

Guide for Researchers
University of British Columbia Okanagan Campus

2020-2021

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UBC OKANAGAN RESEARCH GUIDE

Welcome to the 2020-21 Research Guide. In this guide, you will find the information and resources available to you with respect to funding opportunities, submission of applications for funding, certification requirements, research policies, and intellectual property and commercialization. The staff in the Office of Research Services (ORS) are here to assist you in obtaining funding for research. A list of the staff members and their portfolios is also included in this booklet. Please review the guide, and contact us if you have any questions concerning research funding administration.

OFFICE OF THE VICE-PRINCIPAL RESEARCH AND INNOVATION

UBC's Okanagan campus seeks to excel nationally and internationally in research and teaching, and to be a leader in discoveries and scholarship that serve as the wellspring of scientific, technological, social, cultural, and organizational innovation in Canada and beyond.

By conducting basic and applied research of international repute, and by equipping graduates with outstanding creative and analytical skills, the University aims to enhance its impact on society. UBC is committed to the principles of academic freedom, and in particular that faculty members are free to explore any avenue of inquiry in their research and publications. UBC actively supports its faculty members in engaging in unique and disparate areas of research.

Research activity at UBC's Okanagan campus is guided by *Shaping UBC's next century*, which is a UBC-wide strategic plan. Specific to the Okanagan Campus is the [Aspire Report](#) and a 20-year view for the campus. Visit [Shaping UBC Okanagan's Future](#) for details.

Primary Contact: Dr. Philip Barker
Vice Principal, Research and Innovation
Philip.Barker@ubc.ca

Website: <http://research.ok.ubc.ca/welcome.html>

OFFICE OF RESEARCH SERVICES (ORS)

The Office of Research Services seeks to advance research at UBC's Okanagan campus through the provision of high quality administrative service and support, in turn enhancing the promotion, development and management of research, knowledge transfer and innovation. Our goal is to provide an efficient, supportive “one stop” service to our faculty through a reliable and professional approach to research management.

Website: <http://ors.ok.ubc.ca/welcome.html>

Summary of Research Resources and Support Services

As UBC Okanagan's central research administration office, the ORS is the primary contact for the federal research granting agencies (CIHR, NSERC, SSHRC), government ministries, industry, associations, and foundations that typically provide financial support for scholarships, research and creative activities. We focus on supporting and promoting research at UBCO in all faculties, schools, research centres and institutes. This is accomplished by a variety of means, including:

- Identifying and disseminating information regarding funding sources, research opportunities and research-related events;
- Liaising with funding agencies on behalf of the researcher, and assisting in the development, submission and tracking of grant proposals and contracts, including ensuring compliance with policies and guidelines;
- Facilitating interdisciplinary and/or collaborative team grant proposals; identifying opportunities for the same;
- Providing and administering internal competitions for research support;
- Developing UBCO research policies, procedures, and schedules;
- Ensuring ethical, regulatory and contractual considerations are addressed;
- Receiving award notifications from agencies and establishing research grant accounts as well as transferring research funds among institutions;
- Identifying, developing, and facilitating research-development events (such as information sessions and workshops) for research-active faculty members;
- Monitoring research funding results and compiling university research reports;
- Implementing, managing and providing support for a number of innovative new research tools that assist researchers to prepare CVs and other standard forms, provide up to the minute analytics and metrics to gauge impact, including altmetrics, and inventory your research equipment, among others.

PRE-AWARD

ORS oversees all matters pertaining to pre-award research at UBC Okanagan. Any questions, concerns, or queries should be directed to a staff member of ORS. All research grant applications and contracts must meet the university requirements as set out by the ORS. This includes the proper and timely completion of forms, proposals, and any other required documentation.

ORS ensures that pre-award documentation is completed according to the policies and procedures of the University of British Columbia, granting agencies, foundations, and other entities. This includes obtaining institutional signature. The required UBCO Research Services forms can be found on the ORS website: <http://ors.ok.ubc.ca/forms.html>

Post-Award Administration— Research Accounts

ORS is committed to providing fiscal accountability for faculty-held research funds from public and private sectors by establishing—and along with Research Finance, maintaining and monitoring research accounts.

ORS CONTACTS

Name	Title	Area of Responsibility	Phone	Email
Kristen Korberg	Associate Director, ORS	Direction and overall administration of the Office of Research Services	250-807-8832	Kristen.Korberg@ubc.ca
Lisa Shearer	Associate Manager, BREB	Okanagan BREB and UBC REB information and assistance; assistance with RISE ethics applications; pre-review and support	250-807-8289	Lisa.Shearer@ubc.ca
Brianna Wells	Research Development Officer (Social Science and Humanities)	Proposal development and application submission process for external programs; assistance with research collaboration; research workshops and funding opportunities – SSHRC +	250-807-8520	Brianna.Wells@ubc.ca
Denise Maines	Research Development Officer (Natural Science and Engineering)	Proposal development and application submission process for external programs; assistance with research collaboration; research workshops and funding opportunities – NSERC, NFRF, EDI	250-807-8510	Denise.maines@ubc.ca
TBD	Research Development Officer (Health Research)	Proposal development and application submission process for external programs; assistance with research collaboration; research workshops and funding opportunities – CIHR + MSFHR		
Sandra Fox	Indigenous Community Liaison	Advise researchers as they engage with Indigenous communities and Indigenous community partners; Assists with targeted research opportunities	250-807-8187	Sandra.Fox@ubc.ca
Rachel Howard	Awards Coordinator	Research account set up; transfer of funds to other institutions; facilitates grant intake and institutional signature; provides administrative support for ORS	250-807-9412	Rachel.Howard@ubc.ca
Danielle Lamb	Major Awards Officer	Internal grants administration; coordinate major awards; coordinate ORS activities; post award oversight for Infrastructure projects and other major funding projects and teams; research clusters of excellence; maintains and distributes ORS newsletter	250-807-9658	Danielle.Lamb@ubc.ca

RESEARCH DEVELOPMENT AND SUPPORT

Research Development Officers (RDOs) work with applicants to develop projects, understand agency guidelines, and prepare competitive funding proposals. They are available at any stage in the pre-award process, and can provide assistance for projects and proposals through one-on-one consultations, workshops and presentations, and comprehensive proposal review and criteria assessment.

