

Blackline comparing the proposed policy to the current Policy #87

 <p>The University of British Columbia Board of Governors</p>	<p>Policy No.:</p> <p>87</p>	<p>Approval Date:</p> <p>July 1993</p> <p>Last Revision:</p> <p>March 1995 [Anticipated April 2016]</p>
	<p>Responsible Executive:</p> <p>Vice-President, Research and International</p>	
<p>Title:</p> <p>Research Research</p>		
<p><u>Background & Purposes</u></p>		
<p>Background & Purposes:</p> <p>To set out the authority, responsibility, and procedures for 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 Research activity undertaken by UBC and UBC Persons.</p>		
<p><u>Related Policies, Materials and Notes:</u></p> <p>Policy 7 – University Safety 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

~~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 This Policy applies to all UBC Persons who conduct, supervise or otherwise participate in Research ("UBC Researchers").
- 1.2 UBC Researchers are responsible to UBC for the manner in which they conduct their Research and must comply with this Policy, the Funding Terms, and any other requirements of UBC, including those set out in the Procedures.
- 1.3 "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 provisions of a contract for Research Funds, or the policies of the organization providing the Research Funds. Please note that the terms and conditions associated with an application for Research Funds are often incorporated into the Funding Terms.
- 1.4 "Publish" and "Publication" mean making the results of Research publicly available, whether through papers in scholarly journals or otherwise.
- 1.5 "Research" means any disciplined enquiry or systematic investigation intended to extend knowledge or to establish facts or principles that is conducted by UBC Persons acting in their UBC capacity but does not include quality assurance and quality improvement studies, program evaluation activities and performance reviews, or testing within normal educational requirements when undertaken for UBC's internal assessment, management or improvement purposes ("Internal Assessment"). For greater certainty, where data is collected for Internal Assessment but later used for Research purposes, such secondary use of the Internal Assessment data constitutes Research to which this Policy applies.
- 1.6 "Research Funds" means any funds designated to be used to pay expenses related to the conduct of Research, including funds directed to UBC through third party donations, grants, awards and other contractual funding arrangements as well as funding from internal UBC sources.
- 1.7 "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.

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 has the legal authority to enter into contracts which are binding on the University; such contracts must be executed by a delegated signing officer.~~ 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.

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

2.2 Research Funds are held by UBC and are not the property of any individual UBC Researcher. Unless otherwise directed by UBC, anything purchased with Research Funds becomes the property of UBC. UBC will only direct otherwise where it is permitted by the Funding Terms.

2.3 UBC wishes to facilitate the discovery and the development and dissemination of knowledge. Accordingly, the ability of UBC Researchers to Publish the results of Research must be protected in all instances, including in all Funding Terms, subject only to the limited exceptions set out in the Procedures.

PROCEDURES

Approved: July 1993

Revised: ~~February 2014~~ [\[Anticipated April 2016\]](#)

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 Vice President Research and International is designated as the Responsible Executive having 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 with respect to such duties.
- 1.3 The Responsible Executive may issue and maintain administrative directives ("Directives") regarding the subject matter of the Policy and these Procedures, providing, however, that such Directives must not be inconsistent with the Policy or Procedures. UBC Persons must comply with Directives. 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 as well as representatives of the primary UBC constituencies that would be impacted by 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/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 Principal Investigator, the Department Head or Director, the Dean, and the designated official of the Office of Research Services or University Industry Liaison Office. 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 grant application for funds from government and non-profit agencies must be provided to the Office of Research Services before the application will be reviewed and signed by the Director, Research Services. The Office of 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. Additional Procedures in the Faculty of Medicine

- ~~1.4.1. Fellowship or scholarship applications for individuals who will be offered a faculty appointment must be accompanied by a *Faculty Recruiting Form*, in addition to preparing and submitting a *Research Project Information Form (RPIF)* in accordance with Section 1.6.~~

- ~~1.5. Forms and information are available from the Vice-President, Research & International ("VPRI") website, departmental offices and from the Executive Associate Dean, Research, Faculty of Medicine.~~

1.6. Research Project Information Forms and Deadlines for Applications

- ~~1.6.1. All applications for research grants, industry sponsored contracts, and UBC internal funding applications must be accompanied by an RPIF.~~
- ~~1.6.2. All research grant applications must be submitted to the Office of Research Services for approval at least two full working days in advance of the sponsor competition deadline.~~

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 indirect cost recovery. 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 Involving Human Participants

- ~~1.8.1. Any proposed research involving human participants must comply with Policy #89—Research Involving Human Participants 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 the UBC Animal Care Committee review are made via the Researcher Information Service (RISe) accessible from the Office of Research Services website at www.ors.ubc.ca. For further information, contact the UBC 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 Biosafety Committee. Applications for Biosafety Project Approval review are made via RISe, which is accessible from the Office of Research Services website. For further information, contact the UBC Biosafety Committee, Office of Research Services.~~

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. Study Leave Research Grants

1.12.1. 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.

1.13. Publication

1.13.1. 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—Inventions and Discoveries.) 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 Vice President, Research & International, whose decision is final. The Vice President, Research & International may convene a panel of **appropriately qualified** members to assist and advise him or her in making such decision.

