

University of Prince Edward Island		Version: No. 1
Procedure:	Sponsored Research and Research Contracts Standard Operating Procedures	
Associated Policy:	Sponsored Research and Research Contracts Policy	
Effective Date:	June 17, 2024	
Authority:	Vice President, Academic and Research Vice President, Administration and Finance	
Responsibility	Associate Vice President of Research Comptroller	

1. Research Contracts Approval Process

1.1. When to start the development of a research contract or sponsored research

Principal Investigators (PIs) are advised to contact the Office of Research Services (ORS) or the Office of Commercialization, Industry, and Innovation (OCII) for external partner collaborations that include not-for-profit and industry, early, to initiate contracts or proposals and before any negotiations begin with a partner organization.

1.2. Guidelines for Sponsored Research and Research Contracts application submission.

Once a contract or application for sponsored research is drafted, it is entered by the PI into the UPEI Researcher Portal:

- For new contracts and sponsored research, the application form is initiated. Any contracts issued after a project proposal should be entered as an event.

Applications should be submitted well in advance of the anticipated research start date. When submitting an application to an external funding agency, please ensure that you follow the dates outlined in the internal review and signature process for grant applications. Standard review for applications to external funding agencies requires a minimum of one week in advance. Applications with more complex requirements must be submitted a minimum of 2 weeks in advance.

2. Sponsored Research and Research Contracts Approvals

2.1. Sponsored Research Applications (“grants”)

Sponsored research applications include all Tri-agency funding applications and other “grant” applications for funding requests. Routing of Sponsored research applications occur within the UPEI Researcher Portal and approval process includes:

- 2.1.1. Submission by Researcher.
- 2.1.2. Approval by Chair, if applicable, and Dean.
- 2.1.3. Approval by Research Grants Coordinator, except for Mitacs, which is approved by OCII.
- 2.1.4. Approval by Associate Vice President Research (AVPR) and, if required, Vice President Academic and Research (VPAR) (based on delegation of signing authority).
- 2.1.5. Submission to Funder.

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- 2.1.6. If notice of funding is received, review by the Research Compliance Coordinator is required. If a contract is part of the award, the Contracts section 2.2 will apply, and section 2.3 may apply.

2.2. Research Contracts Applications

Per the policy, Research Contracts include all legally binding agreements that govern any research activity the University undertakes with a Sponsor in pursuing its research objectives and overall Strategic Research Plan. Routing of Sponsored research applications occurs within the UPEI Researcher Portal, and approval process includes, at a minimum (see also section 2.3 for exceptions):

- 2.2.1. Submission by Researcher.
- 2.2.2. Approval by Chair, if applicable, and Dean.
- 2.2.3. Approval by ORS team: Research Contracts Officer, Research Compliance Coordinator, and Manager of Research Services.
- 2.2.4. Approval by AVPR.
- 2.2.5. Approval by Signing Authority(ies), as required per Signing Authority Policy and approved Delegation of Signing Authority.
- 2.2.6. Approval by Sponsor.
- 2.2.7. Account Opening (after compliance certificates are issued) - See Biosafety Policy, Research Ethics Board Policy and Animal Care Committee Policy.

2.3. Exceptions for Routing of Research Contracts Applications

In certain conditions and dependent on the terms and conditions within the Research Contract, approvals in addition to Section 2.2 are required and may include:

- 2.3.1. Review by OCII for all partnered research contracts.
- 2.3.2. Review by the Biosafety Officer, if requested by the Research Compliance Coordinator.
- 2.3.3. Review by Privacy Officer for jurisdictions outside Canada.
- 2.3.4. Approval by Human Resources for Fee for Service Agreements.
- 2.3.5. Approval by the Faculty Association for contracts not aligning with the Collective Agreement.
- 2.3.6. If approval is not attained as required, ORS and AVPR will collect and review any concerns with the contract by approvers (for any approval from Sections 2.2 and 2.3). If problematic terms can be managed by a risk management or other plan, then ORS works with the PI to develop an appropriate plan for subsequent review/approval. If problematic areas remain unacceptable, ORS/AVPR negotiates revisions to the contract with the external partner.

3. Distribution of Indirect Costs

Indirect Costs will normally be charged at a rate of 25% of the total direct costs of the Sponsored Research unless 1) the Sponsor has a formal written policy where their maximum allowable indirect costs are less than 25% of total direct costs, or 2) a different amount is approved by the VPAR or AVPR. The distribution of funds received in payment of research indirect costs will be as follows:

3.1. Main Campus:

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- Central Distribution: 50% to Office of VPAR. This equates to the first 12.5% of the direct costs, but it will not exceed 12.5%.
- Local Distribution: 50% to the Indirect Cost Account of the Faculty of the PI(s). This normally equates to the next 12.5% of the direct costs. Each faculty has a defined distribution process for their revenue, which allows the PI to receive some of these funds to support research-related activities. The PI share is generally 30% of the Faculty share.
 - For indirect costs that are less than 25%, the full VPAR share will be dispersed (12.5% of the direct costs) to the office of VPAR first, and any remaining indirect costs will be dispersed to the Faculty.
 - For indirect costs that exceed 25%, the excess above 12.5% will be disbursed to the Faculty.

3.2. Atlantic Veterinary College (AVC):

- For AVC research contracts and grants, all indirect funds remain within the Faculty of Veterinary Medicine for distribution in accordance with the Faculty’s policy.

3.3. Indirect Costs Reporting - Main Campus:

The AVPR will prepare an annual statement of Indirect costs received for the Office of VPAR. The revenue allocated to the Office of VPAR will be used to offset research costs associated with the administration of contracts and grants and to provide seed money to stimulate and enhance innovative research activities across the University, and to address other emerging research needs.

4. Administration of Research Contract and Sponsored Research Files

All research contracts and sponsored research will be stored in a secure, online database within the UPEI Researcher Portal.