Research + Industry Office Handbook

A SNAPSHOT OF RIO PROCESSES AT ECU
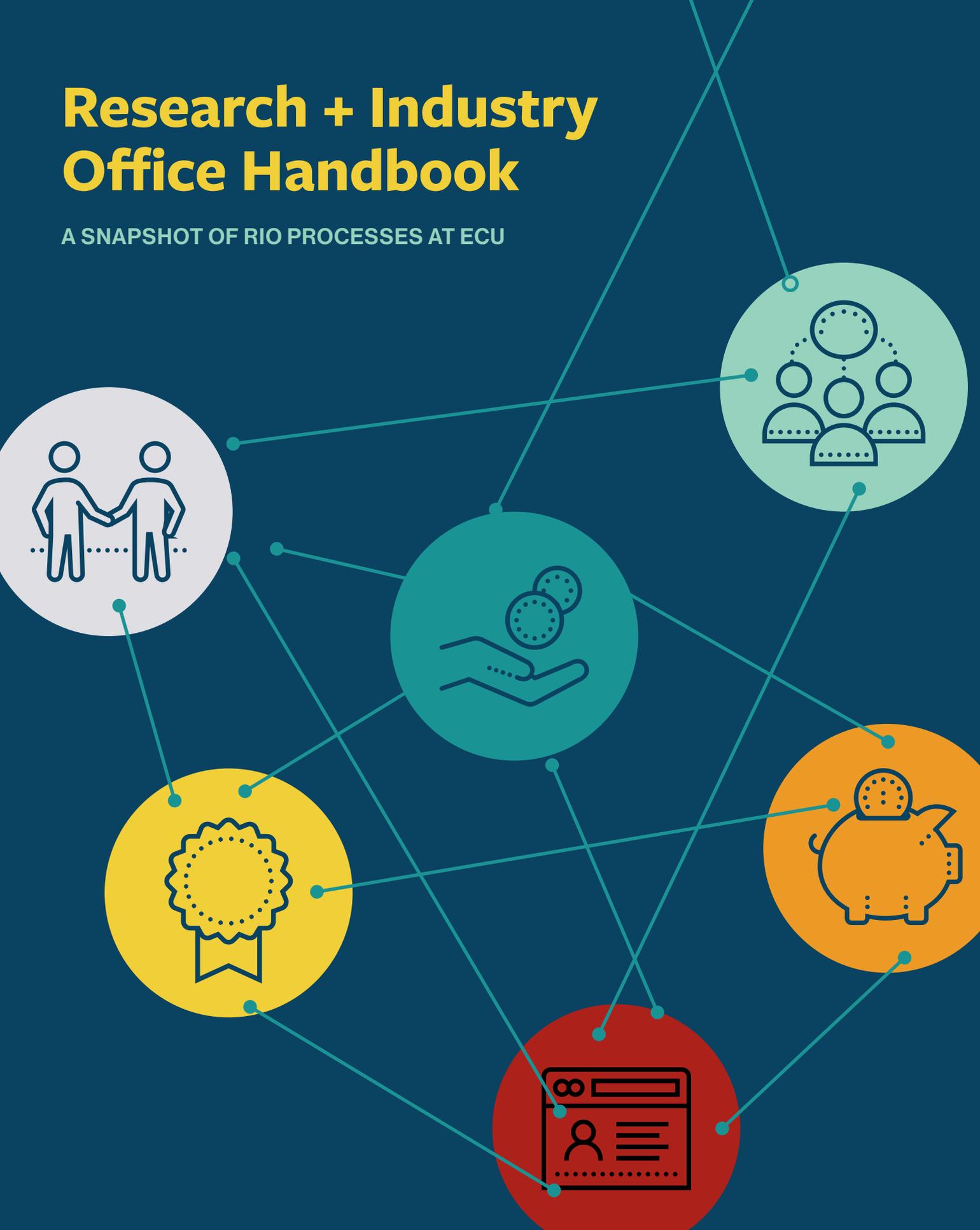
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Introduction

THE RESEARCH + INDUSTRY OFFICE

The Emily Carr University Research + Industry Office (RIO) supports and oversees all research activity at Emily Carr University. Our team are experts in our respective areas, and you can come to us for assistance with:

▷ Identifying funding opportunities for researchers

▷ Supporting researchers in their project development

▷ Supporting researchers in developing grant proposals

▷ Submission of grant proposals

▷ Assistance in using funds/managing your grant

▷ Research ethics and other regulations

▷ Industry partnerships – intellectual property and other legal support

▷ Intellectual property/commercialization

▷ Answering any questions you might have regarding your research projects

DID YOU KNOW?

