Policy Name: Research and External Support 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: May 2015
Mandatory Revision Date: April 2020
Contact: Vice-President (Research and International) or Designate

Policy:
The creation of all Research and External Support Funds and subsequent amendments must be authorized by the Vice-President (Research and International) or her/his designate and must conform to the Carleton University Signing Authority Policy.

Creation of Research and External Support Funds:
Externally Restricted Research Funds
Requests for Externally Restricted Research Funds must be accompanied by a fully executed agreement including a budget, and be submitted for authorization by the Vice-President (Research and International) or his/her designate. Once the Vice-President (Research and International) has given approval, as per the signing authority policy, Accounting Services will assign a Fund Number and allocate responsibility for the fund to a Research Account Administrator.

Internally Restricted Research Funds
Internally restricted research funds include start-up funding, conferences (when there is no external agency funding), all awards under the Research Development Plan, research support from VP/Deans/Chairs and general funds for overhead income and residual balances. Requests for Internally Restricted and Externally Restricted Research Funds generally must be accompanied by a proposal and a budget, and be submitted for authorization by the Vice-President (Research and International) or his/her designate. Once the Vice-President (Research and International) has given approval, as per the signing authority policy, Accounting Services will assign a Fund Number and allocate responsibility for the fund to a Research Account Administrator. The exceptions to this are conference funds and general research funds, such as overhead income, which do not require a proposal or budget. All internally restricted research funds must be used for research support purposes only.
Research Achievement Awards Funds
Requests for Research Achievement Awards Funds must be accompanied by a fully executed agreement, and will be submitted for authorization by the Vice-President (Research and International), or his/her designate. The Department Head and/or Faculty Dean must recommend these awards. A budget is not required. Once the Vice-President (Research and International) or designate has given approval, Accounting Services will assign a Fund Number and allocate responsibility for the fund to a Research Account Administrator.

Start-up Funds
The Director, Carleton University Research Office (CURO), will submit requests for Start-up Funds for authorization. These awards are given after a priori approval, in writing, by the appropriate Faculty Dean, and the Vice-President (Research and International). A research proposal and budget are not required. Once the Director, CURO has given approval Accounting Services will assign a Fund Number and allocate responsibility for the fund to a Research Account Administrator.

Amendments to Research and External Support Funds:
Amendments to the agreement and/or budget of Research and External Support Funds must be authorized by the Vice-President (Research and International) or her/his designate and forwarded to Accounting Services.

Purpose:
The objective of this policy is to provide a process for creating and amending the University’s Research and External Support Funds.

Scope:
This policy applies to all faculty and staff.

Procedure:
Exceptions to the Research Fund Creation and Amendments Policy: Funds to support undergraduate courses are not included in this policy. Any exceptions to this policy must be approved by the Vice-President (Research and International).

Contacts:
Vice-President (Research and International)

Links to related Policies:
Carleton University Signing Authority Policy

Responsible Conduct of Research:

Indirect Costs of Research