In particular, as equity, diversity and inclusion (EDI) become increasingly embedded in Tri-Council funding opportunities, RDOs are available to offer workshops and provide one-on-one advice regarding EDI in research funding applications.

Name	Title	Area of Responsibility	Phone	Email
Brianna Wells	Research Development Officer (Social Science and Humanities)	SSHRC+	250-807-8520	Brianna.Wells@ubc.ca
Denise Maines	Research Development Officer (Natural Science and Engineering)	NSERC, NFRF, EDI	250-807-8510	Denise.Maines@ubc.ca
Sandra Fox	Indigenous Community Liaison	Advise researchers as they engage with Indigenous communities and Indigenous community partners; Assists with targeted research opportunities	250-807-8187	Sandra.Fox@ubc.ca
TBD	Research Development Officer (Health Research)	CIHR and MSFHR		
Pierre Rondier	Institutional Programs Officer	CFI	250-807-9438	Pierre.Rondier@ubc.ca

Support Programs to Advance Research Capacity (SPARC): Vancouver Campus

SPARC provides support to Okanagan researchers, including system-wide internal peer review and online resources such as archived presentation materials and a sample grant library. UBCO RDOs work closely with SPARC to provide support for major funding competitions (e.g. NSERC Discovery Grants, SSHRC Insight Development Grants).

Website: <https://sparc.ubc.ca/>

INSTITUTIONAL CONTACTS

The table below lists various officials who will need to provide approval and signatures during the application process and in the dissemination of your award.

Area	Title / Role	Contact Name	Phone	Email
Vice-Principal	VPRI	Philip Barker	250-807-8139	vpresearch.ok@ubc.ca
Associate Vice-Principal	Associate VPRI	Paul van Donkelaar	250-807-8858	Paul.vandonkelaar@ubc.ca
Research Services	Associate Director, ORS	Kristen Korberg	250-807-8832	Kristen.Korberg@ubc.ca
	Associate Director, UILO	Derek Gratz	250-807-9853	Derek.Gratz@ubc.ca

Area	Title / Role	Contact Name	Phone	Email
Irving K. Barber Faculty of Arts and Social Sciences	Dean pro tem	Bryce Traister	250-807-9357	Bryce.Traister@ubc.ca
Irving K Barber Faculty of Science	Dean	Gino Dilabio	250-807-8617	Gino.Dilabio@ubc.ca
Faculty of Creative & Critical Studies	Dean	Bryce Traister	250-807-9357	Bryce.Traister@ubc.ca
	Associate Dean of Research/ Research Advisory Committee Member	Greg Garrard	250-807-9369	Greg.Garrard@ubc.ca
Faculty of Health & Social Development	Dean	Gordon Binsted	250-807-9642	Gordon.Binsted@ubc.ca
	Director Health and Exercise Science	Rob Shave	250-807-9708	Rob.Shave@ubc.ca
	Director School of Social Work	John Graham	250-807-8738	John.Graham@ubc.ca
	Director School of Nursing	Marie Tarrant		nursing.director@ubc.ca
	Research Advisory Committee Member	Joan Bottorff	250-807-8627	Joan.Bottorff@ubc.ca
Okanagan School of Education	Dean	Blye Frank	604-822-2049	Blye.frank@ubc.ca
	Director	Margaret Macintyre Latta	250-807-9176	Margaret.macintyre.latta@ubc.ca
	Research Advisory Committee Member	Sabre Cherkowski	250-807-9306	Sabre.Cherkowski@ubc.ca
Faculty of Management	Dean	Roger Sugden	250-807-9511	Roger.Sugden@ubc.ca
	Senior Advisor, Research/ Research Advisory Committee Member	Mary Butterfield	250-807-8157	Mary.Butterfield@ubc.ca
School of Engineering	Executive Associate Dean	Rehan Sadiq	250-807-9013	Rehan.Sadiq@ubc.ca
	Director	Mina Hoorfar	250-807-8804	Mina.Hoorfar@ubc.ca
	Research Advisory Committee Member	Lukas Bichler	250-807-8816	Lukas.Bichler@ubc.ca
Southern Medical Program	Interim Dean Regional Associate Dean, Interior,	Sarah Brears	250-980-1337	smp.rad@ubc.ca
	Research Advisory Committee Member	Kathleen Martin Ginis	250-807-9768	Kathleen.Martin.Ginis@ubc.ca
Vice-Provost and Dean of College of Graduate and Postdoctoral Studies	Dean	Peter Simpson	250-807-8803	Peter.Simpson@ubc.ca

TRI-AGENCY FUNDING

The **Canadian Institutes of Health Research (CIHR)** provides funding opportunities for four themes of health research: biomedical, clinical, health systems services, and social, cultural, environmental and population health. CIHR integrates research through a unique interdisciplinary structure made up of 13 "virtual" institutes which are networks of research. Each institute is dedicated to a specific area of focus, linking and supporting researchers pursuing common goals. This integrated approach brings together researchers, health professionals, and policy-makers from voluntary health organizations, provincial government agencies, international research organizations and industry, and patient groups from across the country.

