great care must be taken in the management of contract funds.

## 2.2. Authority to Contract

2.2.1. In accordance with the University Act, only the University itself has the legal authority to enter into contracts which are binding on the University. Contracts for research and other projects must be between The University of British Columbia and the contracting agency and may not be written in the name of an individual Department, Institute, School, Faculty, or staff member.

## 2.3. Execution of Documents

2.3.1. All written documents to which the University is a party must be executed by the Board of Governors or its delegate. The Directors of Research Services and the University Industry Liaison Office are responsible for obtaining appropriate University signatures on all contracts for research and related projects.

3.3 **2.4. Personal Contracts** Personal Contracts – If a UBC Person chooses to enter into a contract directly with a third party then the contract is the personal responsibility of that UBC Person. UBC is not liable for any obligations that may arise under a personal contract entered into between a UBC Person and a third party. UBC will not accept such contracts or any monies payable under such contracts for administration. No UBC facilities or UBC resources may be used for work carried out under such contracts. Any UBC Person entering into a personal contract must comply with UBC Policy #97 (Conflict of Interest and Conflict of Commitment).

2.4.1. Personal contracts for research and other services negotiated between an individual and an external agency and signed by that individual will not be accepted for administration by the University, nor may University facilities be used for work carried out under such contracts.

## 2.5. Contract Negotiation

2.5.1. The Managing Director of the University Industry Liaison Office is responsible for negotiation of research contracts between the University and public sector contracting agencies or industry and for licences and other intellectual property agreements. Once the work statement and budget have been established, negotiations should be carried on directly between the agency and the University Industry Liaison Office.

## 2.6. Overhead Charges

2.6.1. Every grant or contract for research projects accepted by the University must include an allowance for University overhead at a rate of 25% of direct costs.

2.6.2. Special overhead rates may apply to certain agencies. Overhead from research sponsored by the Canadian Institutes of Health Research, the Natural Sciences and Engineering Research Council of Canada and the Social Sciences and Humanities Research Council is recovered through the federal Indirect Cost Program and therefore grant applications for these funds must not include overhead. Please contact the Office of Research Services or University Industry Liaison Office for details. All deviations from the standard overhead rate must be approved by the Vice President, Research.

## 2.7. Budget Amendments

~~2.7.1. Contracts often permit little budget flexibility. If budget alterations (within the stated dollar limit of the contract) are desirable during the term of the contract, a request must be made in writing to the Office of Research Services or University Industry Liaison. If it is necessary to obtain a formal contract amendment to accommodate the change, the Director will request such an amendment from the contracting agency.~~

~~2.8. Audit~~

~~2.8.1. Expenditures that do not conform with contract budgets may not be accepted when the account is audited following termination of the contract. Grantees may then be held responsible.~~

**3. Administration of Trust Funds**

~~3.1. This section should be read in conjunction with the procedure following on Administration of Trust Funds and Policy #90—Over Expenditure on Research and Specific Purpose Trust Project/Grants.~~

~~3.2. **Administration of Trust Funds (Grants and Contracts)**~~

~~3.2.1. **Grant and Contract Funds**~~

~~3.2.1.1. Grant and contract funds are held in trust by the University and are not the property of any individual~~

3.4 **Approval of Funding** – When funding has been approved by a funding agency the Principal Investigator is responsible for providing the Office of Research Services with a copy of any documents containing the Funding Terms from the funding agency unless they have already been sent to the Office of Research Services directly by the funding agency.

3.5 **Donations** - Funds for Research are periodically received in the form of donations and thus formal grant applications may not exist. Donations are to be processed through the Development Office in accordance with UBC Policy #114 (Fundraising and Acceptance of Donations). Donation documents containing Funding Terms will be sent to the Office of Research Services by the Development Office.

3.6 **Indirect Cost Recovery** – The Responsible Executive may establish requirements for the recovery of the indirect cost of research from Research Funds.

#### 4. Administration of Research Funds

4.1 Eligibility for Research Spending Responsibility – All Research Funds are received by UBC and deposited into UBC research accounts. UBC delegates to eligible UBC Persons the responsibility for ensuring that these research accounts are managed properly and in accordance with UBC policies, Funding Terms, and any other applicable requirements (“Research Spending Responsibility”). The following UBC Persons are eligible for Research Spending Responsibility:

4.1.1 UBC Persons who have a tenure stream faculty appointment as a Professor, Associate Professor, Assistant Professor, Instructor, Senior Instructor, or Professor of Teaching or comparable Emeritus status;

4.1.2 UBC Persons who have a faculty term appointment without review as a Professor, Associate Professor, Assistant Professor, Instructor, Senior Instructor, Professor of Teaching, Adjunct Professor, Clinical Professor, Clinical Associate Professor, Clinical Assistant Professor or Research Associate provided that they also have the prior written approval of both the appropriate Department Head and Dean;

4.1.3 Librarians who have the prior written approval of the University Librarian; or

4.1.4 Post-Doctoral Fellows who have the prior written approval of both the appropriate Department Head and Dean, but only where the Funding Terms for the research project specifically require it.

