

About this guide...This research guide was developed in order to facilitate research. It aims to demystify research administration by providing researchers at Trent University with information about research services, policies, procedures and project management. It is intended to assist researchers from project conception to proposal/partnership development through award finalization and interim/final reporting. All members of the Trent research community are encouraged to make use of this information, be they faculty members, graduate students, visiting scholars, post-doctoral fellows or research associates. However, please be advised that the world of research changes quickly and often. Consequently, when you have a project in mind or a research administration question, do not hesitate to contact personnel in the Office of Research for assistance or most current information. Please also note that this guide will be available on the website of the Office of research, with electronic updates made as information becomes available to us.

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Welcome

Welcome to the Office of Research

Research Mandate: The Office of Research (OR) supports the University community in its mission to “advance learning through the creative interaction of teaching and research of the highest quality.” Responsible for the achievement of Trent’s research goals and objectives, the OR works in cooperation with other departments to implement the University’s strategic research plan. In particular, OR works with local, regional, national and international members of the research community to promote and steward:

- excellence in research (peer-reviewed, high caliber, with national and international recognition);
- a diversity of research (across the full range of scholarly disciplines at Trent, and of either a basic or applied nature);
- an emphasis on interdisciplinary research (with cooperation between members of different departments/programs/disciplines/centres/institutes);
- responsible provision of resources for research (infrastructure, staff, space, etc.);
- the involvement of students in research, and training of highly qualified personnel;
- open, accountable research practices (honest, ethical, and open to public scrutiny)

Services Provided

- **Institutional liaison** with external research agencies, public and private sector partners, provincial and federal granting agencies;
- **Grant Administration**, including preparation, review, internal adjudication (if applicable), institutional authorization, support & signatures, establishing research accounts, invoicing, financial reporting and audit, disbursement of funds to collaborators, press releases and communication notices;
- **Information** for granting and funding opportunities, including distribution of calls for proposals and negotiation of contracts and award agreements;
- **Links** to other internal departments and external agencies to negotiate support of researchers and research programs;
- **Represent the research community** at provincial and national levels to advocate for support of research;
- **Oversee** Tri-Council policies;
- **Protect** intellectual property of researchers and the institution;
- **Facilitate** technology transfer of intellectual property to private and public sectors

Staff Directory

Reporting to the Vice-President Academic, the Office of Research operates under the direction of the Associate Vice President Research. The office is located in Gzowski College, Suite 344.

Associate Vice President Research	Dr. James Parker jparker@trentu.ca	748-1011 ext. 7935
Coordinator, Research	Cathy Smith cjsmith@trentu.ca	748-1011 ext. 7496
Research Project Manager	Craig Rigby craigrigby@trentu.ca	748-1011 ext. 7674
Administrative Assistant to the AVP Research	Karen Mauro kmauro@trentu.ca	748-1011 ext. 7050
FAX (Office of Research)		(705)748-1587
Web Site	http://www.trentu.ca/research	
Mailing Address:	Suite 322, Gzowski College 1600 West Bank Drive Trent University Peterborough, Ontario K9J 7B8	

Our colleagues in Financial Services and Human Resources also play a crucial role in the research enterprise. For research account inquires please contact:

NSERC/SSHRC/CIHR Internal Awards/Grants	Brock Maschke brockmaschke@trentu.ca	748-1011 ext. 1697
Contracts/Matching Programs OCE/NCE/MRI/CFI	Karen Johnson kajohnson@trentu.ca	748-1011 ext. 5367
Research Personnel and Payroll Inquires	Pauline Johnston pjohnston@trentu.ca	748-1011 ext. 1301

Who to contact?

The following information provides an overview of the positions in the Office of Research and their primary duties as they relate to research at Trent University:

Associate Vice President, Research: The Associate Vice President, Research is responsible for Trent University's research enterprise. The Associate Vice President represents the research community at the senior administrative level and maintains membership in related provincial and federal associations such as the Canadian Association of Research Administrators and the Ontario Council on University Research. The Associate Vice President is charged with the responsibility of both short and long range planning for the unit, including all issues related to funding, human resources, physical plant, policy and procedure development, and certifications. Responsible for all institutional reporting, the Associate Vice President maintains records of Trent University's research activity as well as reports on such things as innovation, training of high quality personnel, and all issues related to Trent's research capacity, including the strategic research plan. The AVP Research oversees establishment of Senate recognized centres and institutes and their operations. The Associate Vice President chairs the Research Policy Committee.

Coordinator, Research : The Coordinator of the Office of Research is responsible for the day-to-day operation of the unit. The Coordinator provides oversight for all financial accounts related to research. The Coordinator maintains statistics and manages the research database for the University. Providing information regarding granting opportunities and support with applications are key functions of the Coordinator. Applications for Ethical Reviews and adjudication of internal grant awards are managed the by the Coordinator. The Coordinator is responsible for grant and contact administration with respect to funding opportunities, including application, negotiation, award agreements, establishment of research accounts, invoicing and institutional reporting. The Coordinator is responsible for issues related to integrity of research, certifications and ensuring that research projects comply with signed contractual agreements. The Coordinator serves as the liaison to the major granting councils and is responsible for the submission of nominations for to the Canada Research Chair Secretariat, the Royal Society of Canada, the Killam Foundation, etc. Information on institutional resources for Post Doctoral Fellows and Visiting Scholars can also be accessed through the Coordinator. The Coordinator submits reports to SSHRC, NSERC, CIHR, the Canada Research Chairs Secretariat, the Indirect Costs of Research Program, the Canada Foundation for Innovation, the National Ethics Board, the Research Performance Fund, and the Maclean's Report.

Research Project Manager: The Research Project Manager is responsible for the ongoing administration of grants requiring third-party matching funds (e.g. CFI, MRI, ERA, and OCE). The Research Project Manager assists in the implementation of research awards and contracts by supporting the negotiation process, purchasing, invoicing, financial and reporting requirements established in research agreements. The Research Project Manager works collaboratively with the Finance Office regarding administration of research accounts. The Research Project Manager assists in the interpretation of the terms and conditions of contracts and grants.