The **Natural Sciences & Engineering Research Council (NSERC)** is the national instrument for making strategic investments in Canada's capability in natural science and technology. NSERC supports both basic university research through discovery grants and project research through partnerships among universities, governments, and the private sector, as well as the advanced training of highly qualified people. NSERC's role is to make investments in people, discovery, and innovation for the benefit of all Canadians. NSERC invests in people by supporting 26,500 university students and postdoctoral fellows in their advanced studies. It promotes discovery by funding nearly 10,000 university professors every year and helps make innovation happen by encouraging about 1,400 Canadian companies to invest in university research and training.

The **Social Sciences and Humanities Research Council (SSHRC)** is the federal agency that promotes and supports university-based research and training in the humanities and social sciences. SSHRC grant and fellowship programs allow researchers to explore, invent, and develop deep expertise in a wide variety of disciplines, as well as to target research to specific social needs. SSHRC programs also provide support for research training and communication activities. SSHRC administers the Canada Research Chairs Program. SSHRC partners with a variety of government, business, and non-profit organizations to develop and fund strategic research programs. These joint initiatives build knowledge and expertise on key social, cultural, and economical issues.

The **New Frontiers in Research Fund (NFRF)** is administered by the Tri-agency Institutional Programs Secretariat, which is housed within the Social Sciences and Humanities Research Council (SSHRC), on behalf of Canada's three research granting agencies. NFRF is composed of three streams to support ground breaking research:

- Exploration generates opportunities for Canada to build strength in high-risk, high-reward and interdisciplinary research;
- Transformation provides large-scale support for Canada to build strength and leadership in interdisciplinary and transformative research; and
- International enhances opportunities for Canadian researchers to participate in research with international partners.

For a list of tri-council/NFRF funding opportunities please visit the ORS website or the agencies' website:

NSERC: http://www.nserc-crsng.gc.ca/Index_eng.asp

CIHR: <http://www.cihr-irsc.gc.ca/e/193.html>

SSHRC: <http://www.sshrc-crsh.gc.ca/>

NFRF: <https://www.sshrc-crsh.gc.ca/funding-financement/nfrf-fnfr/index-eng.aspx>

UBC INSTITUTIONAL PROGRAMS

Institutional programs are research funding awards that are supported institutionally. Programs administered by the Okanagan ORS and the Institutional Programs Office on the Vancouver campus include:

- [Canada Foundation for Innovation \(CFI\)](#)
- [British Columbia Knowledge Development Fund \(BCKDF\)](#)
- [Canada Research Chairs \(CRC\)](#)
- [Western Economic Diversification \(WD\)](#)

Institutional Programs Officer [Pierre Rondier](#) in the Okanagan Office of Research Services administers the internal processes and provides extensive grant development support to Okanagan campus researchers applying to CFI attraction and retention opportunities. Major institutional programs and projects are administered by the VPR's Manager of Strategic Initiatives, [Christine Humphries](#). Internal processes and timelines specific to the Okanagan ORS can be found on the VPRI website [here](#).

The [Institutional Programs Office](#) on the Vancouver campus provides administrative and strategic support to all researchers pursuing major federal, provincial and regional infrastructure awards at the Vancouver and Kelowna campuses.

The Institutional Programs Office offers a variety of services to the UBC research community, including:

- Internal selection of funding applications to CFI;
- Post-award workshops to successful applicants describing funding agencies guidelines and the process of getting funding;
- Financial reporting on behalf of grant holders to funding agencies;
- Support for addressing audit issues on behalf of grant holders; and
- Financial and strategic support to selected units within the VP Research & International portfolio.

The Institutional Programs Office is located on the Vancouver campus:

Suite 4140 - 2260 West Mall
Vancouver, BC Canada V6T 1Z4
604-827-5170
ipo.admin@ubc.ca

FUNDING OPPORTUNITIES

Internal Funding Opportunities

There are some internal funding options available for faculty members at UBC's Okanagan. Full details regarding these opportunities can be found on the ORS website <http://ors.ok.ubc.ca/funding/internal.html> and the VPRI website <https://research.ok.ubc.ca/funding-support/internal-funding/>

Funding Opportunities

Visit our website at <http://ors.ok.ubc.ca/funding.html> for a list of the most common funding opportunities.

Funding Deadlines

A month-by-month list of UBC Okanagan internal deadlines can be found here:

<https://ors.ok.ubc.ca/funding/deadlines/>

PRE-AWARD ADMINISTRATION

Submitting your Grant Application

The University aims to hold the highest standards of accountability in the administration of its research activities (see [Policy LR2](#)). To this end, procedures have been established for the submission of applications and for the use of research funds. By carrying out these procedures, a sound and effective basis for accountability and ethical integrity takes place in research. Below is an overview of useful information that has been provided to assist in fulfilling your role in regard to research.

In preparing applications, it is important to note the requirements of both the sponsor and the University. ORS conducts reviews of all applications before they receive institutional approval (signature) and are forwarded to the sponsor.

Application Submission Process

Prior to submitting your application to the granting agency, applications must be submitted to the Office of Research Services for review and institutional signature.

All applications must be accompanied by a completed **Research Project Information Form (RPIF)** (<http://ors.ok.ubc.ca/forms/research-project-information-form.html>). This form must be signed by the PI and submitted along with a copy of the application to their Department Head/Dean for signature and approval before submitting to ORS.

In accordance with University Policy, all proposals for external funding for research and other projects must be signed in the following order by:

1. Principal Applicant (and co-applicants if any)
2. UBC Department/Unit Head (or Director of a School or Institute)
3. Faculty Dean or designate
4. Office of Research Services

*For applications which require naming and/or signature of the University Financial Officer, see Manager of Research Finance.