1.14. Limitation of Publication

1.14.1. 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 & International.

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

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

1.15. Confidential Data

1.15.1. **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 party 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.~~

2.4. Personal Contracts

~~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

1.4 As used in these Procedures:

1.4.1 "Principal Investigator" means the UBC Researcher 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.

1.4.2 "Provost" means, as applicable, the Provost and Vice Principal – UBC Okanagan or the Provost and Vice-President Academic – UBC Vancouver.

1.4.3 "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. Responsibilities

2.1 Without limiting the generality of section 1.2 of the Policy, 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 (as defined in section 6 of these Procedures);
- 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, which will include 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, including through commercialization, to do so in accordance with UBC Policy #88 (Inventions and Discoveries);
- 2.1.11 ensure the work of UBC employees in the furtherance of Research is carried out in compliance with applicable legal employment standards and the policies and procedures of UBC Human Resources; and
- 2.1.12 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 ~~2.5.1. The Managing Director of the University Industry Liaison Office is responsible for~~ the negotiation of ~~research~~ Research contracts between ~~the University~~ UBC and public sector contracting agencies ~~or industry partners/sponsors, and for licencees 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, industry, or any other third parties;~~

- 2.2.2 the negotiation of licences and other contracts 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 UBC approvals on applications for external Research Funds can be found on the website maintained by the Office of Research Services. Every application for external Research Funds and a complete application package must be provided to the Office of Research Services before the application can be considered and approved by UBC. UBC may refuse any award of Research Funds arising from an application not properly approved by UBC.

3.2 **Signing Contracts** - Various organizations provide financial or other support for Research. No UBC Person can sign contracts or commitments which are binding on 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 personal 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 ~~2.6. Indirect Cost Recovery~~ **Indirect Cost Recovery** – The Responsible Executive may establish requirements for the recovery of the indirect cost of research from Research Funds. Any such requirements can be accessed from the website maintained by the Office of the Vice President, Research and International.

~~2.6.1. All funds for research, or initiatives that involve research, must include an allowance for University indirect cost recovery at a rate of 25% of direct costs. Wherever possible, the indirect cost recovery should be incorporated into each line item, and not displayed separately.~~

~~2.6.2. Special indirect cost recovery rates may apply to funding from certain granting agencies. A list of agencies with validated and pre-approval rates is available on the VPRI website located at <http://www.research.ubc.ca/vpri/indirect-costs>.~~

~~2.6.3. No waiver of the requirement to apply the University's standard indirect cost recovery rate to any eligible research grants or industry sponsored contracts is permitted.~~

~~2.6.4. For donations or gifts for research, every effort must be made to ensure that the proposed budget includes all possible recoverable direct and indirect costs incurred by the University. Researchers must contact the Development and Alumni Engagement Office and their Department Head/Director or Dean where deviation from the University's standard indirect cost recovery rate is anticipated. Any final decisions on approving the application of lower indirect cost recovery rate, will only be made by consensus among the applicable Dean, VPRI Office and DAE Office.~~

2.7. Budget Amendments

4. Administration of Research Funds

4.1 Eligibility for Research Spending Responsibility – All Research Funds must be 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 one of the following faculty term appointments without review and also have the prior written approval of both the appropriate Department Head and Dean: (i) Professor, (ii) Associate Professor, (iii) Assistant Professor, (iv) Instructor, (v) Senior Instructor, (vi) Professor of Teaching, (vii) Adjunct Professor, (viii) Clinical (ix) Honorary or (x) Research Associate;

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

4.1.4 Post-Doctoral Fellows solely where the Funding Terms for a research project specifically require it and they have the prior written approval of both the appropriate Department Head and Dean.

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 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 Office. If it is necessary to obtain a formal contract amendment to accommodate the change, the relevant Office 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. The Office of Research Services or the University-Industry Liaison Office (as applicable) must ensure that all persons granted Research Spending Responsibility are approved for such Research Spending Responsibility and are legally bound to comply with UBC policies, rules and procedures on the conduct of Research before such Research Spending Responsibility is granted.~~

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 (Research 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.~~

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 continue to 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, UBC 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 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 received directly by grantees or departments should be forwarded to the Office of Research Services for deposit to the appropriate account. Payment of Funds - Any Research Funds must be payable directly to UBC. UBC Researchers must not accept funds in support of Research made payable to the UBC Researcher personally. 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

~~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.~~

4.6 **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 Vice President, Research and International Portfolio Finance Group 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.~~

3.2.8. Salary

4.7 **Payments**

~~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.~~ 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 Financial Operations. Research project 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 the processes established by UBC Financial Operations.

4.9 **Purchase of Equipment and Supplies** – All purchases of equipment and supplies for UBC Research must be made in accordance with the processes established by UBC Financial Operations.

