



Division of Research and Graduate Studies
“Building a Research Community”

Guide to the Administration of Research Grants and Contracts

Summer 2013
<http://research.acadiau.ca/>

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About the Guide to the Administration of Grants and Contracts

The Acadia University Guide to the Administration of Research Grants and Contracts is designed to assist researchers in the pursuit of grants and contracts with outside agencies and to understand the administrative processes involved. The guide can be found online at http://research.acadiau.ca/Research_Guide.html and we invite you to contact the Division of Research and Graduate Studies if you have any questions concerning the guide or any research matters at Acadia.

Research and Graduate Studies Contact Information and Responsibilities

Dean of Research and Graduate Studies

Dr. David MacKinnon

Ph: 585-1498

e-mail: David.MacKinnon@acadiau.ca

- Overall administration of Division of Research & Graduate Studies (RGS) & Office of Industry and Community Engagement (ICE)
- Signing authority on all research grant applications and research contracts
- Operation of RGS offices and RGS staff
- Research contract negotiation and administration
- Responsible for Tri-Council grants – assist with proposal/budget development; review of applications; electronic submission

Research Office Administrator

Barb Baker

Ph: 585-1498

e-mail: Barbara.Baker@acadiau.ca

- Processing of NSERC Undergraduate Student Research Awards
- Processing Honours Summer Research Awards Processing Honours Theses
- Processing internal research grant competitions
- Assisting researchers applying for funding

Graduate Studies Officer

Theresa Starratt

Ph: 585-1914

e-mail: Theresa.Starratt@acadiau.ca

- Graduate programs and admissions
- Graduate scholarship applications (NSERC, SSHRC, CIHR, NSHRF)

Director, Office of Industry and Community Engagement (ICE)

Leigh Huestis

Ph: 585-1425

e-mail: Leigh.Huestis@acadiau.ca

- Development and commercialization of intellectual property
- Facilitating industry liaison activities

Research & Innovation Coordinator

Peggy Crawford Ph: 585-1762 / 698-2650 (cell)

e-mail: Peggy.Crawford@acadiau.ca

- Administration & facilitation of major institutional award programs - CFI, Indirect Costs & CRC
- Assisting and advising researchers applying for funding
- Identifying of potential funding opportunities for researchers
- Fostering research partnerships and activities to expand research opportunities
- Facilitating industry liaison activities

Project Manager

Katrin Sommerfeld

Ph: 585-1379

e-mail: Katrin.Sommerfeld@acadiau.ca

- AIF Administration - Dr. Kirk Hillier

Project Manager

Gillian Mainguy

Ph: 585-1911

e-mail: Gillian.Mainguy@acadiau.ca

- EcoEnergy II Administration - Dr. Richard Karsten

SERVICES FOR RESEARCHERS

Division of Research and Graduate Studies, Main Office – Room 214 Horton Hall

Web site: <http://www2.acadiau.ca/research.html>

The primary role of the Division of Research and Graduate Studies (RGS) is to serve Acadia's community of researchers and graduate students, to support and promote research at Acadia within the University and to the community. RGS is responsible for overseeing all research grants, contracts, and agreements.

This role includes:

- Developing policy initiatives that enhance the research environment of Acadia University;
- Serving as a liaison between researchers and a wide range of external granting agencies;
- Negotiating and processing research grants, contracts and agreements;
- Facilitating the flow of information from external agencies to researchers through online resources and information sessions;
- Assisting researchers in the development, review, and submission of Tri-Council & NSHRF grant applications;
- Providing institutional support and approval for other research grant applications, contracts, and agreements;
- Organizing events and activities to celebrate and promote research excellence at Acadia University;
- Assist in development and administration of institutional award and grant programs (CFI, CRC, AIF);
- Oversight of Acadia's research centres and institutes;
- To liaise with industry, not-for-profits, other academic institutions and governments on research issues.

Office of Industry and Community Engagement – Room 210 Horton Hall

Web site: <http://ice.acadiau.ca>

About the Office of Industry & Community Engagement (ICE)

Acadia's Office of Industry & Community Engagement (ICE), identifies and connects Acadia's researchers with industry, government and community groups interested in research, commercialization and outreach activities. As a member of [Springboard Atlantic](#), ICE works with other universities in Atlantic Canada to ensure a strong contribution to the development and prosperity of our local and regional communities.

What do we do?

- Serve as a primary point of contact between external organizations and internal staff and facilities. We can help assess your needs and identify appropriate expertise either on campus or within another research institution.
- Facilitate and manage a wide variety of collaborations between Acadia faculty and students and industry/government/community partners.
- Identify appropriate funding opportunities for research collaborations and other types of partnering initiatives.
- Develop and negotiate a wide variety of research and commercialization agreements.
- Provide commercialization and knowledge transfer services to Acadia faculty, staff, and students, including assessing the commercial potential of discoveries, identifying funding opportunities, IP protection activities, and marketing of technologies ready to be commercialized.