Administrative Assistant to the AVP Research: The Administrative Assistant to the AVP Research is responsible for directing inquiries related to research at Trent to the appropriate personnel. The Administrative Assistant to the AVP Research provides information about internal deadlines, application procedures and internal award administration. The Administrative Assistant to the AVP Research receives and records all applications for Ethical Reviews and grant applications submitted to the Office of Research. The Administrative Assistant to the AVP Research is responsible for scheduling meetings and appointments for the AVP Research. The Administrative Assistant to the AVP coordinates the NSERC USRA Program for undergraduate students. The Assistant to the AVP coordinates all search committees for the Canada Research Chair Program and other Chair opportunities as they arise.

Research & Restricted Funds Account Assistants: The Research and Restricted Funds Account Assistants work collaboratively between the Office of Research Studies and Financial Services. Reporting to the Manager of Accounting, the Research and Restricted Fund Account Assistants manage the day-to-day transactions in research accounts including processing of expense reimbursements, entering purchasing orders, crediting funds to accounts, exacting transfers between accounts, responding to inquiries about financial statements, and preparation of financial reports. The Research and Restricted Funds Account Assistants also respond to inquiries and requests for more information by external auditors.

Research Committees

A number of committees reporting to Senate have been established to aid in supporting research at Trent University. They are as follows:

Research Policy Committee: The Research Policy Committee is a standing committee of Senate. This committee reports to Senate through the Associate Vice President, Research (Chair of the committee). The terms of reference for the Research Policy Committee are:

- To develop and recommend policies and procedures to Senate on all aspects of research (e.g. strategic research plans);
- To receive reports from its sub-committees on the disbursement of research funds, matters concerning research with human subjects, and recommendations for the Distinguished Research Award;
- To staff the standing Research Ethics Appeals Board as necessary to hear appeals from decisions of the Research Ethics Board, in accordance with the Tri-Council Policy Statement on “Ethical Conduct for Research Involving Human Subjects”

Natural Sciences Committee on Research: The Natural Sciences Committee on Research is a standing sub-committee of the Research Policy Committee, reporting to the Research Policy Committee and the Associate Vice President, Research. The terms of reference for this sub-committee are:

- To disburse funds for research in the natural sciences on behalf of the Research Committee;
- To report on the disbursement of such funds to the Research Committee and the Associate Vice President Research

SSHRC Committee on Research: The SSHRC Committee on Research is a standing sub-committee of the Research Policy Committee, reporting to the Research Policy Committee and the Associate Vice President, Research. The terms of reference for this sub-committee are:

- To disburse funds for research in the social sciences and the humanities on behalf of the Research Committee
- To report on the disbursement of such funds to the Research Committee and the Associate Vice President, Research

Distinguished Research Award Sub-Committee: The Distinguished Research Award Sub-Committee is a standing sub-committee of the Research Policy Committee, reporting to the Research Policy Committee and the Associate Vice President, Research. The terms of reference for this sub-committee are:

- To recommend to the Research Policy Committee an annual winner of the Distinguished Research Award as outlined in the procedures and criteria for selection.

Research Ethics Board: The Research Ethics Board and the Research Ethics Appeals Committee are required to operate in an autonomous fashion. Therefore the Research Ethics Board in an independent Board of the Research Policy Committee. The terms of reference for the Board are:

- The Research Ethics Board will operate in accordance with the Tri Council Policy Statement of “Ethical Conduct for Research Involving Humans”
- All research conducted under the auspices of Trent University, by faculty, staff or graduate students, funded or unfunded, that involves human subjects requires approval in advance from the REB. Research with human subjects at Trent University, but conducted by others, also requires approval. Proposals for undergraduate student research with human subjects shall be reviewed by the departments/programs involved in accordance with criteria approved by the REB
- The REB shall review proposals by members of Trent University, and others who conduct research with human subjects at Trent , to determine compliance with the Tri-Council Policy Statement. The REB may approve, reject, propose modifications to or terminate any proposed or on-going research involving human subjects which is conducted within, or by members of, Trent University, using the considerations set forth in the Tri Council Policy Statement as the minimum standard
- In cases where researchers and the REB cannot reach agreement through discussions and reconsideration, an appeal against a decision of the Research Ethics Board may be directed to the Research Ethics Appeal Board
- The REB acts in an advisory capacity to the Research Policy Committee, the Associate Vice President Research, and to members of the University conducting research with human subjects on all matters of research involving human subjects at Trent University and other related matters of ethics in research

Research Ethics Appeals Board:

The Research Ethics Appeals Board is an independent Board of the Research Policy Committee that convenes in the case of an appeal. The terms of reference for the Research Ethics Appeals Board are:

- To provide an independent appeal process in the case of an appeal from a decision of the Research Ethics Board
- Decisions of the Research Ethics Appeals Board are final, subject to further procedures as may be provided through collective agreements

Intellectual Property & Copyright Committee:

The Intellectual Property & Copyright Committee is a sub-committee of Senate comprised of two representatives of the University and two representatives of the Trent University Faculty Association with the Coordinator, OR present ex officio. Its mandate is to:

- provide advice on intellectual property matters as are referred to the Committee.
- consider modifications or changes in the intellectual property and copyright articles of the University’s Collective Agreement with TUFA.
- mediate disputes arising out of intellectual property and copyright management.
- receive communications regarding any University contract with an intellectual property development agency.

Intellectual Property Management

The policies governing the management of intellectual property (e.g. inventions, copyright, software, teaching materials, logos) for faculty are covered by the collective agreement for the Trent University Faculty Association (TUFA). The intellectual property management (IPM) policies for other personnel at Trent (e.g. graduate students, staff, part-time faculty) are currently being negotiated. The Research Project Manager and the Coordinator in the ORGS can provide information on IPM policy and the resultant procedures.