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 ~~3.2.8.2. Research grants~~ **Honoraria** – The execution or approval of any applications, grants, donations, or contracts between ~~the University and agencies involving~~ UBC and a third party that involves the payment of 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~~ 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 Faculty where the UBC Person holds his or her primary appointment (where applicable). ~~If so recommended, the Director of Research Services is~~

Where such approval has been obtained, UBC signing officers are authorized to sign or approve such applications, grants, or contracts on behalf of the University, provided that the total of all honoraria paid to the faculty or staff member from all UBC, and UBC staff are authorized to pay such honoraria (in accordance with UBC procedures), subject to the following sentence. Where honoraria for a UBC Person from all third party sources (contracts, grants etc.) does not exceed one-sixth of the member's salary, 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 (excluding benefits) from UBC during the appointment year (annual period 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. 30, then the approval in writing of the Provost is also required in addition to the approvals listed in sections 4.11.1 and 4.11.2.

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.

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

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 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.~~

5. Publication

5.1 UBC Researchers must be able to Publish the results of all Research subject only to the restrictions outlined in sections 5.2 to 5.5 of these Procedures. Where consensus about Publication cannot be achieved between UBC Researchers involved in a Research project, a UBC Researcher may request the assistance of the Office of the Vice President Research and International which will make every effort to facilitate a resolution of any disagreements. The Office of the Vice President Research and International may obtain assistance and advice from **appropriately qualified** persons with respect to any such matter. Where UBC Researchers are involved in a research project, no UBC Researcher can unilaterally withhold the right of others to Publish.

5.2 **Sponsor Requirements** - A Research funding sponsor may be given the right under the Funding Terms 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 contracts 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 the third party is required to provide UBC with reasonable compensation for the provision of services, equipment or facilities;

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

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

5.3.6 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 meets the criteria of 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** in the Publication of their theses or for 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 contract, 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. ~~4. The Use of~~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 UBC Animal Care Committee and may also be found at www.ors.ubc.ca/contents/animal-care. 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. 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 University Veterinarian 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 University Veterinarian. 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 University Veterinarian

~~4.4.1. The administration of University policy on animal care, as defined by the UBC Animal Care Committee, is the responsibility of the University Veterinarian 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 **Authority of UBC Veterinarians** - The ACC may delegate portions of its authority to the University Veterinarian. 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.; and

~~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 University Veterinarian 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 University Veterinarian 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 UBC Animal Care Committee will review these situations and where necessary act as a Board of Appeal." UBC Persons who Work with Animals.~~

The University Veterinarian oversees all veterinarians operating under the direction of UBC's Animal Care and Use Program ("UBC Veterinary Practitioners"). UBC Veterinary Practitioners 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 Associate Vice-President, Research & International must be informed prior to the institution of such projects. The Associate Vice-President, Research & International will consult with the UBC Animal Care Committee and the University Veterinarian. The Department of Plant Operations has been instructed that no work is to begin without the approval of the Associate Vice-President, Research & International. 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

~~4.6.1. Animals may only be purchased from those sources which are known to and approved by the University Veterinarian.~~

5. Research Involving Human Participants

5.1. Policy #89 – Research Involving Human Participants

~~5.1.1. For all matters pertaining to research involving human participants, please refer to Policy #89 – Research Involving Human Participants.~~

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

6.1. General

~~6.1.1. The responsibility for the administration of policies and procedures governing research activities at the University lies with the Office of Research Services. 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 participants, 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. UBC Animal Care Committee~~

~~6.1.2.2. UBC Biosafety 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 Involving Human Participants)~~

~~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 December 1 and May 31 and in March for meetings to be held between June 1 and November 30.

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 November 1 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, Policy #83 (Travel and Related Expenses), Policy #84 (Entertainment), Policy #88 (Inventions and Discoveries), Policy #89 (Research Involving Human Participants), Policy #90 (Over-expenditure and on Research and Specific Purpose Trust Projects/Grants), and Policy #97 (Conflict of Interest and Conflict of Commitment). 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 UBC 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. 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.


Document comparison by Workshare Compare on Friday, March 11, 2016
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Document 1 ID	file://C:\Users\ylui\Desktop\Current Policy #087.docx
Description	Current Policy #087
Document 2 ID	file://C:\Users\ylui\Desktop\Policy 87 - Mar 11 - Final.docx
Description	Policy 87 - Mar 11 - Final
Rendering set	Standard

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

Statistics:	
	Count
Insertions	245
Deletions	209
Moved from	19
Moved to	19
Style change	0
Format changed	0
Total changes	492

Blackline showing the revisions to the proposed policy since December 3, 2015 when previously presented to the Board of Governors

	The University of British Columbia Board of Governors	Policy No.: 87	Approval Date: July 1993 Last Revision: March 1995 [Anticipated April 2016]
		Responsible Executive: Vice-President, Research and International	
Title: Research			
Background & Purposes 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. Related Policies, Materials and Notes: Policy 7 – University Safety 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			

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.~~

1.1 ~~1.3~~ This Policy applies to all UBC Persons who conduct, supervise or otherwise participate in Research ("**UBC Researchers**").

1.2 ~~1.4~~ UBC Researchers are responsible to UBC for the manner in which they conduct ~~and consequences of~~ their Research ~~activities~~ and must comply with this Policy, the Funding Terms, and any other ~~Funding Terms~~ requirements of UBC, including those set out in the Procedures.