Research Spending Responsibility will not be granted to students or visitors. UBC Persons with positions not addressed above will require the written approval of both their Department Head and Dean (as applicable) and the Provost prior to being granted Research Spending Responsibility.

4.2 The Office of Research Services or the University-Industry Liaison Office (as applicable) must ensure that all persons granted Research Spending Responsibility are legally bound to comply with UBC policies, rules and procedures on the conduct of Research before such authority can be granted.

4.3 ~~3.2.2. Opening and Amending Accounts~~ ~~3.2.2.1. -~~ No payment may be made from any ~~grant or contract~~ Research Funds until the opening of ~~an~~ a financial research account (or the amendment of an existing account) has been authorized in writing by the Office of Research Services. ~~It is the responsibility of the Director, Research Services, to ensure that the terms and conditions of every grant and contract administered by the University conform with University policies, or the University-Industry Liaison Office.~~ Requests for new accounts or amendments, such as budget increases to existing accounts must be made in writing ~~and be accompanied by all required material~~ in accordance with the processes implemented by the relevant office.

#### ~~3.2.3. Eligibility for University Accounts~~

~~3.2.3.1. Holders of UBC research and trust accounts must be members of the permanent academic staff, normally those appointments at the rank of Assistant Professor or higher. Accounts may be opened for Lecturers or Research Associates, if eligible by~~

~~the funder and at the specific request of the Dean, who confirms that the term of the member's appointment covers the full term of the grant or contract. Accounts will not be opened for Post Doctoral or other Fellows, students or visitors.~~

4.4 Delegation of Research Spending Responsibility - UBC Researchers given Research Spending Responsibility for a UBC research account may delegate their authority to approve expenditures from such research account to another UBC staff or faculty member provided that their Department Head is notified in writing of the delegation. For clarity, any UBC Researcher with Research Spending Responsibility who delegates authority will be responsible for ensuring all transactions in such research account, including all expenditures approved by the person(s) with delegated authority, are fully compliant with Funding Terms, University policies and any other applicable requirements.

4.5 ~~3.2.4. Payment of Grant and Contract Funds~~3.2.4.1. All cheques for research and other projects - Any Research Funds must be made payable to "The University of British Columbia". To avoid personal income tax, faculty members should not accept personal cheques for research support. Cheques payable directly to UBC. UBC Researchers must not accept funds in support of Research directly. In the event Research Funds are received directly by grantees or departmentsUBC Researchers such funds should be forwarded to the Vice President, Research Services and International Portfolio Finance Group for deposit to the appropriate into a UBC account.

4.6 ~~3.2.5. Responsibility of Grantee~~  
~~3.2.5.1. The grantee is responsible for the proper management of all funds held in trust in his/her name. It is the grantee's responsibility to ensure that all expenditures authorized against University accounts conform with the approved budget, with all terms and conditions of the grant or contract, with all regulations of the sponsoring agency, and with the regulations of the University Financial Services, Payroll, Purchasing and Human Resources.~~

**3.2.6. Responsibility of Department Head and Dean for Over-Expenditure**

~~3.2.6.1. See Policy #90—Over-Expenditure on Research and Specific Purpose Trust Project/Grants.~~  
**3.2.7. Responsibility of Financial Services for Financial Statements**~~3.2.7.1. -~~Financial statements or claims, if required by the sponsoring agency, will be prepared by Financial Services according to their records. Grantees the finance group within the portfolio of the Vice President, Research and International on the basis of their records. The Responsible Executive may authorize certain UBC employees, or classes of employees, to issue and sign financial statements or claims on behalf of UBC. UBC Researchers may request amendments to such statements or claims if it can be established, with supporting evidence, that the statements or claims are in error. Financial Services will not undertake the provision of copies of vouchers or invoices to a sponsoring agency. Original vouchers and invoices are kept on file for audit purposes.