The IPM policies in the TUFA collective agreement state that in cases of bilateral (faculty/Trent) negotiations where faculty have utilized Trent resources to develop intellectual property with commercial potential, the IP is owned by the creator(s), which includes the faculty members and could also include any students and staff that have worked on the project. Faculty developing IP as a result of grants from federal granting councils (e.g. NSERC, SSHRC, CIHR) are typically covered by these policies. According to the collective agreement, the faculty member is obliged to disclose to the university the development of any IP that has commercial potential. "Invention Disclosure" forms are available through the OR to aid in this process. All disclosures will be kept strictly confidential. Trent reserves the right to work with the creator(s) to develop the IP for commercialization and to share in any revenues from commercialization. Trent also reserves the right to choose to not participate in the commercialization of IP.

.According to the collective agreement, in cases where Trent faculty have been specifically contracted by the university to develop intellectual property, the IP is owned by the university. In cases where there are other partners involved in the development of intellectual property in addition to Trent University and Trent faculty (e.g. some granting agencies, public sector partners, private sector partners), the TUFA collective agreement states that all parties will enter into negotiation to determine ownership of IP and the sharing of revenues from the commercialization of IP. The responsibility of faculty to disclose to the university any IP which commercial potential is still in effect under these circumstances. Before signing any research grant application or contract, researchers should consult with the Research Project Manager Pre-Award of the OR to check on language governing IPM.

Liability:

Questions of liability are becoming increasingly important to universities, with regard to both training and research. Negotiations may be required to address liability issues for students and researchers sampling in public utilities, in company facilities or in the field. Specific training programs or medical checks may be required to mitigate liability under some circumstances (e.g. international research). Before negotiating any research grant application or contract, researchers should consult with the Research Project Manager to check on the language governing liability. Liability insurance is NOT in effect unless the AVP Research or senior member of the administration (e.g. President) authorizes the contract.

Sources of Research Funding

Research funding comes from a number of internal and external sources and takes a variety of forms (awards, scholarships, grants, contracts, charitable donations, in-kind contributions, fee-for-service, licensing, private investment). The Office of Research regularly receives news of funding opportunities. Bearing in mind the ongoing research activities of the institution, these are communicated in a number of ways:

- 1) The research website is updated daily to announce calls for proposals and applications for funding
- 2) Established funding programs and deadlines are posted on the website and outlined in the Research newsletter, published annually in the summer, fall and spring.
- 3) New funding opportunities advertised with short turn around times for creating applications/proposals are communicated via the faculty email distribution list (* Please note that the Office of Research maintains membership in the Ontario Council on University Research and the Canadian Association of University Research Administrators who regularly provide information and feedback about research in Canada) or are directed to faculty with responsibilities for liaison with granting agencies.
- 4) Funding materials directed to the Office of Research are forwarded to the appropriate Department Chairs and Directors of Institutes and Centres.

Please note, if you are trying to develop a research project or program in a new or specific area, contact the OR well in advance; in such instances relevant funding information can be sought on your behalf and/or directed to you

Internal Funding:

The Natural Sciences Committee on Research and the SSHRC Committee on Research have limited funds available to support research projects and programs. The number of applications received by the sub-committees for internal grant support usually well exceeds the funds available for disbursement in any given year. The terms of reference for internal grants are:

- Normally two competitions are held each year (fall and spring)
- Research awards tend to be amounts less than \$5,000 per project/investigator
- Internal research grants are awarded for a maximum term of 18 months
- Unexpended funds are returned to the sub-committees for distribution in future competitions
- Upon completion of the project or within 18 months, the research is required to report to the appropriate sub-committee on the use of funds
- Normally, researchers may only hold one internal grant award at a time.
- Administration of these grants complies with the Tri-Council Memorandum of Agreement governing the administration of research funding
- Because the granting councils provide internal research funds, the committees on research comply with the terms of eligibility to apply for a research grant as posted on the SSHRC and NSERC websites
- Application procedures, forms, and deadlines can be found on the research website: <http://www.trentu.ca/research/funding.php>

External Funding:

External support for research can occur as **funding in the form of grants, contracts, gifts and/or donations or as in-kind contributions (access to technical support, use/loan of equipment) or a combination of these.**

Grants: Trent University has enjoyed a long tradition of success in securing research grants. While many grants are awarded through the major granting councils, SSHRC, NSERC, and CIHR, other agencies do offer granting opportunities to faculty. By definition, research grants are defined as:

- support for research whether by individuals or as part of a collaborative effort (groups, research centres/institutes) investigating a specific subject area or field **without any formal detailed conditions/terms** as to the direction of the research program or project.
- the desired outcomes or objectives of the project are defined in general terms and are not articulated as specific deliverables.
- the grantor does not receive any specific transfer of the research findings or results of the project other than standard project and financial reports.
- principal investigators or co-investigators do not receive any direct or indirect remuneration.
- payment to the host institution is traditionally issued at the time of award in advance of project-related expenditures and is not linked to delivery of results.
- Intellectual property management patents and copyright are covered by the Trent University Faculty Association collective agreement, unless specifically negotiated a priori

Research Overhead

Trent University will participate in the COU policies for charging research overhead established in 2003. Specific policies for Trent are being developed, but overhead will be charged as follows:

- a) No overhead on grants provided by tri-council agencies (SSHRC, NSERC, CIHR), or on grants provided exclusively to provide a graduate stipend;
- b) No overhead on research funds provided by charitable foundations;
- c) Overhead at the rate of 25% for all other research grants;
- d) Overhead at the rate of 40% for all research contracts

Applying for a Grant

There are a number of important steps to follow when applying for grants. Please find below general guidelines for submitting a grant application (in the case of developing a proposal for submission to the Canada Foundation for Innovation, please see Appendix I): **Note that many grant applications are now submitted online, but there is often a requirement to also provide signed hardcopy.**