ICE works with:

- Acadia faculty & students
- Industry & industry associations
- Local and regional communities (individuals and groups)
- All levels of government, economic development agencies, and NGOs
- Regional, national, and international educational and research/commercialization organizations

SERVICES FOR RESEARCHERS

Financial Services (University Hall, 3rd floor)

Financial Services

Manager of Fund Accounting: Orlene Bligh-Coldwell

Ph: 585-1336

e-mail: Orlene.Bligh-Coldwell@AcadiaU.ca

Web site: <http://financial-services.acadiau.ca/research-endowment.html>

The Manager of Fund Accounting is responsible for administering research funds for the University. The Manager provides research account numbers and is available to provide financial information or assistance with research accounts. The Manager also ensures reporting compliance of research funds. **The Manager submits all financial statements or invoices as required in research contracts.**

The Manager of Fund Accounting can establish a research account only by permission of RGS/the Dean of Research and Graduate Studies.

Further information on University research accounts can be found at the Financial Services [Research & Endowment web site](#).

Accounts Payable

Manager, Financial Services: Rod Llewellyn

Ph: 585-1235

e-mail: rod.llewellyn@acadiau.ca

Web site: <http://financial-services.acadiau.ca/accounts-payable.html>

Reimbursement for expenses charged to a research account is made through the Accounts Payable Office. Researchers are required to submit original receipts for all expenditures made against a research account. University policies and procedures related to travel, per diem, and entertainment expenses must be followed at all times. These policies and procedures, as well as travel and entertainment expense forms, are available online through the [Accounts Payable web site](#).

It is a conflict of interest to sign for one's own expenses. The Department Head/Director must countersign expenses. In cases where the Department Head/Director is the grantee, the Dean of the grantee's Faculty will sign.

University Accounts

The University uses Datatel as its financial software for all major accounting functions. Departmental uses of Datatel are primarily to initiate purchase requisitions and for viewing budget/actual results of their accounts. Researchers also use Datatel for requisitions and viewing available funds within their accounts. More information can be found at <http://financial-services.acadiau.ca/datatel.html>

Import things to note:

- No expenditure is to be incurred that cannot be received and paid by the end of the granting period or contract termination date.
- It is the researcher's responsibility to cover any overdrafts incurred on a research account.
- If, during the course of an internal or external audit, it is discovered that invalid or fraudulent charges were incurred on a research account, it will be the principal investigator's responsibility to repay all charges and to pay any subsequent fines. It is therefore essential that the contract/grant/agreement be adhered to and that all claims are supported with adequate documentation.
- An Interdepartmental Transfer (IDT) is not to be used to move funds from one research account to another, or to charge expenses from another general ledger account. This is not a legitimate expenditure on a research account. An IDT is only used for internal service departments for selling goods and services, e.g. Educational Technology, Computer Services, Printing Services, and Campus Store.
- If an error is made in charging an expense to a research account, a correction (Journal Entry) is needed to move the expense to the appropriate account. Full details of the charges being moved must be provided, e.g. supplier's name, purchase order number, voucher number, date of transaction. Requests for correction must be sent to the Manager of Fund Accounting before the fiscal year end cut-off date. The fiscal year runs from **April 1 to March 31**. Expenses from a previous fiscal year cannot be moved.
- Only funds approved in the originally signed contract/grant/agreement are to be deposited to the assigned account. The only exception to this would be if there was a contract amendment duly signed by the appropriate parties.
- Original receipts for all charges including air travel and hotel expenses are audit requirements. Airline boarding passes will be accepted in lieu of ticket receipts in the case of electronic tickets only. The only exceptions for not including original receipts are per diem meals and incidentals as per the Acadia University's travel regulations. Please provide a copy of the agenda/program/itinerary for each event. Please use a separate form for each individual and each trip.
- University policies and procedures related to travel, per diem and entertainment expenses must be followed at all times. For more detailed information please see <http://financial-services.acadiau.ca/forms-policies.html>. In addition, all expenditures made against a research account must comply with any guidelines set forth by the granting agency/organization (for grants) and/or in the agreement (for industry/government contracts).

SERVICES FOR RESEARCHERS

- Please use our Purchasing Services when ordering supplies and equipment. Your account numbers can also be used for internal services e.g. the Acadia Print Shop.
- All expenditures for Canada Research Chairs must be approved through RGS.