Note: Applications cannot be accepted without a completed and signed RPIF.

Please ensure that you provide our office with enough time to review and obtain the institutional signature: two full working days in advance of the sponsor competition deadline is required. [View information on the internal deadline policy](#). Please note that faculties may have their own internal schedule in addition to the ORS deadline – it is suggested that you check with your faculty administrator.

Meaning of Signatures

[View information on UBC's Okanagan campus signature policy, including implications of the signatures on the RPIF form.](#)

The University of British Columbia, and most external agencies, require that all applications for external research funding obtain the following minimum signatures:

- Principal Investigator - indicates acceptance of academic, professional, scientific, and technical responsibility for the project. In addition, it represents an undertaking to observe sponsor and University policies and regulations, as well as any special award conditions.
- Unit Head - indicates that the department is willing to accommodate the project; that required facilities and services are available; and that the Principal Investigator meets known University and sponsor eligibility requirements. It also represents general acceptance of expressed or implied time commitments, including willingness to recommend leave or other special arrangements as specified in the application.
- Dean or Director - indicates their knowledge of this research and acknowledge overall responsibility for the provision of all resources other than those covered by the award that are necessary for the project's execution. They further certify that space and any alteration costs thereto are available from Faculty resources and that if this is not the case, they will obtain prior approval from the Provost and Vice-President, Academic (such

- approval to be attached).
- Vice Principal, Research (or *designate) - confirms that the institution will accept and administer funds in accordance with agreed terms and conditions or will negotiate acceptable terms if these are not established at the time of application; that the Principal Investigator will have access to, and normal use of, University facilities and services; and that, when applicable, the project has been, or will be, reviewed for human ethics, animal experimentation, radiation, biosafety hazards and controlled goods.

**For the purposes of research grant applications and contract proposals, institutional signing authority rests with the University rather than the Principal Investigator, the Head, or the Dean. Authority may, under certain circumstances be delegated to a Manager or Director of Research.*

Special Requirements and Ethics Review of Application

Unless specifically requested by the Funding Sponsor, grant applicants are not required to obtain necessary compliance certifications for a grant until funds are awarded. However, any research activity involving the use of animals, biohazards or humans, must be approved by the appropriate certification committee prior to commencing such work regardless of the funding decision.

Financial Review of Application (by ORS during grant processing)

Sponsors often issue budget guidelines for personnel, ranges of salaries and benefits, allowances for travel and accommodation, and the rates of reimbursement for indirect costs. The University has similar guidelines. These external and internal guidelines are designed to assist (and not hinder) in the preparation of appropriate and realistic budgets. It is to the Principal Investigator's advantage to follow them.

LOIs and NOIs

LOIs and NOIs are included in the signature policy. Exceptions include the NOIs submitted online for the NSERC Discovery Grant, CIHR Project and Foundation registrations, and some LOIs required for internal vetting by UBC before beginning an application or formal LOI/NOI. It is best to consult with ORS if there is any question as to the whether the document requires Institutional signature.

POST-AWARD ADMINISTRATION

Once you have been notified that your grant has been awarded, a new research account must be established. If there is more than one source of funding for a project, typically separate accounts will be created for each agency that is funding your project. ORS facilitates this process in collaboration with Research Finance in accordance with any need for research compliance.

Office of Research Services Contact

Rachel Howard
Awards Coordinator
250-807-9412
Rachel.Howard@ubc.ca

Finance Operations to Facilitate Online Accounting Access

Finance Operations will provide online accounting access to the grant account information through the Financial Management System (FMS). See <http://finance.ok.ubc.ca/welcome.html>.

Finance Operations Contacts

Gerald Levac
Finance Manager
gerald.levac@ubc.ca

Arлуene King
Research Analyst: Irving K. Barber School of Arts and Science & Faculty of Creative and Critical Studies
arлуene.king@ubc.ca

Deanna Dolhanty
Research Analyst: Faculty of Applied Science, Faculty of Management and Okanagan School of Education
deanna.dolhanty@ubc.ca

Nicole Carlos,
Research Finance Manager: Faculty of Health & Social Development
nicole.carlos@ubc.ca

Documentation Required by ORS to Establish a New Research Account

- Award notification from sponsor/funding agency and/or contract terms and conditions;
- In the event an award has not been the result of an application submitted to ORS, a **Grant Information Form (GIF)** with project and budget details as well as department and faculty signature is required (<http://ors.ok.ubc.ca/forms.html>).

Grant term Extensions

Extensions to award term, in most cases, require the permission of the funding source. Eligible UBCO internal grants may be extended up to one year by ORS if the office is contacted *at least* six weeks prior to term end date.

Transferring Funds (sub-grants)

Transferring funds between co-applicants is permitted per the terms of the funding agency. Please complete *Request for Issue of a Sub-grant* form available [here](#).

Study Leave and Salary Leave Research Grants

Under certain circumstances, faculty who have been granted study or administrative leave may take a portion of their salary as a grant. Information, tax bulletins, and forms [here](#).

Projects Involving Animals, Biohazards, or Human Subjects

For research with special requirements (animal, biohazards, or human subjects), ORS requires that full approval be issued by the appropriate UBC REB before funds will be released. The UBC Researcher Information Services (RISe) coordinates both grant and account processing along with research compliance to the extent that it is not possible to release funding without this approval.

Request for funding release prior to Human Ethics review: In some circumstances, partial funding (up to 40% of year one) may be released to the researcher before full approval is granted to allow for initial preparatory work that does not involve human participants. See the form here: <http://ors.ok.ubc.ca/forms.html>. Please note that **student projects** are **not** eligible for partial funding release.