1.3 ~~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.~~ Please note that the terms and conditions associated with an application for Research Funds are often incorporated into the Funding Terms.

1.4 ~~1.7~~ "**Provost**" means, as applicable, the Provost and Vice Principal ~~UBC Okanagan or Provost and Vice President Academic UBC Vancouver.~~ "**Publish**" and "**Publication**" mean making the results of Research publicly available, whether through papers in scholarly journals or otherwise.

1.5 ~~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 undertaken for UBC's internal assessment, management or improvement purposes. ~~—~~ ("Internal Assessment"). For greater certainty, where data is collected for Internal Assessment but later used for Research purposes, such

secondary use of the Internal Assessment data constitutes Research to which this Policy applies.

1.6 ~~1.9~~ **“Research Funds”** means any funds ~~for the use of a UBC Researcher in support~~ designated to be used to pay expenses related to the conduct of Research, including funds directed to UBC through third party donations, grants, awards and other contractual funding arrangements ~~and as well as funding from~~ internal UBC ~~funding directed to support Research~~ sources.

1.7 ~~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.~~

2.1 ~~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.

2.2 ~~2.3~~ Research Funds are held by UBC and are not the property of any individual UBC Researcher. ~~Anything~~ Unless otherwise directed by UBC, anything purchased with Research Funds becomes the property of UBC. UBC will only direct otherwise where it is permitted by the Funding Terms.

2.3 ~~2.4~~ UBC wishes to facilitate the discovery and the development and dissemination of knowledge. Accordingly, the ability of UBC Researchers to Publish the results of ~~all~~ Research must be fully publishable at the discretion of UBC Researchers protected in all instances, including in all Funding Terms, subject only to the limited exceptions set out in the Procedures.

PROCEDURES

Approved: July 1993

Revised: [Anticipated April 2016]

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 [Vice President Research and International](#) is designated as the Responsible Executive ~~will be the Vice President Research and International who will have the~~ [having](#) 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 [with respect to such duties](#).
- 1.3 The Responsible Executive may issue and maintain administrative directives (“Directives”) ~~which conform to this~~ [regarding the subject matter of the](#) Policy and these Procedures ~~, providing, however, that such Directives must not be inconsistent with the~~ [Policy or Procedures. UBC Persons must comply with Directives.](#) 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 [as well as representatives of the primary UBC constituencies that would be impacted by 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>~~ <http://universitycounsel.ubc.ca/policies/index/>.
- 1.4 [As used in these Procedures:](#)
 - 1.4.1 ["Principal Investigator" means the UBC Researcher 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.](#)
 - 1.4.2 ["Provost" means, as applicable, the Provost and Vice Principal – UBC Okanagan or the Provost and Vice-President Academic – UBC Vancouver.](#)
 - 1.4.3 ["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. **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:~~ Without limiting the generality of section 1.2 of the Policy, 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 (as defined in section 6 of these Procedures);
 - 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~~ which will include 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, including through commercialization, to do so in accordance with UBC Policy #88 (Inventions and Discoveries);
 - 2.1.11 ensure the work of UBC employees in the furtherance of Research is carried out in compliance with applicable legal employment standards and the policies and procedures of UBC Human Resources; and
 - 2.1.12 ~~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~~contracts 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~~UBC approvals on applications for external Research Funds can be found on the website maintained by the Office of Research Services. ~~Copies of every~~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** - Various organizations provide financial or other support for Research. No UBC Person can sign contracts or commitments which are binding 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 personal 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. [Any such requirements can be accessed from the website maintained by the Office of the Vice President, Research and International.](#)

4. **Administration of Research Funds**

4.1 **Eligibility for Research Spending Responsibility** – All Research Funds ~~are~~must be 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~~one of the following faculty term ~~appointment~~appointments without review ~~as~~and also have the prior written approval of both the appropriate Department Head and Dean: (i) Professor, (ii) Associate Professor, (iii) Assistant Professor, (iv) Instructor, (v) Senior Instructor, (vi) Professor of Teaching, (vii) Adjunct Professor, (viii) ~~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(ix) Honorary or (x) Research Associate;

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

4.1.4 Post-Doctoral Fellows ~~who~~solely where the Funding Terms for a research project specifically require it and they 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 approved for such Research Spending Responsibility and are legally bound to comply with UBC policies, rules and procedures on the conduct of Research before such ~~authority can be~~Research Spending Responsibility is 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 continue to 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/UBC 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 made payable to the UBC Researcher personally~~. 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 Portfolio Finance Group 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/Financial Operations. Research project 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~~ the processes established by UBC Financial Operations.
- 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~~ the processes established by UBC Financial Operations.
- 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 Faculty where the UBC Person holds his or her primary appointment (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~~ following sentence. 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~~ excluding 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~~sections 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 except where permitted by UBC's financial policies and procedures. Transfers between UBC accounts may only be made if a) the transfer is permitted by all applicable Funding Terms and b) is permissible pursuant to the financial policies and procedures of UBC's ~~Department of Finance~~.