For eligible grant expenses, please consult the following resources:

NSERC, SSHRC, CIHR – General Guidelines for Financial Administration, Use of Funds and Reporting Requirements: http://www.nserc-crsng.gc.ca/Professors-Professeurs/FinancialAdminGuide-GuideAdminFinancier/index_eng.asp

NSHRF – Guidelines for financial administration and use of funds are updated yearly and included in NSHRF's Research Competition Guidelines. For current guidelines, see: <http://www.nshrf.ca/programs-services/program-requirements#Use%20of%20NSHRF%20Funds>

Your notice of award may also outline the terms, conditions, and guidelines for use of funds.

Account closure due to resignation, retirement, or death

Upon termination of employment through resignation or retirement, an employee of Acadia will not have access to any unexpended funds after the termination date. The only exception to this policy would be for those who hold Adjunct Professor status.

In the event of death of an employee, the employee's executor may submit expense claims for reimbursement incurred or committed prior to death. The amount of reimbursement will not exceed the remaining funds in the account. University policies and procedures must be followed when submitting a claim.

Signing authority on accounts

Signing authority is limited to the individual for whom the account was established. Delegated signing authority must be in writing and sent to the Business Office where it is kept on file. Signing authority can only be delegated to another university employee and only the individual responsible for the account can change signing authority.

Purchasing Services

Coordinator, Purchasing Services: Garry McIver

Ph: 585-1624

e-mail: Garry.McIver@AcadiaU.ca

Web site: <http://financial-services.acadiau.ca/purchasing.html>

Purchasing Services is responsible for purchasing equipment, supplies and services required for all departments and operations. It is important to work with Purchasing Services when procuring supplies and equipment that are not purchased through internal service departments (such as Computer

SERVICE FOR RESEARCHERS

Services, etc.) as the University must comply with the [Atlantic Procurement Agreement](#).

Also, as a member of [Interuniversity Services Inc.](#), several agreements are in place with selected suppliers making it possible to receive reduced pricing.

Liability Insurance

The Coordinator, Purchasing Services, is also responsible for interpreting the University's comprehensive general liability policy and the errors and omissions liability policy. These policies provide liability insurance protection on a world-wide basis for the University, its officers, faculty and staff members while engaged on university business.

It also provides liability insurance protection for students while working under the direction of teaching staff and who are engaged in activities associated with their course of studies and inclusive of recreational and sports activities connected to the University.

The policies provide third party protection only in that they protect the University, its employees and students against third party claims for injury or damage if it can be established that the University or its employees have been negligent.

SERVICES FOR RESEARCHERS

Human Resources (Bancroft House)

HR Officer, Payroll Processing: Terry Turner-Mitchell

Ph: 585-1550

e-mail: Terry.Turner-Mitchell@AcadiaU.ca

Web site: <http://www.acadiau.ca/human/homepage.html>

Payroll forms, Federal/Provincial tax forms and employee contracted service guidelines are available at:

<http://hr.acadiau.ca/payroll.html>

Individuals (students or non-students) hired to work as Research Assistants under a research grant or contract are considered employees of the grant or contract and are processed through payroll. NOTE: Any faculty member considering hiring a postdoctoral fellow should consult and follow [Acadia's Postdoctoral Fellows Policy](#) (see page 22).

Important: Student Hiring Information

The current suggested pay rate for Undergraduate students is **\$12/hour** and **\$15/hour** for Graduate Students. This is the amount that should be indicated to students. On top of this, the Research Grant Holder is required to pay 10% mandatory employer costs as designated by the NS Labour Code costs for EI and CPP, as well as 2% for Workers' Compensation coverage (Total of 12%). Grant holders are also responsible for vacation pay costs of 4% (see below on how to include these costs). Research Assistants paid under a research grant or contract are not eligible for University employment benefits (health, dental, etc.). Research Assistants may need to be reminded that take-home pay will have their employee costs (EI & CPP) deducted as well as vacation pay and any income tax deductions as calculated from their tax forms. Student employees are paid on a bi-weekly basis.

How to Set-up an Employee for Salary Payment

- 1) All employees must have a Canadian Social Insurance Number before they can be paid. SIN application forms and related information are available online at <http://www.servicecanada.gc.ca/eng/sc/sin/index.shtml>. For information on hiring a Foreign student to work on campus visit <http://www.servicecanada.gc.ca/eng/sin/employers/contract.shtml>.
- 2) Complete an ["Authorization to Pay Research Assistant"](#) form.
 - a. Be sure to include the employee's name, average number of hours per week and the account number assigned to the research grant or contract.
 - b. Indicate the start and end dates for the term of employment. The end date may not exceed the termination date of the grant or contract or one calendar year.
 - c. To calculate the amount to be paid, calculate the total amount of salary and expenses to be charged to the research grant or contract. For example, a Research Assistant being paid \$12/hour x 10 hours/week = \$120 x 10 weeks = \$1200. Employer costs would be calculated as follows: \$1200 x 12% = \$144. Total cost to your research grant would be \$1344 (the 12% cost represents employers' CPP, EI and WCB contributions). Vacation pay is included in the \$12 and \$15/hour examples.
 - d. If paying an employee minimum wage (current rate is \$10.30 effective 1 April 2013) then 4% vacation pay must be added to the hourly rate, for a total of \$10.71/hour with other costs (12%) calculated as above.

