

## Research Contracts Overview

January 2024

Industry and Partnership Services (IPS) is a unit of the Office of the Vice-President (Research and International) (OVPRI). IPS facilitates and manages collaboration between the University's researchers and various partners, including companies, government departments, other universities, and community partners. IPS seeks to assist Carleton researchers and external organizations with all aspects of developing effective research relationships, with the goal of strengthening University research programs and helping external partners to meet their research and development needs.

### Current Team Membership



**Theresa White**  
Manager, Innovation Transfer,  
Contracts & Agreements



**Chris Lannon**  
Director, Industry  
& Partnership Services



**Sandra Crocker**  
Associate Vice-President  
(Strategic Initiatives &  
Operations)



**Jenna Pepper**  
Manager, Research  
Contracts & Agreements



**Julia Aguiar**  
Research Contracts &  
Agreements Specialist



**Alisha Seguin**  
Research Contracts  
& Agreements Officer



**Asli Eran**  
Research Contracts  
& Agreements Officer



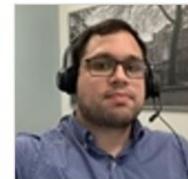
**Jaclyn Chandler**  
Partnership  
Officer



**Deanna Perrin**  
Administrative Research  
Assistant



**Nicki Ghosh**  
Research  
Administrator



**Gabriel Pires**  
ARISE Administrator

### Why Research Contracts?

Research contracts are an alternative to grant funding that many faculty members find appealing. Through research contracts with industry and other partners, researchers can gain access to facilities, technology, a wide network to share research results, long-term partnerships, and collaboration with other researchers and professionals. Research contracts, however, can be quite different from grants; a basic understanding of research contracts is recommended ahead of submitting a proposal to a funding call.

### CU Research Metrics

In 2021 Carleton saw a 300% increase in corporate partnership research income, the highest in Canada.<sup>1</sup> In 2022, our research enterprise reported an unprecedented 79% gain in sponsored research revenue since 2017, placing us second in growth among Canada's comprehensive and medical universities, and 48.6% increase in corporate research income growth that year.<sup>2</sup>

<sup>1</sup> [Carleton University Research Review 2021](#)

<sup>2</sup> [Carleton University Research Review 2022](#)

## Total Research Contract Funding by Faculty (2022)

Faculty	Sum of Awarded Amount (Cash)
Faculty of Arts and Social Sciences	\$2,005,083
School of Business (Sprott)	\$416,650
Faculty of Engineering and Design	\$14,607,597
Faculty of Public Affairs	\$5,097,490
Faculty of Science	\$8,067,498
Grand Total	\$30,194,317

\*incl. leveraging

## Major Differences Between a Research Grant and a Research Contract

Grant	Contract
<ul style="list-style-type: none"><li>- Results are not passed on to the sponsor however reporting may still be required.</li><li>- Payments provided in advance and the funding is not attached to any specific outcome.</li><li>- No detailed budget required by sponsor.</li></ul>	<ul style="list-style-type: none"><li>- Detailed statement of work with outcomes and deliverables.</li><li>- Timeline, budget, and payment schedule that is based on deliverables.</li><li>- Typically involves discussions on confidentiality, intellectual property ownership, liability, warranty, and indemnity</li><li>- Terms for acceptance or termination of the project.</li></ul>

## Expense Reimbursement Versus Fixed Price Contracts

1. Expense reimbursement – CU will need to document (report) for each expense, possibly including timesheets.
2. Fixed Price Contract – CU will be paid this amount at the conclusion of the work. If the work can be done more cheaply, you are able to retain the difference; similarly, if you have underbudgeted, you will not receive additional funding.

## Key Elements of a Contract

- Budget
- Ownership/Intellectual Property
- Statement of Work
- Reporting obligations
- Liability, insurance, termination, indemnity
- Signature page (must be signed by Carleton signing authority)

## Who Does What at Carleton (Research Contracts)

### Role of the Researcher (with Faculty Research Facilitator)

## Statement of Work

Outlines the work being provided, project deliverables, the project timeline such as where and when tasks will be completed.

## Budget Creation

- Salaries (faculty, students, research associates, etc.).
- Equipment purchase and user fees.
- Materials.
- Budget items may be subject to HST.
- Be aware of stacking limits. A stacking limit establishes a maximum level of total Canadian government funding that is permitted to be used for a project's costs. Other funding sources will need to be used to cover the remaining project costs.
- In-Kind commitments (see in-kind section).
- [Indirect costs policy](#)
  - Does not currently apply to leveraged funding such as NSERC Alliance, OCI, and Mitacs Accelerate (to incentivize applications to these programs).
  - Standard rate is 20%.
  - Applies to funds transfer coming in from other institutions.

## CUResearch and Ethics Clearance

- The CUResearch OVPRI Approval Form (also referred to as checklist) serves as a file that will detail a number of project conditions such as Research Ethics Board clearance requirements, security clearance, space requirements, and other internal commitments. This information is then used by university administration to support the project (e.g., contracts and fund opening).
- Details on this process is provided [here](#).
- Details regarding ethics submissions can be found [here](#).

## In-Kind Commitment Form

- Details in-kind contributions over the duration of the project; as the funding is contingent on these in-kind commitments, we must have confidence in our ability to deliver so we are able to satisfy the terms of the contract.
- This should be completed and signed prior to proposal submission or contract signature with the assistance of the Faculty Research Facilitators.
- University signatories will sign off as appropriate to validate the in-kind that can be used (e.g., researcher hours or scholarships). Signatories of the form vary in accordance with the type of in-kind used. The facilitators can assist with procuring the appropriate signatures (e.g., department).

## Agreement Acknowledgement Form

- This is provided to researchers by IPS before contract signature to confirm that they agree to and understand the terms and conditions of the agreement before signature. It includes all relevant university policies that researchers should be made aware of, including the indirect costs policy.
- Acknowledgement forms are also required for students and other team members working on the project. It is crucial that researchers speak with IPS and their team members to ensure that they understand the terms of the agreement, particularly with regards to the intellectual property arrangements.

## Reporting Requirements

- Specific to the individual research contract.

- Track all applicable documentation to help Research Financial Services facilitate the reporting (e.g., keeping copies of receipts if applicable and tracking hours).

#### **Role of the Industry and Partnership Services team**

- Identifying and negotiating with potential partners.
- Identifying the type of contract that is required.
- Participating in the development of project budgets and research plans.
- Arranging appropriate financing options, such as leveraging public funding with industry capital and expertise (Note – can't leverage funding when HST has been applied for a service).
- Authorized to review and negotiate research-related agreements on behalf of Carleton.
- Providing advice regarding the management of intellectual property.
- Provide education surrounding the terms of the contract and answering any questions that arise from the research team.
- Facilitating Carleton's authorized signature. Note: As outlined in [Carleton Signing Authorities Policy](#), researchers are not authorized to sign contracts, agreements, or proposals on behalf of Carleton.

#### **IPS Contact Information**

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<https://carleton.ca/ips/contact/>