5. **Publication**

- 5.1 ~~The UBC Researchers must be able to Publish 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. Where consensus about Publication cannot be achieved between UBC Researchers involved in a Research project, a UBC Researcher may request the assistance of the Office of the Vice President Research and International which will make every effort to facilitate a resolution of any disagreements. The Office of the Vice President Research and International may obtain assistance and advice from appropriately qualified persons with respect to any such matter. Where UBC Researchers are involved in a research project, no UBC Researcher can unilaterally withhold the right of others to Publish.

- 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~~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~~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~~contracts 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~~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 the third party is required to provide UBC with reasonable compensation for the provision of services, equipment or facilities;

5.3.4 ~~5.3.3~~ they do not include the participation of any students in their thesis related Research;

5.3.5 ~~5.3.4~~ the UBC Researcher(s) involved have confirmed that they do not wish to retain data or ~~publish~~Publish the results of the work undertaken; and

5.3.6 ~~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~~ meets the criteria of 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~~ in the Publication of their theses or for 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~~ contract, 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~~ Published without identifiable reference to the confidential data and that no limitations are placed on the ~~publication~~ 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. 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** Authority **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”)~~ the University Veterinarian. 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~~ The University Veterinarian oversees all veterinarians operating under the direction of UBC's Animal Care and Use Program ("UBC Veterinary Practitioners"). UBC Veterinary Practitioners 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 UBC 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.

Document comparison by Workshare Compare on Friday, March 11, 2016
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Document 2 ID	file://C:\Users\ylui\Desktop\Policy 87 - Mar 11 - Final.docx
Description	Policy 87 - Mar 11 - Final
Rendering set	Standard

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Moved cell	
Split/Merged cell	
Padding cell	

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Deletions	97
Moved from	13
Moved to	13
Style change	0
Format changed	0
Total changes	234

Summary of Substantive Comments and Policy Review Committee's Response

Proposed Revisions to Policy #87

Comment Category	Comment	Response
Right to Publish	<p>In Section 2.4 of the Policy and 5.1 Procedures the phrase “at the discretion of the researcher” could be interpreted to suggest researchers have the discretion to contractually agree to waive the right to publish and thereby conduct confidential research projects.</p>	<p>The committee agreed the phrase “at the discretion” could be interpreted in that fashion – although this was not the intention of the committee. Although in any particular case a researcher may decide, for academic reasons, not to publish, a researcher does not have the discretion to agree to keep research confidential in a contract. Maintaining absolute freedom to publish is critical for reasons of academic freedom and the independence and integrity of research done at UBC.</p> <p><u>Response:</u> Revised section 2.4 Policy (now section 2.3) and 5.1 Procedures to remove "at the discretion of" the UBC Researcher and to state the right must be maintained. Revised 2.4 of Policy to indicate right to publish must be maintained in all Funding Terms.</p>
	<p>Comment received enquiring how differences between researchers are resolved where a consensus cannot be reached among researchers with respect to publishing.</p>	<p>The existing Policy 87 contains an appeal mechanism to the Responsible Executive (Procedures 1.13.1). This was removed from the draft Policy as it was a procedure that had not been invoked in the memory of current administrators.</p> <p>The committee reconsidered whether some mechanism for dispute resolution would be appropriate. Committee members felt that the resolution of disputes regarding publishing should be resolved by the researchers themselves in accordance with academic tradition. There was also concern that any binding role played by the Responsible Executive would overlap and possibly interfere with, the obligations of the Responsible Executive regarding the conduct of investigations pursuant to Policy #85 (Scholarly Integrity).</p> <p>The committee did feel that the Office of the Responsible Executive could play a useful role in assisting researchers resolve their disputes, a role that the Office of the Responsible Executive has informally undertaken in the past.</p>

Comment Category	Comment	Response
		<p><u>Response:</u> Revised 5.1 Procedures such that Researchers may request the assistance of the office of the Responsible Executive to assist in resolving disputes regarding publishing.</p>
	<p>The term "fully publishable" is ambiguous as to right to freely disseminate.</p>	<p>The committee agreed that the right to "publish" is too narrowly focused on publication in scholarly journals and should be expanded to recognize there are other ways in which the results of research can be made public.</p> <p><u>Response:</u> An expanded definition of "Publish" and "Publication" was created in s. 1.4 Policy and used throughout the Policy and Procedures.</p>
<p>Definition of Research</p>	<p>Concern was raised that the definition of Research at s.1.8 Policy (specifically the exclusion for UBC's internal assessment purposes) might enable data initially produced for internal assessments, to be reused in research without application of the policy.</p>	<p>The committee agreed the Policy could be interpreted in this fashion, which was not the intent of the committee.</p> <p><u>Response:</u> Section 1.8 Policy (now section 1.5) was revised to clarify that secondary use of internal assessment data is research and subject to the Policy.</p>
	<p>The committee also reconsidered the definition of Research generally.</p>	<p>The committee determined that the portion of the definition previously found at section 1.8.2 Policy (now section 1.4) was too broad in that it would capture third parties doing research in space rented from UBC.</p> <p><u>Response:</u> Deleted section 1.8.2 of the Policy entirely.</p>
<p>Faculty Appointments</p>	<p>s. 4.1.2 Procedures defines clinical faculty as faculty term appointment without review which may not comply with collective agreement.</p>	<p>Part 4 section 2.02 of the Collective Agreement defines Term Appointments without review and incorporates Policy 42; which fully defines all faculty term appointments without review including clinical appointments.</p> <p><u>Response:</u> No change required.</p>
	<p>s. 4.1 Procedures - The Faculty Association has indicated that Librarians should have the same eligibility to hold research accounts as other continuing</p>	<p>It is quite rare for Librarians to do grant funded research. Library Administration in consultation with Faculty Relations recommended that Librarians obtain approval for Research Spending Authority from the University Librarian to ensure</p>