RESEARCH REQUIRING CERTIFICATION

Protecting Human Research Participants

UBC's program to protect human research participants seeks to ensure that UBC research is conducted in accordance with the highest ethical standards. As articulated in Canada's recently revised national guideline, the Tri-Council Policy Statement on Ethical Research Involving Humans (TCPS2), there is no doubt that research benefits society in countless ways. However, some research can involve certain risks to research participants. Accordingly, UBC's Policy LR9 mandates that all research involving human participants that is conducted under the auspices of the University must be approved by and overseen by a sanctioned Research Ethics Board. The Research Ethics Boards at UBC and affiliated institutions ensure that research is designed and conducted to protect the rights, welfare and privacy of research participants. The appropriate approvals must be in place before funding is released.

Research Ethics Boards

Research Ethics Boards (REBs) are independent committees established by the University and in partnership with its affiliated hospitals and research institutes. Acting on behalf of these institutions, REBs are authorized to review the ethical acceptability of research and to approve, reject, propose modifications to, or terminate any proposed or ongoing research involving human participants.

UBC's REBs are independent of the parent institution(s) in their decision-making, and they are required to operate free of inappropriate influence, including situations of real, potential or perceived conflict of interest. The parent institution(s) may not override REB decisions concerning the ethical acceptability of a study.

UBC's REBs meet all requisite criteria for an authorized research ethics board, pursuant to the Tri-Council Policy Statement (TCPS2), the International Conference on Harmonization Good Clinical Practice Guidelines (ICH-GCP) and the requirements of the US Department of Health and Human Services, as set out in the Federal Policy for the Protection of Human Subjects, 45CFR Part 46, sub-part A.

The mandate of the REBs at UBC is:

"To assist the University and its affiliated hospitals and agencies to create a research environment in which human participants are protected and to ensure responsibilities are discharged according to the relevant ethical standards, by promoting awareness of research ethics amongst faculty, staff and students, by independently reviewing research studies in accordance with the guiding ethical principles of the Tri-Council Policy Statement, and to put into place mechanisms for the protection of human participants in ongoing research conducted under the auspices of the University of British Columbia."

There are six UBC affiliated REBs:

- UBC Okanagan Behavioural REB (UBCO BREB)
- UBC Vancouver Behavioural REB (BREB)
- UBC Clinical REB (CREB)
- UBC-BC Cancer Agency REB
- UBC Children's and Women's REB
- UBC-Providence Health Care REB

All six REBs are governed by the same policies and standard operating procedures:

<https://ethics.research.ubc.ca/about-human-research-ethics/ethics-boards>

Any research or study conducted at UBC campus facilities or undertaken by persons connected to the University involving human participants must be reviewed and approved by the appropriate REB.

All applications for review and certification are submitted electronically on the [Researcher Information Services \(RISe\) website](#).

Please note that when submitting an ethics application that **all researchers** (faculty, students, residents, staff) are required to complete the TCPS2 tutorial "Course on Research Ethics" (CORE) offered free by the Panel on Research Ethics (PRE). The tutorial can be found [here](#)

UBC Okanagan Behavioural Research Ethics Board (BREB)

The UBC Okanagan BREB is responsible for reviewing behavioural research conducted by faculty and students of the Okanagan Campus. Activities that fall under the review of the UBCO BREB include procedures that require potential invasions of privacy (such as participation in questionnaires, interviews, observation, data linkage, secondary use of data, deception, testing, video and audio taping).

UBC Okanagan Contacts:

Lisa Shearer

Associate Manager, Behavioural Research Ethics Board (BREB)

250-807-8289

Lisa.Shearer@ubc.ca

UBCO BREB co-Chairs:

Carolyn Szostak

Carolyn.Szostak@ubc.ca

Wendy Klassen

Wendy.Klassen@ubc.ca

UBCO BREB <http://ors.ok.ubc.ca/ethics.html>

UBC REBs <https://ethics.research.ubc.ca/>

UBC Clinical Research Ethics Board (CREB)

The CREB reviews research that involves surgery, clinical interventions, exercise programs, and/or the analysis of clinical data. Activities that fall under CREB review include: the administration or testing of drugs, medical devices, medical imaging or diagnostic techniques; and the taking of blood or other specimens. It also includes the analysis of laboratory, physiological, kinesiological or biological data obtained from physical interventions, medical records or clinical studies involving the linkage of data from existing databases.

While located on the Vancouver Campus, the CREB reviews clinical research conducted at UBC's Vancouver and Okanagan campuses and at Vancouver Coastal Health Authority sites (including UBC Hospital, Vancouver General Hospital, and GF Strong). It also reviews any clinical research that does not fall under the purview of site-specific REBs at the BC Cancer Agency, Children & Women's Hospital or St. Paul's Hospital (Providence Health Care).

Contact

Pia Ganz

CREB Manager

604-875-4149

Pia.Ganz@ors.ubc.ca

UBC CREB <https://ethics.research.ubc.ca/clinical-research-ethics>

Animal Care Committee (ACC)

UBC recognizes that involving animals in teaching and research is a privilege, not a right. A series of procedures and

policies are strictly enforced, internally and externally, to ensure that animal care is a primary consideration in meeting the goals of teaching and research.

Any research or teaching conducted at UBC or by persons affiliated with the UBC that involve the use of animals (including fish) must conform to associated policies and procedures and must have the approval of the UBC Committee on Animal Care.

ACC Website: <https://animalcare.ubc.ca/>

Biohazardous Materials

Any activities conducted at UBC facilities or affiliated institutions that involve biohazardous materials must be reviewed and approved by the UBC Biosafety Committee prior to the start of the research project. This includes research and teaching with: cultured animal cells, cell lines, recombinant DNA, plasmids, parasites, toxins, microorganisms (including viruses and bacteria), and primate body fluids (including blood), and PRIONS.