- 1) Grant applications are to be submitted by the University on behalf of researchers. Though some applications require the signature of the primary investigator all grants must be submitted to the OR in advance of the external deadline for review, appropriate signatures-signifying institutional support for the proposal, and submission by the institution. Internal deadlines also enable the OR to work with researchers to correct any proposal-related concerns that may arise. In this respect, researchers should adhere to the institutional deadline and be aware of the granting agency deadline. While it is helpful to know of your intention to submit a grant proposal from the outset (enabling OR to share information received about grant competitions with researchers as they unfold), at a minimum, the institution traditionally requires that all grant applications reach the Office of Research 10 working days prior to the external granting agency deadline for submission.
- 2) Review the procedures for submitting applications (number of copies, signatures, font, format) including eligibility requirements as outlined by the granting agency. With growing grant competitiveness, failing to complete forms and submit, on time and as instructed, gives the granting agency grounds for rejecting applications. * Please pay careful attention to requirements surrounding ethics, animal care and radiation safety, if applicable.
- 3) Attend any workshops, site visits or in the case of larger competitions project development meetings offered by the granting agencies or the institution to learn about the process of applying for a grant.
- 4) Complete the application forms, paying careful attention to the instructions of the granting agencies and the OR and providing information as requested. Please note that many programs offer on-line submission but it is often necessary to also submit paper copies.
- 5) Budgets requiring commitments from the University with respect to time release/hiring, physical resources and fundraising must be supported by the appropriate departments in advance of an application reaching the OR. The OR can help coordinate this negotiation process.
- 6) All applications should be checked for errors and omissions.
- 7) Researchers are responsible for securing departmental signatures only. The Office of Research will be responsible for securing the required institutional signature (usually the Associate Vice President Research and the President or a designate).

- 8) The correct number of copies of the application including any required supplementary materials (copies of publications, curriculum vitae, letters of reference, etc.) must be included at the time of submission the Office of Research.
- 9) Upon submission to the Office of Research, grant applications will be reviewed to ensure that they are complete and in good order. Incomplete applications will not be forwarded to the granting agencies.
- 10) While the Office of Research endeavors to support all grant applications, researchers failing to meet the internal deadlines for receipt of applications may face: a) institutional refusal to sign the application, b) the researcher assuming responsibility for securing institutional signatures and submitting the application directly to the granting agency.
- 11) As indicated earlier, grant proposals must to be submitted by the institution. As such, all applications should be submitted under a cover letter signed by a representative of the University, usually the Associate Vice President Research or a designate with a copy of the submission package kept on file in the OR.

Institutional Quotas and Moratorium : Grant programs sometimes issue application quotas or budget allocations to individual institutions or place a moratorium on research funding programs. Please notify the Office of Research of your intent to apply for a specific funding initiative in advance of preparing an application.

Research Contracts and Agreements

Research contracts and agreements are legal agreements negotiated between the University and an external party. Unlike grants, contracts and agreements provide financial support to conduct research in a particular subject area or field; **specific conditions and terms (relating to reporting, deliverables, timelines, intellectual property, liability, fiscal responsibilities) are usually applied.**

Contracts and agreements are generally characterized by the following:

- the scope and nature of the research is outlined and specific deliverables identified.
- time periods are established linking reporting with cost-recovery.
- receipt of funds requires invoicing following established payment schedules.
- intellectual property management (publishing, reporting, patents, licensing) communication of results, confidentiality and ownership of research results are negotiated in advance.
- terms governing use and/or association with the Trent University name.
- injury, damage and intellectual property liability, indemnification and insurance terms are established.
- acceptance, notification and termination clauses are present.
- institutional overheads. Overhead policies are currently being developed.

Preparing and Securing Research Contracts and Agreements: Researchers are encouraged to develop partnerships with external agencies. Should you wish to enter into a relationship with an external agency, begin by contacting the OR. The Research Project Manager can assist researchers by identifying potential partners, coordinating efforts around existing collaborations, support the development of partnerships, and negotiate and finalize agreements on behalf of the University.

Trent University already enjoys research relationships with a number of agencies. In some cases, individual projects can be administered through pre-existing agreements or previous contracts can be used as a template for facilitating additional research collaborations. In the absence of an existing contract/agreement, faculty must consult with the Office of Research.

In all events, research contracts are agreements between the University and an external party. For a research agreement to be valid, it must be signed by the Associate Vice President, Research or his/her designate. Agreements are generally also signed by the principal investigator and other participants in the project, especially in cases when an agreement impacts upon the rights of students/research associates. Contracts should be submitted to the Office of Research for review, particularly with respect to issues pertaining to liability, indemnification, insurance, intellectual property rights and management (including publication), confidentiality/disclosure, notices, termination, overhead, material transfer, site access and presentation for institutional and student/collaborator signature.

Be advised that best efforts are made to expedite the negotiation of research agreements but these are sometimes lengthy processes. Work pertaining to a research project should not be initiated until a proper contract has been finalized.

Gifts and Donations: Gifts and donations support both new and ongoing research projects. These are cash and/or in-kind contributions given to the University, department or an individual research program in the form of real estate or intellectual property, equipment or access to know-how/technical support. While gifts and donations are given in support of research they are given to Trent as a non-profit entity and can be recognized through tax receipts issued through the Development Office. Consequently, they should not influence or bind a research project nor should acceptance of these contributions involve any form of obligation with respect to research findings or results. Faculty members interested in receiving gifts and donations are required to contact the OR and the Development Office to manage the solicitation and administration of the contribution.
Overheads do not apply to gifts and donations.

Institutional Signatures:

All research grant applications, contracts, agreements, and award agreements must be signed either by the President or the Associate Vice President, Research. Individual researchers **are not authorized to sign on behalf of the institution**. However, individual researchers including student associates are sometimes required to also sign applications, contracts, agreements and award agreements to indicate that they will adhere to the policies and regulations of the granting agency and of Trent University.

The **Department Chair** can also be asked to sign a proposal or grant agreement. This signature traditionally means that adequate space and “normal” resources are present to allow the research program to be carried out. It also suggests that the researcher will have the time and departmental support required to complete the project. The endorsement of the department chair signals to the granting agency that the application is of high quality and is consistent with the standards of the department.