4.7 ~~3.2.8. Salary Payments~~Payments to Employees - All payments for services to UBC employees (in their capacity as employees) must be paid through the UBC payroll system managed by UBC Payment and Procurement Services. Budgets must account for required source deductions and employee benefits.

~~3.2.8.1. No honoraria, professional fees, salaries or payment for services are to be paid to individuals from research or departmental accounts, except through the University.~~

~~payroll. If special jobs or research projects are done for the University by University technical or office staff outside regular working hours, payment must be made through the Payroll Office and is regarded as overtime. All such projects must have the approval of all Department Heads concerned.~~

~~3.2.8.2. Research grants, agreements or contracts between the University and agencies involving honoraria paid to members of faculty or staff shall be approved by the Office of Research Services only on the recommendation of the Dean of the Faculty, with the approval of the Head of Department or Director. If so recommended, the Director of Research Services is authorized to sign such grants, agreements or contracts on behalf of the University, provided that the total of all honoraria paid to the faculty or staff member from all sources (contracts, grants etc.) does not exceed one sixth of the member's salary during the appointment year (July 1 to June 30). Proposals for honoraria exceeding this amount shall be forwarded by the Dean of the Faculty to the Vice President, Academic and Provost for consideration.~~

### **3.2.9. Consultants**

~~3.2.9.1. Consulting fees may be paid from grants and contracts to established consulting firms (see Policy #97 – Conflict of Interest and Conflict of Commitment) or to individuals who are not on the UBC payroll and whose contribution to the research project will not require more than one such payment. Individuals whose contribution will require more than one payment are appointed and paid through the University payroll.~~

### **3.2.10. Benefits**

~~3.2.10.1. When salaries are to be paid from research accounts, allowance must be made in the budget for compulsory fringe benefits (Canada Pension Plan and Unemployment Insurance). Allowance should also be made for other applicable benefits (Superannuation, Group Life Insurance, Group Total Disability Insurance and Group Medical Services). Benefits cannot be awarded to such employees unless the research funds can provide the employer's contribution. Contact Human Resources for details of the calculation of applicable benefits.~~

4.8 [Payments to Independent Contractors - All payments for services in support of UBC Research made to independent contractors \(incorporated or unincorporated\) must be paid in accordance with UBC Payment and Procurement Services' processes.](#)

4.9 [Purchase of Equipment and Supplies – All purchases of equipment and supplies for UBC Research must be made in accordance with UBC Payment and Procurement Services' processes.](#)

4.10 [Travel Expenses - Travel expenses incurred for UBC Research must be incurred and reimbursed in accordance with UBC's Policy #83 \(Travel and Related Expenses\).](#)

4.11 [Honoraria – The execution or approval of any applications, grants, donations, or contracts between UBC and a third party that involves the payment of honoraria to UBC Persons must be approved in writing by:](#)

4.11.1 [the Head of Department or Director of the UBC Person; and](#)

4.11.2 [the Dean of the UBC Person \(where applicable\)](#)

Where such approval has been obtained, UBC signing officers are authorized to sign or approve such applications, grants, agreements or contracts on behalf of UBC, and UBC staff are authorized to pay such honoraria (in accordance with UBC procedures), subject to the caveat below. Where honoraria for a UBC Person from all third party sources (contracts, grants, etc. whether the funding source is Research related or otherwise and whether the honorarium is for Research activities or otherwise) exceeds one-sixth of the UBC Person's total compensation (less benefits) from UBC during the annual period July 1 to June 30, then the approval in writing of the Provost is also required in addition to the approvals listed in section 4.11.1 and 4.11.2.

4.12 **3.2.11. Separate Accounts** ~~Separate Accounts~~ – Research Funds from different sources may not be placed in the same UBC account. Transfers between accounts may only be made if a) the transfer is permitted by all applicable Funding Terms and b) is permissible pursuant to the policies and procedures of UBC's Department of Finance.

~~3.2.11.1. For accounting and statistical reasons, awards from different sources may not be placed in the same University account.~~

**3.2.12. Common Services Accounts**

~~3.2.12.1. If he or she considers it to be in the best interest of the research program in his or her department, a Department Head may, following consultation with his or her Dean and with the agreement of the grantees concerned in the Department, authorize the Accountant to transfer a portion of the amount of each grant to a “Common Services Account” which would be used to support technicians, secretarial, printing and other services prerequisite to the efficient operation of the program, providing always that such transfer is compatible with the policies of the granting agency. Grantees are to be given an accounting for such expenditures.~~