Biosafety Website: <https://ors.ubc.ca/compliance-reporting/compliance-requirements/biosafety>

Contacts:

Suzanne Richardson
Manager Animal Care & Biosafety Committees
604-827-5111
Suzanne.richardson@ors.ubc.ca

Fred Woo
Animal Care & Biosafety Assistant
604-827-5115
Fred.Woo@ors.ubc.ca

GRANT FUNDED RESEARCH PERSONNEL

Hiring Students/Support or Research Personnel

UBC encourages the employment of students on its Vancouver and Okanagan campuses. By employing our students, the University provides financial support and formal academic training for students to work in areas related to their fields of study. Contact your [HR Okanagan Associate](#) with any questions regarding hiring a student as an employee.

Both campuses offer many types of student employment opportunities, including undergraduate and graduate work, and co-op programs. In order to ensure the best working experience for our students, please review the following information to decide which type of student appointment is the right fit for your department. This information will assist your compliance with the University's various obligations as an employer.

The Student Information Service Centre (SISC) is geared to faculty and staff who perform student-related administrative and advising roles on campus. The SISC includes biographic and demographic information, admission and registration information, academic records, etc. [Learn more](#) | [Request SIS Access](#)

The following links are useful resources when hiring a student:

[Planning For a Student Worker](#) Defining Student Work, Supervising Student Workers, Salary, Hours of Work, Benefits, Vacation Pay, Sick Time, Statutory Holiday Pay

Appointment and Payroll deadlines

[Hiring a Student Worker](#) Co-op Students, Eligibility for Student Appointments (Excluding Co-op), Advertising a Student Position, Searching and Selecting (the Interview), Making an Offer, Paperwork, Pay, Common Types of Student Appointments ([Student Appointment Matrix](#))

[Ending Student Appointments](#) Resigning, Terminating, T4s and T4As

Please see "Recruiting Staff at UBC's Okanagan Campus" for a complete guide to staff recruitment

<http://hr.ok.ubc.ca/resources/recruitment.html>

Finance Operations and Strategies Payroll can support by:

- Processing approved appointments, eForms and timesheets that are submitted within payroll deadlines to avoid the following: over-payments or no payments at all; wrong accounts being charged; and student and administrative stress
- Ensuring that payroll has the following documents to complete the electronic appointment form:
 - Payroll Direct Deposit (must be with a Canadian banking institution)
 - NO forms with handwritten numbers will be processed
 - Tax forms (TD1 BC and TD1 Federal) which can be found at: <http://pps.ok.ubc.ca/reference/forms.html>
 - If the Social Insurance Number (SIN) begins with the digit 9, a valid Study Permit is required; Appointment eForm will not let you continue without the Study Permit. ***Both the Study Permit AND the confirmation of the extension of the SIN are required before Payroll can process the appointment***
- Managing any employee questions regarding payroll and investigate and resolve any errors in payroll in a timely manner.
- Liaising with shareholders such as Service Canada, CRA, UBC Vancouver and Immigration by way of phone calls, letters, employment verification and records of employment.
- Processing benefit enrollments and adjustments.

Contact: ubco.payroll@ubc.ca

RESPONSIBILITIES OF PRINCIPAL INVESTIGATORS

Principal Investigators are required to conduct themselves and their research responsibly and with integrity in accordance with the terms of the *Tri-Agency Framework: Responsible Conduct of Research*. The administrative responsibilities of Principal Investigators with respect to research funds awarded to them in support of their research or in support of specific contractual research or service activities will be outlined herein.

The University as a steward of the research funds provided through an award has established a series of policies and procedures aimed at ensuring:

- the ability to comply with the regulations of the research sponsor;
- the proper management of the funds;
- accountability to the sponsor and other university stakeholders; and
- the effective conduct of the research activities in accordance with the highest standards of professionalism, safety and ethics.

The University delegates the overall responsibility for the pursuit and management of the research proposal to the Principal Investigator as an employee of the University and as the person who is most knowledgeable about the research proposal. The University supports the Principal Investigator in meeting their responsibilities by providing organizational infrastructure to support compliance with the requirements of the University and the sponsor.

Principal Investigators are responsible for conducting their research as indicated in the proposal, and for the overall sound administration of all research funds allocated to them, including:

- the proper allocation of research funds and sound financial management;
- human resource management and supervision of employees and students;
- ensuring a safe working environment;
- ensuring compliance with the terms and conditions governing the grant or contract; and
- ensuring that expenditures do not exceed the value of the award.

Policies and Procedures

Principal Investigators must know, understand and apply all applicable policies and procedures of the University and of the sponsor. Where there is a difference between the policies of the University and the sponsor, the more stringent requirement will be followed.

Conduct of Research

Principal Investigators are responsible for the conduct of their research projects, including:

- doing the work, monitoring, and controlling the progress of the project in a professional manner;
- ensuring compliance with University policies and procedures;
- ensuring compliance with the sponsor's rules and regulations and contractual terms and conditions;
- ensuring compliance with the *Tri-Agency Framework: Responsible Conduct of Research*;
- all scientific and technical discussions with the sponsor and reporting to the sponsor. In particular, the Principal Investigator must ensure that all non-financial reports (progress and final reports, deliverables, etc.) required by the sponsors are submitted in a timely manner, as required to ensure that the University receives the committed funds; and
- supervising their support staff and students, in accordance with the University's policies and procedures related to Human Resources. The Principal Investigator is responsible for overseeing all research conducted by his or her students and research staff and must ensure that all research staff are aware of and abide by the terms and conditions of the award and the policies and procedures of the University.