The President or Designate is traditionally the last signature to be applied to an application or contract/agreement for funding. This institutional signature signals to the granting agency that the faculty member is associated in a formal capacity with the institution; has access to facilities, time and space to carry out the research program; that the appropriate approvals with respect to ethics, animal care, etc. have been secured; that the institution will comply with the policies, procedures and guidelines of the granting agency; that the institution agrees to administer funds and provide reports as dictated by the granting agency.

Certifications and Approvals

As an eligible recipient of research funding from NSERC, SSHRC and CIHR, Trent is accountable as the steward of public funds, which it holds in trust for use by Grant Holders and Award Holders to support their research and/or research training. In maintaining its eligibility to administer agency funds, the University is responsible for implementing appropriate and effective policies, administrative systems and controls to ensure that research is conducted in compliance with all applicable legal, ethical, accountability, and financial management standards. Such standards apply to the use of human and animal subjects, environmental assessment, financial management, peer review and research integrity. For more information about the Memorandum of Understanding governing institutional research responsibilities visit:

<http://www.trentu.ca/research>

Use of Human Subjects: All researchers who wish to carry out research involving human subjects or participants must seek the approval of the Research Ethics Board well in advance of the research program. Investigators working with human subject must familiarize themselves with the Tri Council Policy Statement on Research on Human Subjects. The policy statement is located at the following website: <http://www.nserc.ca/programs/ethics/english/policy.htm>

Applications for ethical review can be downloaded from the research website:

<http://www.trentu.ca/research/resources.php>

Research projects longer than 12 months must submit updates to the Research Ethics Board regarding the continued use of human subjects.

The Office of Research will work in partnership with researchers collaborating with other agencies with ethical review protocols. In some cases, researchers will be required to submit applications to all parties connected with a research project.

Use of Radioisotopes or Vertebrate Animals

Submission of research proposals to NSERC and CIHR will require pre-approval if they involve use of radioisotopes or involve vertebrate animals in laboratory experiments and/or in field research. In any event, all research projects that involve radioisotopes or vertebrate animals must be approved before experimentation begins. The Animal Care Committee is administered through the Office of the Associate Dean of Science. Information on the committee activities and meeting dates can be obtained by contacting the Science Facilities Manger, Chris Williams (cwilliams@trentu.ca). Policies and procedures are available on www.trentu.ca/admin/sciencedean/animalcare. Permits to use radioisotopes must be approved through the Associate Dean of Science. Information on radioisotope permits and radiation safety training can be obtained by contacting the Science Facilities Manger, Chris Williams. Policies and procedures are available on www.trentu.ca/admin/sciencedean/radiation.

Biosafety Project Approval and Materials Registration Protocols:

Biosafety Project Approval and Materials Registration must be completed by each Principal Investigator holding a grant administered by Trent University or supervising a research project where the use of biohazardous infectious materials are described and used. This protocol must also be completed if animal work is proposed involving the use of biohazardous agents or animals carrying zoonotic agents infectious to humans or wildlife. Completed forms are to be sent to the Office of the V.P. Research for distribution to the Biosafety Committee. For questions regarding the completion of this form please contact the Biosafety Officer at ext 7061. Any changes to this form or to the projects described within must be completed and forwarded on to the Biosafety Committee for reassessment. Information on Biosafety at Trent can be accessed on the Web at www.trentu.ca/sciencedean .

Administration of Research Accounts

Opening a Research Account:

Internal Awards: Faculty who receive internal awards will automatically have their research accounts authorized and opened by the Office of Research. The Research and Restricted Funds Account Assistants will notify faculty of the name of the new account and the account number. Internal accounts will remain active for a total of 18-months from the award date. At the end of the 18-month granting period, the internal account will be closed and any unexpended funds returned to the appropriate sub-committee on research for allocation in future competitions. A report on the use of internal funds must be directed to the appropriate sub-committee on research at the end of the 18-month period. Faculty will not be eligible to apply in future internal competitions until such reports are received.

External Awards: the Office of Research will authorize Financial Services to establish a research account when the following documentation is in order:

- 1) A copy of the signed application/contract/agreement and the award notice
- 2) Documentation ensuring that sponsoring agencies policies for the award have been satisfied (only if applicable)
- 3) Complete budgets, milestones and cashflow schedules are finalized
- 4) All required certification requirements (Research Ethics, Animal Care, Biosafety) have been satisfied

Once an account has been authorized and opened, Financial Services will contact the researcher with the name and number of the new account.

General Policies Governing Research Accounts:

Single Source Accounts: Each research account is linked to a specific project. Only expenses and revenues associated with the project can be processed through the account. This is a requirement for audit and reporting.

Who can get a research account? All Trent University faculty and conjunct appointments who hold active research awards may request a research account. In rare instances, others holding honorary appointments may request a research account from the Office of Research.

Signing Authority: Normally, the researcher requesting the research account assumes responsibility for the account and is the only person authorized to make transactions. Should a researcher wish to assign signing privileges to another individual, he/she should contact the Office of Research.

Change in Status: Should the researcher's status with Trent University change, the researcher must notify the Office of Research. The Office of Research can arrange for transfer of existing external awards and for final reporting on research funds. If the researcher is carrying an approved overdraft, this must be cleared by the time of departure from Trent University.

Granting/Award Period: Research accounts are authorized only for the duration of the award period. At the end of the granting/award period, the research account will be closed and final reporting prepared. Expenses or disbursements related to the project, generated after the account closure will not be processed. Any unexpended funds remaining in the research account at the end of the granting/award period will be distributed as per granting agency guidelines or the award agreement.