SERVICE FOR RESEARCHERS

- e. The University is now required to obtain Workers' Compensation coverage for student research assistants. For further information on the cost of Workers' Compensation please contact Kerry.Deveau@acadiau.ca .
 - f. Sign the Payroll Authorization Form and ensure the Research Assistant has signed as well.
- 3) Ensure Research Assistant has completed all Payroll forms. Federal and Provincial TD1 tax forms must be completed annually. They must also fill out Employee Information and Direct Deposit forms. Information and forms for student employees can be found at <http://hr.acadiu.ca/payroll.html> .
- 4) Submit the full package of forms (appropriately signed) to the Manager of Fund Accounting.

Preparation and Submission of Tri-Council and NSHRF Applications

Please note that RGS sets internal deadlines for regular SSHRC, NSERC, CIHR and NSHRF programs, normally seven to ten working days ahead of the program deadline. Internal deadlines allow RGS to review your application and work with you to ensure the application meets all program requirements. Once a review is complete, RGS will provide electronic approval for online application submission. For paper-based applications, RGS will accept the final version of the application and any required copies and will forward the application package to the appropriate Granting Council on your behalf. Check with the RGS office for deadline information, or subscribe to our [RSS feed](#) or [Twitter feed](#) for regular updates.

Resources

NSERC

2 videos: *Tips on Applying for an NSERC Discover Grant* and *Demystifying the review process for NSERC Discovery Grants*
http://www.nserc-crsng.gc.ca/Professors-Professeurs/Videos-Videos/Index_eng.asp

CIHR

“Learning Activates and Resources” <http://www.cihr-irsc.gc.ca/e/45095.html>

SSHRC

Learning Resources: <http://www.sshrc-crsh.gc.ca/funding-financement/apply-demande/grants-subventions-eng.aspx>

NSHRF

Resources for Grant Writing: <http://www.nshrf.ca/programs-services/programs-and-services/knowledge-programs/resources-grant-writing>

Other grant writing resources

“The Art of Grantsmanship” by Jacob Kraicer at <http://www.hfsp.org/how/ArtOfGrants.htm>

Tips for your grant application

- Take advantage of the Grant Writing Workshops offered through the RGS Office (usually in Spring/early Summer).
- **Allow time for delays – start your application early!** Always note internal deadlines and allow time to make changes or corrections. This is particularly important if you are working with co-applicants from other universities. Most applications must be completed online and submitted electronically. Online application systems can be very busy before major deadlines, causing delays when working with your application. RGS cannot change or control your electronic application; if you encounter technical problems, consult the Help Desk service for the relevant agency.
- **Print the application instructions and read them carefully.** Often, detailed instructions can be accessed only after you have logged into the program application. We suggest that you print the instructions and highlight pertinent sections before starting the application.
- For Tri-Council applications, **ensure you are selecting the appropriate Granting Agency.** The three agencies have jointly developed [guidelines](#) on the submission of applications to and the acceptance of applications by the agencies, as well as general guidelines on the eligibility of subject matter.

Tri-Council granting agencies will reject applications that do not meet program guidelines.

For assistance in developing or reviewing your grant application, please contact David MacKinnon 585-1498 or David.MacKinnon@acadiu.ca

- **Write clearly and succinctly.** Complex phrases and jargon do not necessarily reflect scholarship and reviewers may not have close familiarity with your specialty and its language. Provide sufficient detail for reviewers to understand the research and your methodology. Remember that reviewers may read hundreds of application pages in a day, so more is not always better.
- **Be positive in tone.** Address any concerns expressed by a past review committee in a constructive way and demonstrate appropriate changes in the current application.
- **Attend carefully to program objectives and criteria.** Make sure you're applying to a program that fits your research and ensure you relate the proposed research to relevant program objectives.
- Clearly state the **relevance and impact** of the proposed research. Place the proposed research in **context**. Outline what has been done by you and within your specialty, what you want to do and how it fits within your long term research objectives.
- Training is a priority for most granting agencies. Identify **specific training/skills** your students will gain.
- **Ensure your budget is clear, accurate and fully justified.** RGS can provide advice on budget preparation. **There is no management fee charged on NSERC/SSHRC/CIHR/NSHRF grants.** See Appendix A for a sample budget justification.
- **Follow formatting instructions and use headings suggested in instruction.** This will identify key points in the application and ensures your application is tidy and well-organized.
- **Follow the page limits.** Pages will be removed if the application exceeds page limits.
- **Check page numbering instructions.** Often, freeform pages must be numbered sequentially following printed forms. It is recommended to use a running header including your name and identification number at the top of every page uploaded.
- **Proofread your application carefully,** especially the budget. Don't rely on spell check.
- **Ask a colleague** with review committee experience or who has made successful grant applications, to review the application critically and provide feedback. RGS can help you locate a faculty mentor.
- **Submit the electronic application online** by the internal deadlines (check with RGS). RGS will review the application to ensure it meets program requirements.
- If signatures are required, **the Dean of Research and Graduate Studies will sign on behalf of the University** after you have obtained all other signatures (if you are leading a multi-institutional application, you will be required to obtain signatures/authorization from other institutions). **Faculty do not have signing authority on behalf of the University.**