Matters with Sponsors

The Principal Investigator is responsible for all interactions with the sponsor related to the technical aspects of the research project. The Principal Investigator must inform and provide any correspondence/documentation to ORS, for all matters related to changes to the research project, including changes in dates, budget allocations, increases or decreases to the amount awarded, and any changes to the project which may require written amendment or written approval.

Principal Investigators **are not authorized** to sign applications, proposals, contracts, or contract amendments on behalf of the University. All documents of this nature must be signed by the Vice Principal, Research or their designate.

Financial Management

Effective financial management is expected and required of all Principal Investigators conducting research at the University of British Columbia. Accountability of these research funds is demonstrated by ensuring the following:

Financial Planning

It is required that all Principal Investigators plan, allocate and distribute their expenditures in a manner which will provide for reasonable completion of their project within the financial limits of the award. Principal Investigators must ensure eligibility of all expenses in accordance with rules and regulations of the sponsor and plan for contingencies.

Financial Transactions

The Principal Investigator initiates and approves all requests for commitments and transactions for supplies, services, and enumeration. The Principal Investigator ensures that activities comply with University policies and procedures and the requirements of the sponsor and that the activities are eligible costs under the guidelines for the award or contract and has been approved in the budget submitted to the sponsor. The Principal Investigator sees that the expenses or commitments are charged to the appropriate Grant Account, are necessary to the research endeavor being undertaken, and that there are sufficient funds to cover the transaction.

Financial Monitoring

The Principal Investigator ensures constant supervision and monitoring of the funds by reviewing their accounts in FMS and identifying and reporting any discrepancies, errors and inconsistencies to Research Finance (RF). The Principal Investigator exercises financial control over grant funds through the review of claims, submission of original vouchers, stubs, receipts, and other documentation, the authorization of all expenditures, and the review of all applicable financial reports.

Financial Reporting

The Principal Investigator ensures that all financial reports prepared by RF, as required by the sponsor, are carefully reviewed and approved for submission in a timely manner. All financial statements, reports, and invoices must be submitted to the research sponsors by Research Finance after review and approval by the Principal Investigator.

Over-Expenditures

Principal Investigators are accountable and responsible for all deficits resulting from over- expenditures, expenses deemed ineligible by the sponsor or for failure of the Principal Investigator to comply with the rules and regulations of the sponsor. Principal Investigators must ensure that their available funds are not over-spent, and shall work with RF to make the necessary arrangements should this occur.

OVERVIEW OF THE COSTS OF RESEARCH

Direct Costs

Direct costs of research include research personnel costs, consumables, taxes, equipment, sometimes space cost (per area), and any applicable taxes.

Eligible Use of Funds

Eligible expenses are determined by the sponsor or funding agency.

The Tri-Agency Guide on Financial Administration (TAGFA) is in effect for all eligible administering institutions on April 1, 2020. This Guide streamlines and simplifies the administration and use of grant funds by creating a 'principles-based' guide that promotes efficiencies, reduces administrative burden and provides greater flexibility to administering institutions and grant recipients in ensuring the appropriate accountability and use of grant funds. This principles-based guide will foster a balance between control and flexibility, and it will also take into consideration existing administering institutions' policies, processes and internal controls.

<https://finance.research.ubc.ca/sites/default/files/documents/New%20Guide%20Summary%20Jun%2010%202019.pdf>

Personnel

Information on budgeting for research personnel is included in the section entitled "Hiring Students/Research or Support Personnel" in this guide.

Space

If this is an eligible expense, contact Facilities Planning, Campus Planning, and Development.

<https://facilitiesplanning.ok.ubc.ca/contact/>

Indirect Costs of Research

Indirect costs of research are ongoing, necessary operating expenses that cannot be attributed to any one department, project or product. Indirect costs must be included in the budget for all funding opportunities, with the exception of NSERC, CIHR and SSHRC, as detailed below.

The costs of doing research may be separated into direct costs and indirect costs (or "overhead"). Direct costs are costs *directly* related to research projects and may include salaries and benefits, supplies, equipment, research-related travel, fees and consultant costs. Indirect costs are real costs that are *indirectly* related to research projects and include:

- Building operating costs including heating, cooling, power, cleaning, maintenance and landscaping;
- Faculty and departmental services such as machine and electrical shops, secretarial and office assistance, purchasing, shared equipment, etc.;
- Academic services such as the Library and Computing Service;
- University-provided administrative services such as Purchasing, Finance, and Human Resources, as well as the University administration itself, President's Office, Deans, Department Heads and Directors and administrative staff;
- Research and contract administration & support such as Office of Research Services, University-Industry Liaison Office, Research & Trust Accounting, CFI Office, Health Research Office, Hospital Research Institute Administrations, etc.; and
- Faculty salaries.

Principal Changes to the UBC Policy on Indirect Costs of Research

Indirect costs of research have traditionally been absorbed to a significant extent by the University, diverting vital resources away from research infrastructure. Recent changes to the Indirect Costs Policy will help the University to recover these charges and, in turn, improve support and services to the wide community of researchers in all locations and across all disciplines.

Researchers must apply indirect costs of research recovery charge, per the rates table which can be accessed in RISE (via the ICR Rates tab) to the total cost of all research grants, contracts and agreements for research projects sponsored by industry and government with the exception of most Tri-Council grants (CIHR, NSERC, SSHRC). UBC already receives an overhead allocation for these grants through the Federal Indirect Costs Program. Donations for research projects given by groups or individuals are **not** exempt from ICR. Unless a sponsor requires the indirect costs of research to be presented as a separate line item, the appropriate costs should be built into each budget line item. Indirect costs of research will be automatically deducted from research accounts at the standard (or special) rate as expenses are incurred.