Invoicing: The federal granting agencies and a number of external granting agencies disburse funds as global payments to the university and no invoicing is required. Should the terms of the agreement require invoicing the Office of Research will issue a sequential invoice to the agency and receive funds on behalf of the research project. To assist in maintaining cash flow for the research project, all invoices issued will result in an immediate transfer of funds to the research account. The Office of Research will assume responsibility for accounts receivable provided that researcher maintains reporting schedules. Please note that should issuance of payment be linked to research reporting, it is the responsibility of the researcher to provide the Office of Research with the appropriate report(s), initiating the invoicing process. **Please note: Audit requires that all funds deposited to research accounts be invoiced through the Office of Research. Cheques, money orders or bank transfers not initiated by the Office of Research will not be deposited into research accounts.**

Eligible and Ineligible Expenses: Only those expenses authorized by the granting or award agency, and the policies and procedures of Trent University will be processed through research accounts. Claims for reimbursement and all purchasing must adhere to Trent University's financial policies and purchasing policies.

Claims for Reimbursement: Claims for reimbursement through research accounts must be accompanied by original receipts. Failure to provide original receipts will result in refusal of the claim for reimbursement. Only items related to the research program for which the claim is being made will be processed. Reimbursement forms and policies and procedures (per diem, etc.) can be downloaded from the Financial Services website:

<http://www.trentu.ca/financialservices.html>

Purchasing: All requests for equipment, materials and services should be processed through the Trent University Purchasing Department in accordance with established policies and procedures. Researchers who included large purchases in applications and proposals are strongly encouraged to contact the Manager of Purchasing Services prior to submitting the application. To assist in smaller purchases, Trent University can offer researchers access to an institutional purchasing card (VISA) and a corporate American Express card (to be used for travel and accommodation expenses). For more information on applying for these extensions of credit, please contact the Purchasing Service at 748-1011 ext. 1203 or visit the Financial Services website.

Personnel: Personnel costs make up a significant portion of research budgets. All employees to be paid through research accounts must be processed through the Human Resources Department, Payroll Services. Researchers are encouraged to speak with Payroll Services in advance of applications and prior to contract/agreement negotiation to secure appropriate information about payroll. Human Resources can provide information on paid and unpaid benefits. Permanent and some contract employees of Trent University belong to one of three independent unions, the Trent University Faculty Association (TUFA), the Canadian Union of Public Employees (CUPE I & II) and the Ontario Public Services Employees Union (OPSEU). Typically, research personnel do not belong to any of these unions. As such, any benefits for research personnel are generally provided from research funds of the faculty member.

Overdraft Protection: Because each research account is opened and allocated a budget as per the award agreement, research accounts will not be allowed to go into overdraft. The Office of Research does recognize that in some instances, the research program can change, resulting in additional expenses. Researchers may request temporary overdraft protection from the Associate Vice President, Research. Requests for overdraft must include a detail explanation of why the overdraft has/needs to occur, a detailed plan for recovery of the funds, and outline of how the research program will be compromised without the overdraft. Requests for overdraft MUST be made before expenses are incurred. Expenses incurred which exceed the budget for the research account not previously approved for overdraft will become the sole responsibility of the researcher.

Equipment Purchased through Research Accounts: Unless otherwise negotiated, all title to equipment purchased through research accounts will be considered property of Trent University.

Account Statements: Statements of account are issued on a monthly basis to the account holders with the exception of May and June that are consolidated into the July statement. Researches are asked to carefully review their statements and contact the Research and Restricted Fund Account Assistants should there be any questions regarding the recorded transactions.

Fiscal Year End: Researchers are encouraged to pay careful attention to granting and award periods which often differ from Trent University's fiscal year end. Trent University's fiscal year runs from May 1st to April 30th.

Research Centres and Institutes

Trent University is pleased to support a growing number of research organizations. The interdisciplinary nature of the many research centres and institutes represent clusters of faculty, honorary appointees, and graduate students with opportunities to collaborate in shared research interests. Most centres and institutes offer support to the research community through lecture series, research days, and collaborative research grant applications. For information on the procedures to develop a research organization, please visit the research website. The following research centres and institutes are currently operating at Trent:

Canadian Environmental Modelling Centre	cemc@trentu.ca
Centre for the Study of Theory, Culture and Politics	methodology@trentu.ca
Frost Centre for Canadian Studies & Native Studies	frostcentre@trentu.ca
Institute for Health Studies	dkennett@trentu.ca
James McLean Oliver Ecological Centre	jparker@trentu.ca
Trent Institute for Materials Research	avreugdenhil@trentu.ca
Trent University Archaeological Research Centre	anthro@trentu.ca
Trent University Water Quality Centre	pdillon@trentu.ca
Watershed Science Centre	wsc@trentu.ca

Visiting Scholars and Post Doctoral Fellows

Trent University considers Postdoctoral Fellows and Visiting Scholars to be an important part of the University community. These individuals can contribute significantly to the institution's research mission. Applications for Postdoctoral Fellowship and Visiting Scholar status must be made through the Associate Vice President, Research. Applications can be downloaded from the research website:

http://www.trentu.ca/research/resources_forms.php

Applications also require:

- 1) a letter of support, signed by the Department/program Chair, recommending appointment of the applicant as a Postdoctoral Fellow or as a Visiting Scholarship and affiliation with their department/program for a limited term;
- 2) a curriculum vitae of the applicant.

A **Postdoctoral Fellow** is defined as one who meets the following criteria:

- ✓ has been awarded a doctoral degree or its foreign equivalent within the last 7 years;
- ✓ the appointment is temporary and supported by a fellowship, traineeship, or equivalent support for studies at the postdoctoral level;
- ✓ the appointment involves primarily full-time research or scholarship;
- ✓ the appointment is viewed as preparatory for an academic and/or research career;
- ✓ the appointee is pursuing a program of research and/or training under the supervision of a permanent Trent faculty member;
- ✓ the appointee has the freedom, and is expected, to publish the results of his/her research and scholarship during the period of the appointment with acknowledgement to Trent;
- ✓ the appointee has the endorsement of a permanent Trent faculty member (normally with whom he/she will be working or collaborating on research), by the department/program Chair, and by the Associate Vice President, Research

A **Visiting Scholar** is distinguished from a Postdoctoral Fellow in that he/she is not a student or employee at Trent and is often visiting from another university or institution. A Visiting Scholar meets the following criteria:

- ✓ is a scholar or researcher holding a doctorate who wishes to pursue independent research or advanced study at Trent and is supported by an external research grant, fellowship or equivalent support, including research leave from his/her home institution;
- ✓ is a graduate student from another institution wishing to receive research training over a short period (normally less than one year) and is supported by an external research grant, fellowship, or equivalent support;

- ✓ has the freedom, and is expected, to publish the results of his/her research and scholarship during the period of appointment which acknowledgement to Trent;
- ✓ has the endorsement and support of a permanent Trent faculty member (normally with whom the appointee will be working or collaborating on research), of the department/program Chair, and the Associate Vice President, Research.

