

Title of Policy:	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 2025
Mandatory Revision Date:	September 2030
Contact:	Vice-President (Research and International) or Designate

Purpose

The purpose of this policy is to establish clear and consistent guidelines for the creation and amendment of research funds at Carleton University. It ensures that externally sponsored and internally restricted research funds are created, and modified in accordance with institutional policies, sponsor requirements, and applicable regulations. The policy supports transparency, accountability, and compliance in the administration of research funding, thereby enabling researchers to effectively pursue scholarly activities while safeguarding the integrity of financial and ethical standards.

Scope

This policy applies to all research-related funds established at Carleton University, including both externally sponsored and internally restricted research funds. It governs the procedures for the creation, and amendment of these funds, ensuring compliance with institutional policies and external sponsor requirements.

Definitions

Externally Sponsored Research Funds: Funds provided through a grant, contract, or other formal agreement with an external sponsor to support research activities. These arrangements are established to serve public purpose or to deliver a direct benefit to the sponsor.

Internally Restricted Research (IRR) Fund: Internal awards – such as start-Up funding, residual balances from research contracts, distribution of indirect costs and research awards from Department or Faculty - are deposited into an IRR fund to support research-related expenses.

Principal Investigator or Fund Holders:

The individual that has primary responsibility for the design, execution and oversight of a research project, and for the management and stewardship of the funds to support it.

Externally sponsored fund holders must be tenure-track research faculty members or individuals holding an honorary rank at Carleton that grants eligibility to apply for externally sponsored research funding, in accordance with *Honorary and Affiliated Ranks at Carleton University and Appointments In-Residence at Carleton University* policies.

Post-Doctoral Fellows who have independently been awarded research funding may, exceptionally, be permitted to hold a fund in their name, at the discretion of the VPRI or their designate.

Non-tenure track faculty members may, exceptionally, be permitted to hold an internally restricted research fund in their name, at the discretion of the VPRI or their designate.

Procedures

1. Creation of Externally Sponsored and Internally Restricted Research Funds

a) Externally Sponsored Research Funds

Requests for Externally Sponsored Research Funds must include appropriate documentation and be authorized by the Vice-President (Research and International) (VPRI) or their designate. All requests must comply with the Carleton University Signing Authorities Policy, and follow relevant procedures established by Research Financial Services.

If the sponsor does not require a formal agreement, impose funding conditions, or request financial reporting, the VPRI will request a proposal and budget from the Principal Investigator (PI) to enable Research Financial Services to open a research fund.

Appropriate documentation may include a Notice of Award (NOA), a fully executed agreement or a contract. Prior to opening a fund, the following must be submitted to VPRI:

- A complete copy of the proposal (including an approved budget);
- A completed and fully executed CUResearch Approval form (“checklist”); and
- All required certifications (e.g., for human ethics, animal care, biohazards, etc.).

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 VPRI or their designate. All proposal must be accompanied by any required certifications (e.g., human ethics, animal care, biohazards, etc.)

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 VPRI or their designate, in accordance with the Carleton University Signing Authorities Policy.

Roles and Responsibilities

Vice-President Research (or their designate): is responsible for the review of all external research fund requests for compliance with this policy and all other applicable University Policies prior to authorizing the establishment of a new research account.

Principal Investigator or Fund Holder: is responsible for ensuring that all requests for new funds are submitted with complete and accurate appropriate documentation as described in section a)., The certifications and compliance certificates must be obtained prior to the start of any research requiring them. Fund Holders must also adhere to any applicable legislative requirements and Carleton University's policies and guidelines.

Research Financial Services: is responsible for establishing the research fund in accordance with the funding agreement and the approved documentation. This includes setting up the fund based on the approved budget, assigning and communicating the fund number to the fund holder.

Exceptions

Any exceptions to this policy must be approved by the VPRI or their designate.

Contacts

Vice-President (Research and International)

Associate Vice-President (Strategic Initiatives and Operations)

Links to related Policies

Appointments In-Residence at Carleton University

Honorary and Affiliated Ranks at Carleton University

Indirect Costs of Research

Responsible Conduct of Research

Signing Authorities Policy