**3.2.13. Travel Expenses**

~~3.2.13.1. Travel expenses will be paid in accordance with the regulations of the granting agency. If the agency has no specific regulations, reimbursement will be in accordance with University policy at current rates; reimbursement for automobile travel will not exceed the costs that would be incurred using economy air travel.~~

**3.2.14. Purchase of Equipment and Supplies**

~~3.2.14.1. Purchases of equipment and supplies must be made through the University Purchasing Office. No faculty or staff member or student may obligate the University for the purchase of goods or services. All equipment so purchased is the property of the University.~~

**4. The Use of**

**5. Publication**

5.1 The results of all Research must be fully publishable at the discretion of the UBC Researchers subject only to the restrictions outlined in sections 5.2 to 5.5 of these Procedures.

5.2 **Sponsor Requirements** - A Research funding sponsor may be given the right under the Funding Terms of a contractual agreement to have the initial right to publish Research results, or to review such publication in advance. Funding Terms must ensure that UBC is completely free to publish the Research results, typically within 90 days but

in all cases, no later than 12 months after termination of the project or submission of the final report, whichever is later. Delays in publication at the request of a Research sponsor are permissible only if the public interest is best served by such a delay or if patent protection is being sought.

**5.3 Fee-for-Service Work** - UBC may, upon the request of the relevant Principal Investigator, enter into agreements with third parties to provide such third parties access to unique UBC research related expertise and facilities on a fee-for-service basis ("**Fee-for-Service Projects**"). Under a Fee-for-Service Project, UBC may relinquish the right to retain and use data from the Fee-for-Service Project and the right of the UBC Researchers to publish the results. Fee-for-Service Projects must typically meet the following criteria:

5.3.1 they involve routine use of research equipment or facilities;

5.3.2 they are not supported directly by external Research Funding other than the funds provided by the third party funding the Fee-For-Service-Project;

5.3.3 they do not include the participation of any students in their thesis related Research;

5.3.4 the UBC Researcher(s) involved have confirmed that they do not wish to retain data or publish the results of the work undertaken; and

5.3.5 the UBC Researcher(s) involved have no conflict-of-interest with the third party funding the Fee-For-Service-Project.

The Responsible Executive has the authority, in the event of a disagreement, to determine whether a project is a Fee-for-Service Project.

**5.4 Theses** - No restriction shall prohibit or delay in any way the use of Research results by graduate students for theses or other academic purposes except in the circumstances outlined in section 5.2 with the written consent of the student prior to the student's involvement in the relevant research project.

**5.5 Confidential Data** - If, under the terms of a funding agreement, a sponsor agrees to provide data essential to the Research which is clearly labeled as confidential data, UBC may with the consent of the Principal Investigator accept such a contract and observe such confidentiality obligations provided that the results of the Research may be published without identifiable reference to the confidential data and that no limitations are placed on the publication of results other than those outlined in this section 5.5.

## **6. Working with Animals For in Research and Teaching and Research**

**6.1** ~~4.1. It is the policy of the University to adopt all policies of the Canadian Council on Animal Care. Copies of the policies adopted by the University are available from the Animal Care Committee and may also be found at [www.acc.ubc.ca](http://www.acc.ubc.ca).~~ **Canadian Council on Animal Care** – UBC is the holder of a Good Animal Practice Certificate ("**UBC GAP Certificate**") issued by the Canadian Council on Animal Care ("**CCAC**"). To ensure UBC is in compliance with the standards required to maintain the UBC GAP Certificate, UBC operates an Animal Care and Use Program which includes an Animal Care Committee ("**ACC**") that reports to the Responsible Executive, with Terms of Reference consistent with those mandated by the CCAC. Copies of the policies of the ACC may be found at

[www.animalcare.ubc.ca](http://www.animalcare.ubc.ca). All Research or teaching involving animals at UBC or governed by the UBC GAP Certificate ("**Work with Animals**") must comply with ACC policies and the animal use protocol approved by the ACC for such Research or teaching.

6.2 ~~4.2. Responsibility of User~~ **Responsibility of User** – Work with Animals is a privilege granted to certain UBC Persons. It is the responsibility of each UBC Person involved in Work with Animals to ensure such Work with Animals meets high scientific standards and, in the case of teaching, has pedagogical merit.