The Office of Research will assist newly-appointed Postdoctoral Fellows and Visiting Scholars with information about research funding opportunities and intellectual property policies that may affect their research while at Trent. OR will also assist PDFs and Visiting Scholars to access services such as email, library resources, health insurance, bus passes, parking, keys, athletics, and payroll if applicable and required.

Faculty members wishing to sponsor Postdoctoral Fellows or Visiting Scholars are encouraged to contact the Office of Research well in advance of the proposed arrival date of the candidate. International Fellows and Scholars will be required to complete a number of steps for immigration that can take months to process.

Matching Fund Programs

The Canada Foundation for Innovation

Introduction to CFI/MRI Infrastructure Program:

The Canada Foundation for Innovation (CFI) supports the acquisition of research infrastructure in the interests of promoting innovative research in Canada. Mandated through to 2010, CFI has developed a number of funding programs to achieve its mission. Those of primary interest to researchers at Trent University are the:

- New Opportunities Program for new faculty
- Canada Research Chairs (CRC) Infrastructure Program
- Innovation Fund
- Research Hospital Fund
- Infrastructure Operating Fund

For information about each of these go to chapter 4 at: www.innovation.ca/programs/guide.html

In most cases, though not in the case of CRC Infrastructure requests less than \$75,000 and the Infrastructure Operating Fund, CFI will provide 40% towards the budget for research infrastructure and 60% of a project budget will have to come from matching contributions.

Developing a CFI/MRI proposal requires a great deal of information-gathering, networking, coordination and writing. When conceptualizing a project for application to CFI consider the modernization, acquisition, or development of research infrastructure that represents a new capital asset and provides you and the institution, or a group of institutions with a new or improved research capability, research tool, or research facility. Contact the Research Project Manager Pre-Award for assistance in preparing requests to CFI.

Once a proposal has been submitted to CFI and the proposal is successful, there are several stages to developing a successful CFI project: award finalization, project management, annual/final project reporting and financial reporting. The requirements for project management and reporting by CFI are quite strict and any changes to plans for acquisition of research infrastructure have to be pre-approved by CFI. Please note that CFI requires all institutions to have a defined point of communication. At Trent, this is the responsibility of the Research Project Manager, Pre Award. Any CFI related queries, information or documents should be vetted through this position.

Developing a Proposal to CFI:

Researchers should develop CFI projects as follows:

- a. Identify a research question/problem that requires new research equipment or facilities (i.e. research infrastructure).
- b. If construction or renovation of space is required to house the new equipment, identify the needs.
- c. Identify whether the infrastructure needs fall within CFI guidelines.
- d. Contact OR to discuss options for meeting these infrastructure needs.
- e. The OR may identify:
 - o Existing infrastructure or space at Trent.
 - o Any limitations on requests for funding (e.g. New Opportunities limits).
 - o Sources of matching funds
 - o Sources of charitable contributions (gifts, donations)
 - o Sources of in-kind contributions
 - o Collaborative opportunities with other researchers at Trent.
 - o Collaborative opportunities with CFI projects at other universities.

The OR supports CFI applications by:

- o Identifying potential partners.
- o Providing policy/procedural support re: proposal development including organizing site visits, information sessions, promoting funding opportunities, coordinating project development meetings, interacting with granting agencies and other institutions to achieve the greatest institutional benefit from funding programs.
- o Providing liaison with other administrative units at Trent, including Advancement, Purchasing, Physical Resources, Computer Services, Finance.
- o Determining institutional project allocations, as necessary.
- o Pre-submission review of proposal.
- o Coordinating institutional support for project, such as signatures, communications.
- o Receiving and communicating award notices on behalf of agencies to researchers and other administrative units (e.g. Communications, Purchasing, Advancement, Physical Resources, External partners, President's Office, Board of Governors, President's Executive Group, Senate)

Note that all Canadian institutions have been given an institutional quota by CFI for total applications to the New Opportunities program. These institutional quotas extend to 2010, so in order to ensure that new faculty at Trent will have access to the infrastructure needed to start their research programs, New Opportunities applicants will have to negotiate the total CFI contribution to their New Opportunities project with the Associate Vice President, Research. In most cases, the maximum CFI contribution will be limited by the amount of matching funds or in-kind contributions available to the applicant. Institutional research "start-up" funds provided to applicants may qualify as matching funds, if these funds are to be used solely for acquiring research infrastructure.