Reminder: with the exception of Tri-Council grants, the University expects that **researchers build management fees into their grant application budgets.** The exception is if grant agencies/organizations have specified in writing that administrative fees are ineligible.

POLICIES

Grant administration FAQ

How will I know if I get my grant?

If you are successful in an NSERC, SSHRC or CIHR competition, RGS and the Business Office will be notified automatically. RGS will contact you with the results regardless of the outcome. An official notice of award will also be sent to you.

For other funding programs the notice of award may be sent directly to you. In this case, it's critical that you notify RGS and provide a copy of the award notice. If you receive a cheque, please provide this to RGS. RGS will then authorize the Manager of Fund Accounting to set up a research account.

If I didn't get an award, can I find out why?

For NSERC, SSHRC and CIHR, you may receive comments and feedback if you are not successful. These will be sent to you. Other external funding programs may or may not provide feedback.

When can I start using my award funds?

You may use grant funds once the Manager of Fund Accounting provides you with an account number, and you have received any required protocols or approvals (see below).

Do I need any protocols or approval (i.e. Animal Care, Research Ethics Board) for my research?

If your research involves human subjects or human tissues, you must receive approval from the University's Research Ethics Board (REB). Likewise, you must submit an Animal Use Protocol to the Acadia Animal Care Committee (AACC) for each project that involves vertebrate animals or cephalopods and the AACC Training Checklist must be completed for each individual participating in the project.

These protocols/approvals do not need to be in place when applying for a grant, but **must be obtained before grant funds may be released to your research account**. These protocols/approvals must be kept up-to-date in each year of your grant, in order to receive subsequent grant installments. See Appendix A of this guide for further details and contact information.

What am I allowed to spend my award on? What expenses are eligible?

Your award is intended for the purposes outlined in your application. Tri-Council agencies issue guidelines for the use and administration of funds – check the following resources:

General financial regulations for SSHRC, NSERC and CIHR grants are found in the [Tri-Agency Financial Administration Guide](#). Any exceptions to these will be indicated in the program description of the respective Agency.

Tri-Council policy on eligible expenses applies. Travel rates as established by the National Joint Council Travel Directive, Appendices B, C, and D: www.njc-cnm.gc.ca/directive/travel-voyage/index-eng.php.

NSHRF – Financial administration guidelines are updated yearly in NSHRF's [Research Competition Guidelines](#).

For other grant programs, check the individual program website. Your notice of award may also outline the terms.

Travel supported by research grants or contracts must comply with the University regulations and policies unless specifically indicated otherwise by the granting agency. Acadia University will honour whatever the granting agency allows, subject to receipt of written confirmation of the allowance.
<http://financial-services.acadiau.ca/travel-policy.html>

Do I have to spend the money exactly as outlined in my application budget?

For NSERC, SSHRC and CIHR, you may allocate funding differently than outlined in the application, provided the funds are still used for the broad purpose indicated in the application (the exception is NSERC Research Tools & Instrument (RTI) grants which require permission to purchase alternate equipment). With other funding programs, refer to the Terms and Conditions of the award.

My current grant installment is spent and I have other expenses to look after before my next installment. Can I get an advance on my next installment?

You may make a request to the Dean of RGS for an advance of up to \$2,500 on your next grant installment. Please indicate the reason for the request. Before an advance can be approved, your department head/director must guarantee to the Dean, in writing, that the department will reimburse the amount of the advance if, for any reason, you do not receive your next grant installment.

I didn't spend as much as planned this year and have money left in my account – what will happen to it?

For Tri-Council funding, the funds will roll over to the next fiscal year. If a significant balance remains in your account, the granting agency may ask if you wish to defer your next installment for a year, in order to use up the unexpended funds. If you choose to defer, your next installment will come to your account automatically at the start of the next fiscal year.