Comment Category	Comment	Response
	members of the Faculty Association.	the Policy and other University procedures are followed. <u>Response:</u> No change.
	s. 4.1.1 Procedures does not allow Emeritus faculty from other institutions to hold funds in research accounts at UBC.	The Policy only addresses eligibility for research spending authority for UBC researchers. <u>Response:</u> No change.
	s. 4.1 Procedures - Should Partner faculty appointments from the Faculty of Medicine be recognized as eligible to hold research accounts?	The Faculty of Medicine and the Faculty of Pharmaceutical Sciences have designated certain faculty as “Partner” appointments. The characteristics of these faculty members are different in each faculty. In the Faculty of Medicine they fall within the designation of honorary appointments and in the Faculty of Pharmaceutical Sciences they fall within the designation of clinical appointments. The eligibility for research spending responsibility is addressed in section 4.1 Procedures depending on which classification they fall into. <u>Response:</u> Section 4.1.2 Procedures revised for clarity and to expressly add Honorary appointments.
Research Accounts	s.4.12 Procedures implies every \$100 donation needs a separate account.	The committee agreed that the language in section 4.12 Procedures could be interpreted in that fashion. The general rule is that funds cannot be placed in the same account unless they are subject to the same funding terms. However there are exceptions to that rule as well. After much deliberation the committee determined that the rules regarding mingling of funds are too complicated to summarize in the Policy and has amended section 4.12 Procedures accordingly. <u>Response:</u> Revise section 4.12 Procedures to only permit placing funds from different sources in the same account when permitted by the financial policies and procedures of UBC.
Personal Contracts	Concern was expressed that s. 3.3 of the Procedures would mean no UBC resources (e.g. computers or library resources) could be used for work that leads to a personal contract for publishing scholarly works,	The conduct of research and the creation of scholarly works in which the results of such research are communicated are distinct from the act of entering into publication contracts with journal publishers. The use of UBC resources for UBC research and the creation of scholarly works is perfectly legitimate. Under UBC Policy 81, faculty members are the first owners of copyright

Comment Category	Comment	Response
	since such contracts are personal contracts.	<p>in their scholarly writing and accordingly may enter personal contracts to have such scholarly works published. UBC resources may not be used to support the creation of such personal contracts. (For example, UBC legal cannot advise on such contracts and UBC would not defend an action in which a faculty member is alleged to have breached such a personal contract.)</p> <p><u>Response:</u> No change.</p>
Fee for Service Contracts	s. 5.3 Procedures enables relinquishment of academic freedom for a price.	<p>It is common practice at UBC and other research universities to contract with third parties for access to research facilities or expertise. Many funding agencies encourage or require this practice for research equipment as it is recognized that such equipment is a valuable resource that should not go underutilized when not being used for research. Section 5.3 Procedures reflects this practice and puts safeguards in place to ensure that research contracts are not mischaracterized as fee for service contracts. Recognizing the distinction between research and fee-for-service arrangements is key to UBC's commitment to ensuring that faculty members retain the freedom to publish the results of research.</p> <p><u>Response:</u> No change.</p>
	s. 5.3 Procedures - As fee-for-service contracts are not truly research, this should be dealt with outside the policy.	<p>The committee noted that this Policy is the best place to address this activity.</p> <p><u>Response:</u> No change.</p>
	The above comments caused the committee to focus further on section 5.3 Procedures.	<p><u>Response:</u> The committee recommended adding section 5.3.3 Procedures to stipulate that fee-for-service contracts should ensure UBC is reasonably compensated for the provision of services, equipment and facilities.</p>
Researcher Responsibilities	Scope of s. 1.4 Policy and 2.1 Procedures should explicitly capture all human resources obligations of researchers with respect to employment of staff etc. (e.g. collective agreements, employee handbooks).	<p>The committee agreed that researchers must adhere to applicable legal employment standards and the policies and procedures of UBC Human Resources.</p> <p><u>Response:</u> Section 1.4 (now 1.2) Policy has been revised to reference other requirements of UBC.</p> <p>Section 2.1.11 Procedures has been added to list compliance with employment standards and the</p>