Budget items to be included in a CFI proposal should include all taxes, goods and services required to bring the new infrastructure into operation, as well as warranties and service contracts that are included in the infrastructure purchase price. The ongoing costs of operating and maintaining a facility should not be included in a project budget. Operating costs may be eligible for funding via the Infrastructure Operating Fund, should the proposal be successful. Certain types of infrastructure have special guidelines, i.e. campus networks, construction, databases, high performance computing, and digital libraries. For further identification regarding eligible costs, go to chapter 2 at: <http://www.innovation.ca/programs/guide.html>

Proposals should be ready for final review by the institution (preparatory to the President's signature) at least one week prior to submission. With the ORGS acting as facilitator, CFI proposals should be developed in conjunction with: Physical Resources; Computing & Telecommunications; Development; Finance; Purchasing; Department Chairs; the Science Facilities Manager, and external partners. Developing a CFI proposal and budget requires that researchers:

- Clearly identify equipment specifications by communicating with the Manager of Purchasing, equipment vendors, collaborating researchers, Development and OR for the purposes of cultivating donors/in-kind/matching contributions.
- Communicate construction and renovation needs with the Science Facilities Manager and/or Physical Resources, as well as their computing and telecommunications needs with the Director of Computing Services.
- Present project and budgetary needs at proposal development meetings coordinated by the OR.
- Develop timelines for infrastructure acquisition and coordinate these with planned construction/renovation, in keeping with CFI policies.
- Negotiate proposal budgets with the Associate Vice President, Research in keeping with internal policies and resources and external allocations made by CFI.
- Identify the relationship between their research proposal and the University's Strategic Research Plan

Managing a CFI Project:

Project management includes assisting researchers with post-award grant administration, including finalizing award agreements, establishing research accounts, purchasing, securing matching funds, invoicing, developing and finalizing third-party agreements, consulting with the Board of Governors on purchasing decisions, communications, project reporting and financial reporting. These management activities are the responsibility of the Research Project Manager Pre-Award. The OR will work with the project leader to ensure:

- Submission of regular invoices, and project and financial reports
- Receipt of related project contributions (matching, in-kind, donations)
- Communication with administrative departments, the President and the Board of Governors.
- Communications on research successes.
- Responses to external requests for research-related information (partnerships, statistics, policy and program development)

Award Announcements and Finalization:

CFI awards are typically announced officially by the funding agencies through news releases, in cooperation with the university Communications Offices. Although notices of successful proposals are typically provided to institutions before the official announcement, universities and researchers are asked to not communicate these awards externally before the official announcement.

Finalization of award agreements with both CFI must be completed within nine months of announcement of the award. Award agreements are signed between CFI and Trent University to establish the basic terms of the awards, including the total costs attributed to the project, the specific infrastructure to be purchased or developed, the contributions of CFI, and the project timeline. The OR will work with the project leader to develop these agreements. The CFI award agreement is based on information provided in three documents:

1. a confirmation of award conditions.
2. an itemized list of purchases.
3. a summary of secured contributions.

These forms are the University's indication to CFI of changes to the project since the proposal stage, budget and contribution planning, and adherence to acceptable purchasing standards. Combined, these documents form the basis for future financial and project reporting as well as for the University's accountability regarding the project, should it be audited. For full details about award finalization, especially re: construction timelines, valuation of in-kind contributions, budget and timeline changes and payment schedules based on an award agreement, see chapter 7 of the CFI Policy & Program Guide: <http://www.innovation.ca/programs/guide.html>

These forms must be completed and approved by CFI in advance of finalizing an award agreement and the disbursement of funds from the agencies. Researchers are responsible for finalizing these forms on-line, with support from the OR. Please schedule at least two weeks to complete this step in the CFI process; sometimes longer. In the event of large purchases (e.g. >\$5,000), they must be advertised publicly in order to receive competitive bids, in keeping with university purchasing policy. If the project involves construction or renovation, this will require approval by various administrative units. In all cases, the Research Project Manager and the Purchasing Manager will help to guide you through this important phase of developing your CFI project.

As they must be reviewed and accepted by each agency, it generally takes 4-6 weeks to release CFI funds to the university once the itemized list, summary of secured contributions and confirmation of award conditions are submitted. Please be aware that in all cases, 10% of the project award will be held by the CFI pending submission of acceptable final reports. Therefore, cash flow of the final purchases or capital costs of the project will require institutional approval. The OR will notify researchers as funds for a project are received at the university and respective accounts established.

Purchases and Capital Expenditures:

The coordination of purchases and other capital expenditures (e.g. construction, renovation) may involve a range of administrative units at Trent, including Purchasing, Physical Resources, Finance and Advancement. The Research Project Manager of the OR will aid the researcher in this process.

Note that all requisitions for project expenditures between \$50,000 - \$100,000 will require the President's signature. Project expenditures >\$100,000 require approval by the Finance and Property (F&P) Committee of the Board of Governors, followed by the Board of Governors before the President can sign the requisition. In this latter case, the approvals process may take several weeks and should be coordinated with the scheduled meeting dates of the F&P Committee and Board.

Project & Financial Reporting:

The project leader for CFI projects will be asked to submit annual project reports to the Research Project Manager in the OR. These are coordinated with an institutional report that is due in June of each year. In addition, you will be asked to work with the Research Project Manager and the Research & Restricted Funds Account Assistants (i.e. Finance Office) to develop both annual and final financial reports.

Note that CFI are stringent about maintaining timelines for project development and reporting. In the event that there is a change in the time you need to complete a project, submit reports or make purchases, please contact the OR in advance of making these changes so that they can be pre-approved by CFI.

Quick Reference Page

Object Codes most commonly used in research accounting:

51051	Research Assistants	58020	Customs/Brokerage Fees
51060	Part time/casual	58089	Telephone/Fax
51080	Student Assistants	58095	Visitors Expenses
51500	Benefits	58990	Special Functions
57010	Externally Contracted Services	58003	Advertising
52010	Travel (airfare, accom., mileage, etc.)	58310	Meeting Costs
52101	Travel – field trips	58082	Networking
52015	Subsistence		
52900	Accountable Advances		
58001	Operating supplies –general		
58132	Operating supplies – lab & teaching		
58005	Audio Visual Charges		
58153	Lab and teaching supplies		
58154	Stationary		
58067	Postage		
58030	Courier		
58024	Xerox		
58093	Vehicle Expenses – gas and oil		
54650	Vehicle Expenses – repair and maintenance		
58038	Inter-library loan		
58137	Microfilm		
54010	Equipment and Furniture Purchase		
54013	Equipment and Furniture Rental		
54610	Equipment and Furniture Repair		
54230	Equipment Purchases – Computer		
54240	Equipment Rental – Computer		