~~4.2.1. The use of animals for teaching and research purposes should be regarded as a privilege by those members of the University involved in their care and use. It is the responsibility of the individual to ensure that at all times they are given every possible humane care and treatment, and in this he or she will have the active support of the University.~~

#### **4.3. Responsibility of Department Head**

~~4.3.1. The Head or Director of each Department, Institute or School using experimental animals should provide the Director of Animal Care with the name of one designated individual who will be responsible for the day to day supervision of the maintenance and use of animal facilities and laboratory animals within that Department. This Departmental representative will provide a liaison between individual users, Faculty and Departmental committees on animal care and the Director of Animal Care. In this way the autonomy of user groups within a department will be preserved while a link with those responsible for the establishment and implementation of University policies on animal care will be provided.~~

#### **4.4. Responsibility of Director of Animal Care**

~~4.4.1. The administration of University policy on animal care, as defined by the Committee on Animal Care, is the responsibility of the Director of Animal Care whose terms of reference are:~~

6.3 **Animal Care Committee** - The Responsible Executive has delegated to the ACC the authority to implement and enforce policies to ensure compliance with any requirements necessary to maintain the UBC GAP Certificate including the authority to approve, monitor and intervene in any Work with Animals conducted at UBC or governed by the UBC GAP Certificate including the procurement and living conditions of the animals.

6.4 **Responsibility of UBC Veterinarians** - The ACC may delegate portions of its authority to veterinarians operating under the direction of UBC's Animal Care and Use Program ("**UBC Veterinarians**"). Such delegated authority may include the authority to:

6.4.1 ~~4.4.1.1. To~~ inspect, at his or her discretion, all animal facilities ~~within~~ involving animals under the jurisdiction of the University; control of UBC or governed by the UBC GAP Certificate to ensure that standards of housing and care are uniformly acceptable.;

6.4.2 ~~4.4.1.2. To~~ review and advise UBC Persons on methods of facility maintenance and use, ~~so that all unnecessary pain, discomfort or undue stress can be prevented.~~;

6.4.3 ~~4.4.1.3. To~~ advise on all aspects of animal care, and to develop a centre for the dissemination of information on sources, housing, breeding, nutrition, etc. ~~4.4.1.4. To advise on~~ the design of new and renovated animal facilities.;

~~4.4.1.5. To~~

6.4.4 co-ordinate the basic training of ~~animal attendants.~~

**4.5. Substandard Care and Facilities**

4.5.1. In any circumstance where there is not an acceptable standard of care and proper maintenance, the Director is empowered under the following statement of policy: *"It is the policy of The University of British Columbia that where the facilities and/or the standard of animal care within the jurisdiction of the University are judged by the Director of Animal Care to be unsatisfactory, he/she may order the facilities closed and may withhold his/her signature from the certification required for research grant requests. The Committee on Animal Care will review these situations and where necessary act as a Board of Appeal."* UBC Persons who Work with Animals.

UBC Veterinarians have been delegated the authority in an emergency to treat, remove from a study, or otherwise intervene in Work with Animals and to proceed with any necessary emergency measures.

6.5 **4.6. Renovation and Construction of Animal Facilities** Animal Facilities – No animal facilities under the control of UBC or governed by the UBC GAP Certificate may be constructed or renovated until the Responsible Executive or, where such authority has been delegated, the University Veterinarian has approved the design of such construction or renovation.

4.6.1. When the renovation of old or unsuitable animal facilities or the construction of new facilities is contemplated, the Director of Animal Care must be informed prior to the institution of such projects. The Director will consult with the Committee on Animal Care. The Department of Plant Operations has been instructed that no work is to be begun without the approval of the Director. It is essential that all modifications to existing animal housing and any new construction of this type should be appropriate to the need, of satisfactory design, and should not involve needless and costly duplication of facilities on campus.

**4.7. Purchase of Animals**

4.7.1. Animals may only be purchased from those sources which are known to and approved by the Director of Animal Care.

**5. Research and Other Studies Involving Human Subjects**

**5.1. Policy #89—Research and Other Studies Involving Human Subjects**

5.1.1. For all matters pertaining to research involving human subjects, please refer to Policy #89—Research and Other Studies Involving Human Subjects.

**6. Responsibilities of the Director of Research Services & Committees Governing Research Activities**

**6.1. General**

6.1.1. The Executive Committee for Research is responsible for the recommendation of policies and procedures on research activities at The University of British Columbia. The Office of Research Services handles all related administrative matters. The Director, Research Services, is responsible for ensuring that applications for external funding conform with university policies on signatures, publication, patents, research and other studies involving human subjects, biohazards, and the care of experimental animals. He/she is also responsible for the negotiation of government contracts for research and other projects, and for the administration of several internal granting programs, and the program of study leave stipends as research grants.