The Research + Industry Office (RIO), Research Centres, and other research groups and clusters on campus regularly hold events where you can meet colleagues and learn of current projects and initiatives. For more information, visit the RIO website or watch our newsletter for opportunities.
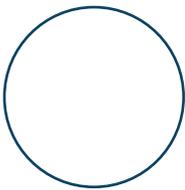
CONTACTS

Steven Lam
Associate Vice-President Research
stevenlam@ecuad.ca | Tel: 778-879-7591

Steven provides administrative oversight of research at Emily Carr University and leadership for the Research + Industry Office. If you are thinking about a research project, are preparing a grant proposal, have been contacted by a potential project partner, need to negotiate/develop a research contract, or wish to discuss your ideas for Research at Emily Carr, contact Steven.

Angeles Hernandez Correa
Executive Assistant to Associate Vice-President Research
ahernandezcorrea@ecuad.ca | Tel: 604-630-4564

Contact Angeles with general inquiries for the Research + Industry Office, for assistance with the Romeo research management system, and to schedule meetings with the Director.

Leanne Rooney
Research Finance Analyst
lrooney@ecuad.ca | Tel: 604-630-4580

Once grants have been awarded and contracts/agreements are in place, Leanne works with you to ensure your funds are managed in accordance with federal and provincial legislation, any terms of research agreements, and Emily Carr's Finance standards. She can provide you with tools and advice for better managing your research budget, and using your funds.

Lois Klassen
Coordinator, Research Ethics
ethics@ecuad.ca | Tel: 604-844-3800, ext 2848

When your research project involves human participants, you must receive certification from Emily Carr University's Research Ethics Board before beginning work. The Research Ethics Board Coordinators are here to assist you with your application, and to support the Research Ethics Board in reviewing applications for ethics approval.

Alan Goldman
Industry Liaison
agoldman@ecuad.ca | Tel: 604-630-4572

Contact Alan if you are interested in industry partnerships.

SUPPORT SERVICES

▷ **Events |** The Research + Industry Office offers information sessions on major grants, and sponsors visiting speakers on research-related topics when opportunities arise. RIO also sponsors networking and other research-related events for researchers, faculty, and students interested to discuss their research projects and looking for possible partnering opportunities.

▷ **One-on-one consultations |** Any researcher thinking of submitting a research proposal for either external or internal funding can contact the RIO to discuss their plans and find out how the RIO can support them.

▷ **Grant writing/Proposal Review |** The Research + Industry Office is here to support you in the development of your research grant proposals – through discussion of your ideas and funding opportunities, strategy for developing your research program, review and feedback on grant proposals, and providing access to peer review.

RESOURCES

▷ **Grant proposal samples |** The RIO has samples of successful grant proposals that we can share with applicants.

▷ **Presentation materials |** Copies of our workshops as well as SSHRC webinars which are available to researchers.

▷ **Budgeting/In-Kind notes |** The RIO has developed a document which will be provided to Researchers when developing their project budgets′ to help estimate costs for your project budget such as RA salary scales and actual costs, and estimates for common in-kind contributions.

▷ **Research News |** The Research + Industry Office produces a monthly newsletter to share research news, up- coming competitions, and other information with the research community.

TAB 1 Grants

?

Letters of Support:
Does your proposal need a letter of support? If so, contact us as early as possible in the process and we will work with you to draft a letter and obtain signatures.

!

Pre-Approval Deadline:
2 weeks before funder deadline

SUBMITTING YOUR PROPOSAL

All applications for research funds must have the University's approval (this includes all grants, and research partnerships. If you are unsure, please contact us). Research funds are held by Emily Carr University who oversees all compliance issues and administers the research funds as per the funding agencies' requirements.

While there can be a lot of variety in the structure of different funds, our basic procedures are simple.

Find Grant or other funds

1

Find a source of funds that makes sense for your project (you can meet with the research office for guidance or to discuss your ideas)
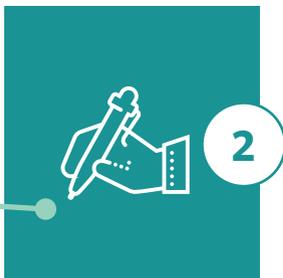
Work on Grant Proposal

2

The Research + Industry Office can help you to develop your grant proposal through one-on-one coaching/editing assistance, providing resources, organizing peer review. It is important to contact us early in the process to get the greatest benefit from these services. Many services might not be available too near the deadline.

Complete research project form by pre-approval deadline

3

You must notify the RIO a minimum of two weeks before the funding deadline of your plans to apply for a grant. To do this you must have completed a Research Project Form and upload a proposal draft in the grants management system, ROMEO. If you are unsure of a deadline or how to use ROMEO, contact the RIO for more information.

