



POLICY GUIDELINES RELEVANT TO RESEARCHERS AT THE UNIVERSITY OF WINNIPEG

The University of Winnipeg, Office of the Vice-President, Research and Innovation, has created the Policy Guidelines Relevant to Researchers at The University of Winnipeg document to aid researchers in the management of external research funding. These guidelines represent an important and tangible element in the accountability of both the University and the Researcher. The guidelines complement The University of Winnipeg's policies and procedures, which define the roles and responsibilities of the Researcher.

The University:

The University is responsible for the development and oversight of policies related to the conduct of research. The University is responsible for:

1. Establishing and implementing appropriate research policies and procedures to ensure (as per policies listed on page two of this document):
 - a. The ability to comply with the regulations of the research granting body;
 - b. The proper management of research funds;
 - c. Accountability to the granting body and other stakeholders external to The University of Winnipeg; and
 - d. The effective conduct of research activities in accordance with the highest standards of professionalism, ethics, accountability, and financial management.
2. Providing the physical and organizational infrastructure in which research can take place. This infrastructure allows the Researcher to meet requirements, manage funds, and interact with the granting body.
3. Providing the Researcher with effective and timely administrative support, financial information, and guidance with both University and granting body policies.
4. Acknowledging the Researcher's overall responsibility for the management of his or her research project.
5. Authorizing **all** grants, contracts, and amendments (i.e., all sponsored research) via the Vice-President, Research and Innovation. Authorization represents The University of Winnipeg's support of the research project. (*The University of Winnipeg Act*, s. 12(2))

Note: A Researcher is **not an authorized signatory** of The University of Winnipeg.
6. Informing the granting body of any changes in status of the Researcher and of any problems arising as a result of the use of the research funds.

The Researcher:

The Researcher is responsible for conducting his or her research project and for the administration of all allocated research funds. In particular, the Researcher is responsible for:

1. Ensuring funds are spent on the project they were awarded for and are eligible costs in accordance with the terms of the grant or contract; complying with all granting body policies and procedures.
2. Complying with all relevant University of Winnipeg policies and procedures in the expenditure of the grant or contract, including, but not limited to:
 - a. *Integrity in Research and Scholarship Policy*
<http://www.uwinnipeg.ca/index/admin-policies-toc>
 - b. *Research Manual: Policies and Procedures*
<https://www.uwinnipeg.ca/research/>
 - c. *Human Resources Thinking of Hiring a Research Assistant*
<https://www.uwinnipeg.ca/hr/class-specs.html>
 - d. *Financial Services Travel Policy*
<http://www.uwinnipeg.ca/index/admin-policies-toc>
 - e. *Purchasing Policy*
<http://www.uwinnipeg.ca/index/admin-policies-toc>
 - f. *Contract Administration Policy*
<http://www.uwinnipeg.ca/index/admin-policies-toc>
 - g. *University Animal Care Committee Policies and Procedures*
<http://www.uwinnipeg.ca/index/admin-policies-toc>
 - h. *University Human Research Ethics Board Policies and Procedures*
<http://uwinnipeg.ca/research/human-ethics.html>
3. Carefully reviewing, correcting, and approving for submission all financial reports prepared by Financial Services as required by the granting body.
4. Initiating and approving all requests for purchases, transactions, supplies, services, and remuneration and submitting them to Financial Services for review, confirmation, and execution.
5. Ensuring that all non-financial reports (progress, final reports, and deliverables, etc.) required by research granting bodies are submitted in a timely manner to ensure that the University receives the committed funds.
6. All interactions with the granting body related to the technical aspects of the research project. Researchers should, when needed, request clarification of the granting body's rules and regulations, contractual terms, and conditions from the Research Office or Financial Services.
7. Supervising all research conducted by their students and research staff and ensuring that all students and research staff are aware of and abide by University policies and procedures.
8. Notifying the Research Office of any changes to the research project, ethics, funding, and status.
9. Ensuring constant and accurate knowledge of the research funds by regularly reviewing and ensuring the accuracy of the general ledger statements issued by Financial Services.
10. Accounting for all deficits incurred resulting from overspending not approved by the Research Office. (*Research Manual: Policies and Procedures*)