If this is your last installment, you may be able to extend your grant for one year to use up any unexpended funds (you will not receive any new funds during the extension period). This occurs automatically for SSHRC Insight and Insight Development Grants and NSERC Discovery Grants, but you are asked to inform RGS if you intend to exercise this option.

For other agencies, refer to the Terms and Conditions of the award. In many cases you are required to use the funds within the original time period.

I'm taking a leave – or – I received a promotion...Will this affect my grant?

In any situation where your status at the University will change, notify RGS as soon as possible. RGS is obligated to inform the Tri-Council agencies of any such changes. The status of your grant will depend on the circumstances of the change.

I'm transferring to another university. What do I do with my grant?

You must inform RGS and the Manager of Fund Accounting of the transfer as soon as your new position is confirmed. For Tri-Council funding, you must arrange for letters to be sent from the research office of your new institution to the relevant granting agency, indicating that your new institution agrees to administer your grant and any unexpended monies.

Equipment purchased with research funds becomes the property of Acadia University. A request to transfer equipment must be made in writing to the Dean of RGS. Federal Granting Councils have explicit rules regarding the transfer of equipment purchased with grant funds.

It's a new fiscal year and I forgot to submit some expenditures against my grant account for the previous fiscal year. Can I still submit these?

No. All expenditures against your account MUST be submitted in the same fiscal year in which they were incurred. The fiscal year begins on April 1 and ends on March 31.

POLICIES

Contracts, Sponsored Research & Service Agreements

More and more Acadia researchers are looking for external, non-traditional research funding sources to help support their research programs. While not for every researcher, contract research initiatives bring together university researchers with outside interests, including profit-driven organizations such as industry and business corporations, as well as government (non-Tri-Council) and non-governmental organizations. Research contracts generally involve faculty members conducting research that results in a deliverable – such as a report, intellectual property or an object – for the organization that provides the funding.

Acadia's objectives in supporting contract research are:

- To build Acadia's research infrastructure and knowledge base.
- To create opportunities and provide funding for students.
- To obtain access to research opportunities or resources controlled by organizations, such as proprietary information, access to management.
- To contribute to the economic development of the larger community and to mobilize knowledge that will benefit the community.

While there are similarities, there are also some key differences between contract research and grant funded research.

Contracts: General Characteristics

- A contract is a legally binding agreement to provide financial support to investigators to conduct and complete research or a service under specific terms and conditions. The contracting Sponsor or Client may be private industry, a government agency or a non-profit entity.
- A contract contains terms and conditions that govern the relationship between Acadia University and the Sponsor/Client and cannot be signed by an individual researcher.
- A contract can include an honorarium or payment made to the investigator(s). See the Policies section on page 21 of this guide for details.
- Generally, the statement of work cannot be changed by the investigator(s) without the consent of the sponsoring entity and the University (represented by the Division of Research and Graduate Studies).
- Funds generally must be spent as outlined in the budget.
- There are specific deliverables (such as interim and/or final reports, research milestones, software creation, datasets, test results, etc.).
- Ownership of equipment purchased with research funds usually resides with the University as opposed to the Sponsor/Client or Researcher.
- Intellectual property could vest with the Sponsor/Client rather than the Researcher/University.
- There may be limitations/conditions on publication of research results.

Types of Contracts

Sponsored Research Agreement:

- Outside party requesting Acadia perform research. May be collaborative research between

Sponsor and the University.

- Research outcomes/deliverables addressed.
- Sponsor usually obtains certain rights in intellectual property to be developed pursuant to the agreement (option or license). Government contracts often request ownership of or the rights to use this intellectual property. This is of particular concern if the contract involves students. Prior to participating in the project, students should be informed by the principal investigator of the intellectual property provisions in the contract.
- Publication may be temporarily restricted within clearly defined in order for the Sponsor to review the publication for “Sponsor confidential information” and for patentable subject matter. This is of particular importance if students are involved, as they must be free to publish their theses and defend their results.
- Sponsor may provide proprietary data to investigators and require that data be kept confidential for a certain time period, but generally subject to certain exceptions.
- Liability and indemnity of parties is usually defined.
- The management fee is included in budget.

Service Agreement:

- Outside party requesting Acadia to perform a service, usually for analytical testing or other services generating little or no new intellectual property.
- Rights to intellectual property (e.g. compound to be tested) generally remain with the Client.
- Rights to testing process, etc. used to complete service remain with the faculty and University.
- The management fee must be added to the cost of service.