Institutional Preliminary Review

4

Upon receipt of your draft proposal and Research Project Form we will initiate an institutional review.

Final Approval Deadline:
2 business days before funder deadline

SUBMITTING YOUR PROPOSAL (CONT.)

5

Submit Proposal by Final Approval Deadline

All applications for funding must be received by the RIO by the Final Approval Deadline (2 business days before the funder deadline).

6

Final Institutional Review and Approval

When we receive the application, we give it a final review and provide institutional approval.

7

Submission of Grant to Funding Agency

Once final institutional approval has been confirmed, the RIO will submit your grant to the funding agency or will notify you that you may submit the grant. Different agencies have different processes – if you are not sure how to proceed, contact the RIO for more information.

8

Get Results

When a funding decision has been made, the RIO will be notified by the Funding Agency. We will then notify you, and upload all documents to ROMEO. You may now make arrangements to access your funds.

TAB 2

Working with
External Partners

WORKING WITH INDUSTRY/COMMUNITY PARTNERS

Through your research you may connect with Industry or Community groups who wish to partner on research either through providing a grant/funding, providing access to resources/research materials, or co-applying for funding. All research partnership agreements must be negotiated and managed through the Research + Industry Office.

1

Connect with an external partner*

Solidify your project plans with your partner, however involve the RIO as early in the process as possible. We will be able to help you to structure your partnership so that it runs as smoothly as possible from the start.

2

Request Legal Support

All partnered projects will require some kind of legal agreement to lay out questions of funding, management, and Intellectual Property, etc. Complete and submit a Request for legal support form in ROMEO.

3

RIO Review*

The Research and Industry Office will review your request and work with you to determine next steps.

! The development of a research agreement can take days to weeks and, occasionally, over a month (depending upon how responsive the partner is, what their expectations are, how those expectations align with our requirements (e.g. To protect students' rights to publish), and whether we need to consult external legal counsel. While we will work as quickly as possible, you should allow a minimum of 2 weeks for negotiation, drafting and obtaining signatures for an agreement – and longer if possible. Projects cannot begin until agreements are complete and signed.

4
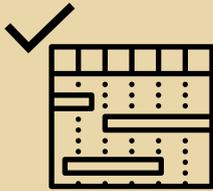
Finalize Research Work Plan, Timeline, Budget, and Project Overhead

The RIO will provide templates for these documents.

5

Draft Research Agreement

The RIO will work with you to develop a draft agreement that meets the needs of your project.

6

Negotiate Agreement and Arrange Signatures

The RIO will negotiate the terms with the partner and arrange signatures. A final copy of the agreement will be uploaded to ROMEO for your information.

*

Research Agreements:

The RIO is responsible for negotiating, arranging, and signatures for all research related agreements at Emily Carr University. Contact us as early as possible in the partnering process so that we can help make the process go as smoothly as possible.

Sometimes partners will wish to provide their own agreements. In this case, the Research + Industry Office will review the agreement, discuss with you, negotiate terms with the partner, and obtain institutional signatures for the agreement.
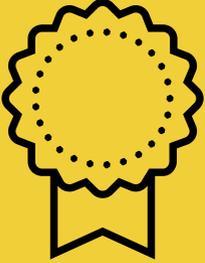
TAB 3

Grants: Your application has been successful

YOUR APPLICATION HAS BEEN SUCCESSFUL

Important things to consider

The University through the Research + Industry Office manages the research funds on behalf of the funding agencies and is responsible for ensuring that all research activities are conducted in compliance with legislated requirements, follow funder's policies and procedures, and confirm all requirements specific to a particular grant or award are met.

Notify RIO that you have received a Notice of Award and upload a copy to your Romeo file.*

The Research + Industry Office must keep on file a notice of award including terms and conditions. These documents must be uploaded to ROMEO file.

*

Emily Carr researchers that are co-applicants in successful applications must notify RIO and follow these procedures too if they are expecting to receive research funds.

Compliance and Certifications

"Before starting working on your project and spending your grant, certifications must be in place"

HUMAN ETHICS

Emily Carr University promotes a high standard of ethics and integrity in research and scholarship. All university-affiliated research and scholarship involving human participants requires review and approval of the University's Research Ethics Board.

"I need to apply for human ethics"

1. Contact the Research Ethics Board coordinators to discuss your project and check the Risk and Review Tool to determine the level of Ethics review your project needs.

2. Submit your Application for Human Research Ethics in ROMEO.

CONFLICT OF INTEREST

If conflict of interest has been declared, the Director, Research Administration + Operations reviews and prepares communication to researcher using the communications tab in ROMEO regarding process to manage conflict.

ANIMAL CARE / BIOHAZARDS

!