Comment Category	Comment	Response
		policies and procedures of UBC Human Resources as an obligation of researchers.
	The Faculty Association has requested that Section 2.1 of the Procedures be revised to state the obligation of UBC to indemnify researchers from actions that arise from their research activity provided they acted in good faith, within the course of their duties, etc.	<p>The scope of the proposed policy is to set out the internal obligations of UBC Researchers and the administration. Discussing UBC's obligations regarding third party liability is outside the appropriate scope of the proposed policy. Section 1.2 of the Policy (which is now the equivalent of former section 2.1 of the Procedures) has been amended to clarify the responsibilities of researchers in the policy are to UBC.</p> <p><u>Response:</u> Revise s.1.2 Policy to clarify the policy sets out obligations of researchers to UBC.</p>
	Policy should clarify when UBC insurance would cover researchers - particularly for clinical trials.	<p>The scope of the proposed policy is to set out the internal obligations of UBC researchers and the administration. Insurance for 3rd party liability is outside the appropriate scope of the proposed policy. Furthermore, the scope and nature of UBC's insurance coverage is subject to periodic change as UBC must negotiate coverage with its insurers at each policy renewal.</p> <p><u>Response:</u> No change.</p>
	s.2.1.9 Procedures references "regulatory framework" which is too vague.	<p>The provision referenced is intended to be broad as the researcher is best suited to determining the relevant regulatory framework that applies to their research.</p> <p><u>Response:</u> No change.</p>
Academic freedom	The Faculty Association believes the reference in ss.1.1 and 1.2 Policy conflict with the definition of academic freedom in its Collective Agreement. Their position is the only definition of academic freedom that governs their members is in their Collective Agreement. They recommend including in the Policy the definition of Academic Freedom in the Faculty Collective Agreement.	<p>The University does not agree that the scope of academic freedom of members of the Faculty Association is defined solely in their Collective Agreement. However, upon reflection, the committee determined that academic freedom is comprehensively described in other UBC documents targeted specifically at the topic and that it was neither necessary nor desirable to duplicate such language, in whole or in part, in this Policy</p> <p><u>Response:</u> remove both sections entirely.</p>
Directives	The Faculty Association is concerned that Directives shift authority over regulation of	Most management processes at UBC are created and administered by management rather than the Board of Governors. The Board's role is to

Comment Category	Comment	Response
	<p>research activities from the Board to other UBC offices avoiding the Board consultative processes. They believe faculty need to be consulted on such directives. They enquired how directives would be communicated and what type of consultation and appeal processes will apply to directives.</p>	<p>establish overall policy rather than to manage day-to-day processes. Nonetheless, in response to this comment, the Policy has been clarified to explicitly require that Directives not be inconsistent with the Policy or Procedures and also to require consultation with the primary UBC constituencies impacted by Directives, which will usually include faculty.</p> <p>Directives would be communicated to the UBC community in the same fashion as updated Policies and Procedures. Implementation of procedures at UBC is managerial decision and is not subject to an appeal process. Similarly it would be inappropriate for there to be an appeal process for individuals who object to new or amended Directives.</p> <p><u>Response:</u> s.1.3 Procedures revised to specify that Directives must not be inconsistent with the Policy or Procedures and that consultation will include representation of the primary UBC constituencies impacted by the Directive.</p>
<p>Research Funds</p>	<p>The Faculty Association indicated that the references to research funds being held in trust should not be removed from the Policy. The Policy should state that research funds are held in trust using language similar to section 1.4 of the current policy.</p>	<p>While some of the research funds held by UBC are subject to charitable purpose trusts, much of the research funding that UBC receives is pursuant to research contracts (which are distinct from trusts). When funds are held in trust, they are not held in trust for researchers, they are held in trust for a specified charitable purpose – the research project. The proposed policy does not impede the University from holding funds in trust when a donor does elect to establish trust terms.</p> <p><u>Response:</u> No change</p>
	<p>The Faculty Association indicated that the Policy should state that Research Funds are held ‘in trust’ by the University and cannot be moved between accounts without consent of the researcher.</p>	<p>As noted above, trust funds are not held in trust for researchers.</p> <p>UBC is responsible to funders regarding the use of funds and must retain the ability to move and otherwise manage funds in accordance with the terms governing the use of these funds. UBC delegates to researchers the responsibility for authorizing legitimate research expenditures to be charged against UBC research accounts. Heads of</p>