Confidentiality Agreement (Non-Disclosure Agreement; Student Researcher Agreement):

- An agreement to transfer confidential information between the parties.
- Specifies terms by which confidential information is transferred.
- May include testing procedures, formulae, test data, know-how, software, business information, trade secrets, etc.
- Important to distinguish between information provided by the Sponsor and information that arises from the university-performed research, as the results of research must be publishable.
- Should include exemptions where information is already known by recipient, information is required to be disclosed by law, administrative or court order, etc.
- Important: In the case of Non-Disclosure Agreements, Student Researcher Agreements, and Confidentiality Agreements, researchers and/or students are also required to sign.

Reminder: The Dean of RGS signs all contracts, agreements, etc., on behalf of the University. Individual faculty members, including department heads and directors of research centres, are not authorized to sign research contracts or agreements on behalf of the University.

POLICIES

Research Contract Proposal and Negotiation Process

The steps of the contract negotiation process vary depending on the nature of the research, the agency involved, etc. Following is a general outline of how contract funding agreements are prepared and negotiated:

1. Any faculty members or adjunct professors who wish the University to enter into a research agreement or service agreement on their behalf should prepare a proposal which includes:
 - A “Statement of Work” which clearly outlines the work being performed, the deliverables and a timeline for completion.
 - Identification of the individuals who would perform the work (PI, students, etc.).
 - A budget which clearly outlines the expenses (salary, travel, research supplies, equipment, etc.). You must include a management fee in your budget (see previous page).
 - If the proposal involves the hiring of personnel please be aware of any salary, employer costs, and benefit considerations (e.g. employer CPP and EI requirements, WCB, as these must be accounted for in the budget). For further information on paying employees, see the Payroll Services section of this guide, page 12.
2. The proposal must be submitted to RGS for review prior to being submitted to a sponsor, preferably a week in advance, to ensure the proposal meets with university policies and that financial details have been included. Generally, the proposal will become an Appendix to the agreement that is negotiated with the sponsoring entity. Often the proposal/application will require a signature from the Dean of Research & Graduate Studies.

Contract negotiation can be a lengthy process; to minimize delay to the start of a contract, it is critical to involve the Office of RGS early in discussions with the contracting entity.
3. If the proposal is successful then the agreement negotiation begins. Any agreement provided by the Sponsor/Client should be forwarded to RGS. If the Sponsor/Client has not provided an agreement, RGS will contact the Sponsor/Client (government department, company, etc.) to obtain one, or will provide the Sponsor/Client with a standard agreement currently in use by the University.
4. The Sponsor/Client and Acadia will then proceed to negotiate, if necessary, the contract terms and conditions. Generally, an agreement provided to Acadia by government or industry, or vice versa, will need revision to meet the parties’ needs. Issues such as indemnification, insurance, intellectual property rights, publication, confidentiality, etc., are usually addressed.

Work on a project or performance of a service should not begin before the Office of RGS has notified you that the final agreement has been signed by all parties.
5. Researchers are responsible to read and understand the agreement and to abide by the terms and conditions. Researchers may be required to sign an Investigator Participation Agreement provided by RGS.
6. Once the agreement is signed by all parties, RGS will authorize the opening of a research account. The Manager of Fund Accounting will provide the researcher with an account number to be used for each project.

About the Management Fee

Acadia University currently charges a 20% “management fee” on all grants and contracts (NSERC, SSHRC, CIHR and NSHRF grants excluded). This management fee assists in covering costs incurred in contract negotiation, financial administration, support staff, audits, insurance, etc.

All proposals, applications, or statements-of-work for grants and contracts are to be submitted through the Division of Research and Graduate Studies for review prior to final submission to an agency/organization.

Please submit 10 days prior to deadline to allow time for RGS for review and feedback.

This fee is calculated as a percentage of the subtotal. If no breakdown is included with the proposal the management fee will be calculated on the

NSERC, SSHRC, CIHR and NSHRF are exempt from the Management Fee.

value of the contract. Research Centres may include an additional fee for “overhead”. This must be clearly indicated in the budget and usually ranges between 5 - 10%.

Sample Budget for Contract Research:

Personnel:

2 Student Research Assistants (30hrs/week X \$12/hr X 16wks)	\$ 11,520.00
Mandatory Employer (ME) Costs (\$11,520 X .12)	\$ 1,382.40
1 Technical Support (35hrs/week X \$20/hr X 16 wks includes ME costs, benefits	\$ 11,200.00

Travel:

Fieldwork (300km X .32/km X 10 trips)	\$ 960.00
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Supplies:

\$ 1,500.00

Subtotal \$ 26,562.40

University Management Fee (20%) (26,562.40 X 20%)

\$ 5,312.48

Total \$ 31,874.88

In this sample the value of the contract would be \$ 31,874.88. The amount deposited to the GL account set up for the researcher’s use would be \$ 26,562.40.