Agency requirements and current legislation apply to the conduct of research involving animals, biohazard materials, the environment, etc. You need to be aware of these requirements and can find more information by consulting the Tri-Agency Framework: Responsible Conduct of Research available in the Panel of Responsible Conduct of Research website: www.rcr.ethics.gc.ca

C / D – ANIMAL CARE / BIOHAZARD (CONT.)

If research involves animals and biohazard..... RIO is not certified to do it.

Researchers must comply with all applicable agency requirements and legislation for the conduct of research (Tri-Agency Framework: Responsible Conduct of Research – 2016), including, but not limited to:

- ▷ 2nd edition of Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans (TCPS 2);
- ▷ Canadian Council on Animal Care Policies and Guidelines;
- ▷ Agency policies related to the Canadian Environmental Assessment Act;
- ▷ Licenses for research in the field;
- ▷ Laboratory Biosafety Guidelines;
- ▷ Controlled Goods Program;
- ▷ Canadian Nuclear Safety Commission (CNSC) Regulations; and
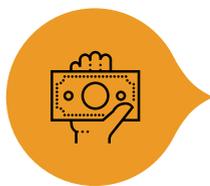- ▷ Canada's Food and Drugs Act.
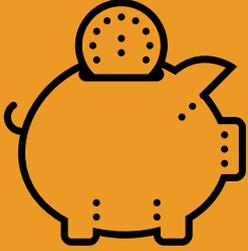
TAB 4

Using your Funds
(Managing your award)

USING YOUR FUNDS (MANAGING YOUR AWARD)

Set up your account

After compliance and certifications are in place, the Research Financial Analyst initiates the creation of a fund 25 account and meets with researcher to provide relevant information.

Request partial release of funds

While compliance and certifications are in process, you can access research funds for activities that do not need review. You can request access to funds by submitting the Request for Early Release of funds in Romeo.

Inter-institutional Transfer of Funds

When you need to transfer funds to a co-investigator in an external institution or you are receiving funds from another institution, you need to have a transfer of research funds agreement. Contact RIO to get the process started by submitting the Request for Legal Support form in Romeo. *RIO drafts transfer agreements and liaises with you and the partners to process the required transfer of funds.*

Submit expenses

All charges to a research accounts must be authorized by the researcher and have the approval of the AVP, Research.

1 Fill in a payment voucher with your expense(s) and attached receipt and proof of payment. **Important:** please follow ECUAD Finance Department instructions for submission of vouchers.

2 Submit your voucher and related documentation to the Research Financial Analyst

3 The Research Financial Analyst reviews expenses for eligibility and Emily Carr's finance regulations before submitting them for processing. If something is missing, the Research Financial Analyst will contact you.

Hiring students & other research staff

After compliance and certifications are in place, the Research Financial Analyst initiates the creation of a fund 25 account and meets with researcher to provide relevant information.

1 **Researcher identifies an individual, completes applicable forms, and submits to Research Finance for approval.** NOTE: employers are required to maintain the confidentiality of individuals' Social Insurance Numbers and other personal information. As the supervisor, you are the only individual who should have access to this information and it should be kept in a manner that respects and maintains privacy of the employee until it has been delivered to Research Finance.

2 **Research Finance reviews forms and submits to Human Resources for processing.** NOTE: This is an administrative review where the hiring request is reviewed against funding eligibility requirements, available funds, status of the project, etc. and is part of the oversight required by our funding eligibility.

3 **Human Resources confirms employment situation is in accordance with all legal regulations in Canada**, eg: Hire has a valid study permit/work permit that allows for employment in the country, hire has submitted all payroll information required to process payment.

4 **Only after the hiring process has been completed, the individual initiates work.**

USING YOUR FUNDS (MANAGING YOUR AWARD) (CONT.)

Hiring contractors/specialists

If you need work done by an external contractor, consultant or specialist, you must have an agreement in place before any work starts. No payment will be processed without an executed agreement on file. Please check process to request legal support in TAB 2 and contact RIO.

The consultant submits invoices based on the agreed fees established in the agreement. The researcher submits the expense following usual procedure (refer to point 4.4)

Travel expenses

The researcher can authorize eligible travel expenses for their research personnel following the standard procedures (See point 4.4); however, when the travel expenses are incurred by the grantee, the following process must be observed:

1 — **Researcher submits travel proposal to the Research + Industry Office**

2 — **The Research + Industry Office contacts the corresponding faculty Dean to confirm relevance of travel to research project.**

3 — **Once Dean confirms relevance, Researcher proceeds with travel arrangements.**

4 — **Researcher submits expenses as per usual standard procedures (see section 4.4–Submitting expenses).**