Comment Category	Comment	Response
		<p>Departments also have this delegated authority. Where researchers do not carry out this responsibility properly, a Department Head or other authorized individual may act and, in extreme cases, UBC may revoke the authority that it has delegated to a researcher.</p> <p><u>Response:</u> No change.</p>
	<p>s.2.3 Policy is too restrictive as some funding agencies do not require UBC to own everything purchased with funding.</p>	<p><u>Response:</u> Revise s.2.3 Policy to clarify that unless otherwise directed by UBC in accordance with the funding terms, ownership rests with UBC.</p>
	<p>The reference in s. 4.5 Procedures to receiving research funds “directly” is unclear.</p>	<p><u>Response:</u> Revise s.4.5 Procedures for clarification.</p>
	<p>s.4.8 Procedures does not allow for authorized payments being made by the researcher directly (e.g. small child care payments etc.).</p>	<p>The provision referenced only requires that the processes of UBC Financial Operations to be followed. These processes do allow direct payment by researchers and their reimbursement for certain expenses.</p> <p><u>Response:</u> No change.</p>
<p>Applications</p>	<p>s.3.1 Procedures should refer specifically to the current RPIF form.</p>	<p>The intent of the proposed Policy is to accommodate the updating of administrative processes such as the use of a particular form.</p> <p><u>Response:</u> No change.</p>
	<p>s. 5.3 Procedures - Some applications are completed entirely online, thus researchers cannot comply with requirement to provide a ‘properly signed application package’.</p>	<p><u>Response:</u> Procedures s 3.1 has been revised to require UBC approval rather than explicitly requiring a signature.</p>
	<p>Policy should clearly stipulate those eligible to apply for funding.</p>	<p>Section 3.1 Procedures sets out that every application for external research funding must be approved by the Responsible Executive or his/her delegate in accordance with applicable processes and procedures of ORS and the UILO.</p> <p><u>Response:</u> No change.</p>

Comment Category	Comment	Response
	Policy should state ORS turn-around time for application processing and direction for researcher if times not met.	This level of detail is not appropriate for Policies and Procedures and is better communicated outside of policy. <u>Response:</u> No change.
Indirect Costs	s.3.6 Procedures should include a link to current indirect cost information.	<u>Response:</u> Revise 3.6 Procedures to direct to VPRI website.
	Process for setting indirect costs is unclear.	This is outside the scope of the Policy. However consultations for the most recent procedures on indirect costs were done by a task force that engaged in consultations with numerous groups including UBC's grant facilitators network, 6 focus group meetings for faculty across all disciplines, Deans, presentations to Heads/Directors and the UBC Executive. <u>Response:</u> No change.
Format / terminology	s. 2.1.3 Procedures ACC & UBC Gap should be defined at outset of Policy.	There is no perfect way to deal with definitions. The committee previously considered a lengthy definition section at the outset of the Policy but felt it made the Policy hard to read. <u>Response:</u> Pointer language added to section 2.1.3 Procedures referring to section where they are defined (section 6.1 Procedures) Definitions only used in Procedures moved to Procedures.
	2.1.6 Procedures contains grammatical error.	<u>Response:</u> Revised 2.1.6 Procedures.
	ss.2.2.1-2.2.5 Procedures should identify specific offices.	The sections identified are intended to be summary sections. Further, the intent of the proposed Policy is to accommodate institutional growth, administrative development, restructuring etc. <u>Response:</u> No change.
	Definition of "Contract" should be added at s.3.2 Procedures.	It is not possible to provide a comprehensive description of contracts in the Policy. The law as to what constitutes a contract is too complex. Units can ask the Office of the University Counsel for direction if unsure.

Comment Category	Comment	Response
		<p><u>Response:</u> Revise 3.2 Procedures for clarity. For consistency, "contract" also replaced any instances where synonyms had previously appeared in the Policy and Procedures.</p>
	<p>Meaning of 'legally bound' at s.4.2 Procedures is unclear.</p>	<p>See comment above as well. If any units are uncertain if an individual meets this requirement they can consult the Office of the University Counsel.</p> <p><u>Response:</u> No change.</p>
	<p>s. 4.8 Procedures - Payment and Procurement Services has a new name.</p>	<p><u>Response:</u> All references updated.</p>
	<p>s. 5.6.4 Procedures, s. 5.1.11 Policy – Definition of University Veterinarian and the undefined university veterinarians is confusing.</p>	<p><u>Response:</u> Definition of UBC Veterinary Practitioners added at 6.4 Procedures to clarify distinction.</p>
<p>Safety</p>	<p>s.2.1.4 Procedures should require that funding for safety requirements be part of the application.</p>	<p>This would fall under the requirements and processes maintained by Office of Research Services which are already addressed in 3.1 Procedures. This is not something that needs to be specifically itemized in the Policy.</p> <p><u>Response:</u> No change.</p>
	<p>Comment made about s 4.8 Procedures and the reference to unincorporated independent contractors. The comment does not request any revision but instead draws attention to potential employment law related liability.</p>	<p>The comment is not accurate.</p> <p><u>Response:</u> No change.</p>
	<p>Committee considered that Policy #7 University Safety was not listed as a related policy.</p>	<p><u>Response:</u> Policy #7 added as related policy.</p>
<p>Honoraria</p>	<p>A comment was provided, in relation to s.4.11.2 Procedures (dealing with honoraria) warning that volunteers can be found to be employees to whom employment standards legislation applies.</p>	<p>The comment addresses a situation that is not applicable to how honoraria are utilized at UBC.</p> <p><u>Response:</u> No change.</p>

Comment Category	Comment	Response
Additional Considerations of Committee		<p>Section 2.1 Policy was repetitive of 3.2 Procedures.</p> <p><u>Response:</u> Delete 2.1 Policy.</p> <p>Section 2.1 of Procedures was repetitive of section 2.3 of Policy.</p> <p><u>Response:</u> Remove duplication from Section 2.1 Procedures.</p>