POLICIES

Research Related Policies

Independent Agreement Negotiation/Execution

As a University, Acadia has special status with regard to tax obligations and other government regulations pertaining to research. Benefits derived from this status apply only to funds managed within legal agreements signed between Acadia University and the sponsoring entity. **Individuals may enter into private contracts that do not involve any use of University facilities or resources. These arrangements are entirely separate from any agreements signed by Acadia.**

Researchers paying themselves from Research contracts

Researchers may make payments to themselves from research contracts under the following conditions:

- The grant or contract does not expressly forbid such payment.
- The payment was specified in the original contract or is derived from the balance from contracts for which all obligations have been met.
- Researchers must enter into a consulting agreement with the University. This agreement is provided by RGS. Payment is processed through payroll and the University will withhold taxes in accordance with the Income Tax Act.

Hiring of Family Members

- TBD.

Research Integrity

The Acadia University community has an important role to play in maintaining high standards of research integrity. Such integrity requires careful supervision of research, including that conducted by students; competent use of methods; adherence to ethical standards of discipline and the refusal to engage in or to condone instances of fraud or misconduct. This policy has strict guidelines on conflict of interest. Faculty members who create private companies must take extra care with the potential for conflict between their duties as university researchers and their position within a private company.

See also the [Tri-Agency Framework: Responsible Conduct of Research](#).

Postdoctoral Fellows

The [Acadia Postdoctoral Fellows Policy](#) governs the hiring of postdoctoral fellows. It sets out agreements and information that the faculty member must provide to RGS prior to recruitment and after the hiring of a postdoctoral fellow.

Intellectual Property

The University also maintains an Intellectual Property policy which may be relevant to your research. Information on the Intellectual Property policy is contained within [Article 33](#) of the Acadia University Faculty Association 13th Collective Agreement. Further information on Intellectual Property, including a primer, is found on the [Researchers'](#) section of the Office of Industry and Community Engagement web site.

Please contact the Office of Industry and Community Engagement (ICE) for assistance with any matters related to Intellectual Property.

Student/Postdoctoral Fellow Intellectual Property

Acadia has developed [Guidelines for Student/Postdoctoral Fellow Intellectual Property](#) to ensure that Acadia students and post-doctoral fellows are treated fairly and equally with respect to Intellectual Property ownership. The identification of the creators and owners of Intellectual Property is often a complex and difficult process. Acadia strongly recommends that consideration be given to IP ownership before work begins on any project. The Student/Postdoctoral Fellow IP guidelines are meant to help clarify ownership and the Office of Industry and Community Engagement can advise on any matters related to IP.

It is Acadia's intention that all student and postdoctoral fellow Intellectual Property rights comply with Canadian IP laws and are aligned with the rights of the faculty and the staff.

APPENDIX A

Animal Care

AACC Secretary: Dr. Stephen Mockford
Ph: 585-1870
e-mail: Stephen.Mockford@acadiau.ca

Animal Care Training: Tanya Morse
Ph: 585-1188
e-mail: Tanya.morse@acadiau.ca

All research involving vertebrate animals or cephalopods at Acadia University must be in compliance with the Canadian Council on Animal Care Guidelines for Animal Care. As such, researchers or educators are required to complete an Animal Use Protocol for each project that makes use of vertebrate animals or cephalopods in research or teaching. In addition, the Acadia Animal Care Committee (AACC) Training Checklist must be completed for each individual participating in the project. To inquire about Animal Care Training Requirements, please contact Tanya Morse.

Once the Animal Use Protocol and AACC Training Checklist forms are completed, they should be e-mailed to the AACC secretary for review. To download AACC forms, to find out the next deadline for Animal Use Protocols or for contact information, please contact Tanya Morse.

Research Ethics Board

REB Chair: Dr. Stephen Maitzen
Ph: 585-1407
e-mail: smaitzen@acadiau.ca
Web site: <http://reb.acadiau.ca>

In accordance with the 2010 Tri-Council Policy Statement *Ethical Conduct for Research Involving Humans*, Acadia University's Research Ethics Board (REB) is in place to ensure that **all** research involving humans meets ethical guidelines and minimizes the risk of harm to subjects. The REB is an independent body that draws its membership from among Acadia faculty, students and members of the local community. It meets regularly throughout the year to review proposals. Any researcher who intends to conduct research involving living humans in any way (whether directly, through observation or through use of tissues) should consult the Tri-Council Policy Statement and the policies of the REB to find out if ethics review is required. To review these policies and to find out if your research requires ethics review, and to access application forms for ethics review, please visit the REB web site.

NOTE: Any research proposal requiring ethics review should be submitted electronically to the Board Chair **at least three weeks before the meeting at which the proposal is to be reviewed.** For a schedule of meetings visit: <http://reb.acadiau.ca/meetings.html>.

See also the [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans](#).