

Policy Name:	Externally Sponsored and Internally Restricted Research Fund Creation and Amendments
Originating/Responsible Department:	Vice-President (Research and International)
Approval Authority:	Senior Management Committee
Date of Original Policy:	January 2003
Last Updated:	September 2020
Mandatory Revision Date:	September 2025
Contact:	Vice-President (Research and International) or Designate

Purpose

This policy specifies the requirements for the creation of funds for Externally Sponsored and Internally Restricted Research, and subsequent amendments.

Definitions

Externally Sponsored Research Funds: a grant, contract or other arrangement formalizing the transfer of money from a sponsor to carry out research with the intent to either provide a public purpose or a direct benefit to the sponsor.

Internally Restricted Research (IRR) Fund: internal awards, including Start-Up funding, residual balances from research contracts, distribution of indirect costs, research awards from Department/Faculty are deposited into your IRR fund for research-related expenses.

Policy

1. Creation of Externally Sponsored and Internally Restricted Research Funds

a) Externally Sponsored Research Funds

Requests for Externally Sponsored Research Funds must be accompanied by appropriate documentation and be authorized by the Vice-President (Research and International) or his/her designate, in accordance with the Carleton University Signing Authorities Policy. Based on the requirements of the sponsor, appropriate documentation can comprise a fully-executed agreement and includes a budget. In cases where the sponsor does not require a formal agreement and does not impose any funding conditions nor financial reporting requirements, VPRI will request a proposal and budget from the PI in order for Research Financial Services to establish a research fund.

b) Internally Restricted Research Funds

Requests for Internally Restricted Research Funds generally must be accompanied by a proposal and a budget, and be authorized by the Vice-President (Research and International) or his/her designate. New Internally restricted research funds will be assigned a unique Fund number.

Exceptions

- a) Start-up funds, and general research funds, such as indirect costs disbursements
- b) Scholarship of Teaching and Learning (SoTL) Grants are administered and authorized by the Office of the Associate Vice-President (Teaching and Learning).

2. Amendments to Externally Sponsored and Internally Restricted Research Funds

Amendments to the agreement and/or budget of Externally Sponsored and Internally Restricted Research Funds must be authorized by the Vice-President (Research and International) or her/his designate, in accordance with the Carleton University Signing Authorities Policy.

3. Fund Owners

The fund owner must be a faculty member or hold an honorary rank at Carleton which allows them to apply for external grants according to the policies on Honorary and Affiliated Ranks at Carleton University and Appointments in Residence at Carleton University.

Post-Doctoral Fellows who have independently been awarded research funding may, exceptionally, hold a fund in their name, at the discretion of the Vice-President (Research and International) or her/his designate.

Exceptions

Any exceptions to this policy must be approved by the Vice-President (Research and International) or her/his designate.

Contacts

[Vice-President \(Research and International\)](#)

Links to related Policies

[Signing Authorities Policy](#)

[Responsible Conduct of Research](#)

[Indirect Costs of Research](#)

[Honorary and Affiliated Ranks at Carleton University](#)

[Appointments In-Residence at Carleton University](#)