- 6.1.2. The procedures and policies governing research activities at the University are outlined in the preceding sections. Enquiries related to the various aspects of research administration should be directed to the Office of Research Services or, if appropriate, to the chair of one of the following committees:
- 6.1.2.1. Animal Care Committee
  - 6.1.2.2. Biohazards Committee
  - 6.1.2.3. Radioisotopes and Radiation Protection Committee
  - 6.1.2.4. The applicable Research Ethics Board with respect to research involving human subjects (see Policy #89—Research and Other Studies Involving Human Subjects)
  - 6.1.2.5. University Grants Committee (Humanities and Social Sciences)
  - 6.1.2.6. Faculty Awards Committee
- 6.1.3. Names of current chairs and members of the above committees may be obtained from the Office of Research Services.

## **7. University Granting Committees**

- 7.1. Funds available internally for the support of research and travel are administered by the following committees. Detailed information on terms of reference, deadlines, and application forms should be obtained from the Office of Research Services.

### **7.2. University Grants Committee (Humanities and Social Sciences)**

- 7.2.1. Grants made by the Committee are intended to support scholarly research or creative activity contributing to a discipline or field of study in the humanities and social sciences. Grants are awarded in April of each year; however, full-time faculty members whose first UBC appointment begins July 1 or later may apply in September of that year for support during the six-month period ending March 31.
- 7.2.2. Travel Grants in the Humanities and Social Sciences are awarded for travel to meetings of international learned organizations held outside Canada and the USA. (Conferences sponsored by national or university centres to which international scholars are invited may also be considered). Grants are intended for individuals who are presenting scholarly papers (in areas normally supported by SSHRC) in regularly scheduled conference sessions. Applications are considered by October for meetings to be held between 1 December and 31 May and in March for meetings to be held between 1 June and 30 November.

### **7.3. Faculty Awards Committee: Killam Research Fellowships**

- 7.3.1. UBC Izaak Walton Killam Memorial Research Fellowships are open to distinguished members of faculty of UBC who have outstanding records of achievement and who wish to devote full-time to research and study in their field. Each award includes a contribution to salary and research and travel costs. Completed applications must be received by 1 November of the year preceding the applicant's study leave.

### **7.4. Faculty Awards Committee: Jacob Biely Research Prize**

- 7.4.1. This prize, in the amount of \$1,000, is awarded annually for distinguished research recently accomplished and published. All fields of research are included. Nominations for the prize are to be signed by two colleagues and sent with supporting documentation to the Office of Research Services by the deadline.

### **7.5. Faculty Awards Committee: Charles A. McDowell Award for Excellence in Research**

- 7.5.1. This award, consisting of a medal, is awarded annually to an outstanding young faculty member who has demonstrated excellence in pure or applied scientific research. The candidate must

have spent at least 5 years on the staff of UBC, and the year of the receipt of the award must not be more than 12 years from the time that the candidate received the Ph.D. degree. All nominees must be currently in receipt of a research grant from NSERC. Nominations for the medal should be signed by two colleagues and sent with supporting documentation to the Office of Research Services by the deadline.

**7.6. Faculty Awards Committee: Alumni Prizes**

7.6.1. Two awards, sponsored by the Alumni Association, are offered to recognize excellence in research in the Humanities and in the Social Sciences by young members of faculty at UBC. Nominations are sent to the Office of Research Services by the published deadline.

**8. Detailed Procedures**

8.1. Related policies include the Policies on Patents and Licensing, on Travel and Entertainment, on Conflict of Interest, on Overexpenditure and on Research and Other Studies Involving Human Subjects. For more information about the application of any of these policies in relation to research, kindly consult the Office of Research Services.

6.6 **Acquisition of Animals** - The acquisition of animals to be used in Work with Animals must be approved by the ACC and carried out in accordance with the processes and procedures maintained by Animal Care Services.

**7. Reporting of Concerns**

7.1 UBC will consider allegations of non-compliance with this Policy or these Procedures made against those to whom this Policy applies and, where appropriate, investigate such allegations. Such investigations will be conducted in accordance with UBC's processes and principles. In the event the allegations relate to matters addressed by another UBC policy or its procedures, the investigation will be conducted in accordance with the policy deemed most suitable by UBC.

UBC Persons are expected to report in good faith any information pertaining to possible non-compliance with this Policy and these Procedures to UBC, and must cooperate fully with UBC in any process under this Policy. UBC will not tolerate any retaliation against anyone who, in good faith, makes an allegation, gives evidence, or otherwise participates in a process under this Policy.