ICR FAQs . For additional information, please see UBC's ICR FAQ page: <https://research.ubc.ca/support-resources/indirect-costs-budgeting-finance/indirect-costs-faq>

**Note that rates on this page may differ from UBCO ICR policy; Okanagan researchers should adhere with the rates as published by the Okanagan Vice Principal Research: <https://ors.ok.ubc.ca/policies/icr-rates/>

***Special rates apply to *certain* government and non-profit agencies - these specific rates can be found in RISE under the ICR rates tab.

UNIVERSITY INDUSTRY LIAISON OFFICE

The UILO supports interaction between the University and industry and other community partners in many different forms, including research partnerships that investigate areas of mutual interest, the commercialization, distribution and dissemination of research outputs, and the development of entrepreneurial talent and new ventures.

Industry Engagement

The UILO negotiates, drafts, and administers industry-sponsored research for The University of British Columbia, and undertakes many of these tasks for UBC's Affiliated Hospitals. It also works to create and nurture ongoing, multi-faceted relationships with industry partners.

Government and Non-profit Partnerships

The UILO negotiates, drafts and administers government and non-profit contracts and agreements in order that UBC research may impact policies and help to improve services and products for the benefit of society.

Knowledge Mobilization

The UILO works with researchers to assess the potential impacts of their research outputs, and to find suitable partners, licensees, stakeholders, influencers or investors to implement, develop, commercialize or otherwise advance these outputs and maximize their academic, societal, economic and financial impacts. This includes assistance with patents and licenses of research results to potential industry partners.

Entrepreneurship

In addition to supporting the creation of spin-off companies based on UBC intellectual property, the UILO is a founding partner in entrepreneurship@UBC, extending its services and support to the entrepreneurial activities of a wide range of student, staff, faculty and recent alumni.

When You Should Contact UILO

If you are a researcher at UBC or an Affiliated Hospital:

- looking to partner in industry-sponsored research
- looking to take part in a research contract or agreement with government or non-profit organizations
- with a research output that you are interested in commercializing or disseminating
- transferring to UBC from another academic institution
- looking to transfer materials

A potential partner:

- looking to partner with UBC on a research project
- interested in licensing a UBC technology or accessing a UBC discovery
- interested in investing in UBC technologies

Student, Faculty, Staff or Recent Alumni:

- interested in creating a new venture

Okanagan UILO Contacts:

Derek Gratz
Associate Director UILO
250-807-9853
Derek.Gratz@ubc.ca

Barbara Stein-Zarchikoff
Administrative & Special Projects Coordinator
250-807-8195
Barbara.Steinzarchikoff@ubc.ca

IMPORTANT POLICIES

The following UBC policies are those relevant to research, industry sponsored research, technology commercialization and knowledge mobilization.

All links below are Abode PDF documents.

Policies

- UP5 - [Ownership and Use of UBC Equipment and UBC Support Services](#)
- FM8- [Travel and Related Expenses](#)
- #84- [Entertainment \(under review\)](#)
- SC6 - [Scholarly Integrity Policy](#)
- LR2 - [Research Policy](#)
- LR11 – [Inventions and Discoveries](#)
- See also: [Tax Treatment of Payments under Policy #88](#)
- LR9 - [Research Involving Human Participants](#)
- FM4 - [Over-expenditures on Research and Specific Purpose Trust/Project Grants](#)
- SC3 - [Conflict of Interest & Conflict of Commitment](#)

It is important that COI forms are completed when submitting Ethics documentation. It must be completed every year for funds to be released.

RISe - On-line Conflict of Interest and Conflict of Commitment Declaration forms

- LR8 - [Acceptance, Management and Sale of Technology Licensing Equity](#)
- UP6 – [Third-Party Use of University Trade Marks](#)

Signing Resolutions

- #1 - [Signing Authority: General Contracts & Agreements](#)
- #11 - [Signing Authority: Research Contracts & Agreements](#)

OTHER RESOURCES

Centre for Scholarly Communication

<https://library.ok.ubc.ca/research/csc/>

Health, Safety and Environment (HSE)

<https://hse.ok.ubc.ca/about/contact/>

hse.ok@ubc.ca

The primary objectives of the HSE team are to support the safety of members of the UBC community and to promote the identification and control of hazards associated with UBC work. Researchers have great responsibility as it relates to the work that they are engaged in and supervision of their students and employees. HSE supports researchers by providing education about these responsibilities and strategies for ensuring a safe work environment. HSE also supports research activities by providing technical training (i.e. Chemical Safety, Biosafety, Radiation Safety) and technical services (i.e. Waste Removal, Hazard Identification and Mitigation, Utility Criticality, Travel and Field Safety), as needed.

Training: HSE offers several courses aimed at enhancing safety awareness and educating members of the community around their rights and responsibilities. These courses range from general safety awareness training to more technical training for those who perform work where there are more significant hazards. To become informed of the required courses and those that are available to further support your safety, please see our [training](#) website.

Health and Safety Committees: HSE supports the three Joint Occupational Health and Safety Committees that operate on the Okanagan Campus. <https://hse.ok.ubc.ca/committee/>

Research Computing

- IT infrastructure quote preparation for research grant applications including CFI, NSERC, SSHERC, CIHR. Pre & post award
- Technical consultation on research projects
- Facilitate access to High Performance Compute (HPC) systems and storage
- Unique support solutions for specialized instrumentation and computer hardware
- Coordination of hardware/software configuration and install

Conor English

Project Manager, Research Computing

Conor.English@ubc.ca

<https://it.cms.ok.ubc.ca/services/research/>

University Relations

<https://ur.ok.ubc.ca/>

University Relations is a central unit leading campus-wide communications initiatives in collaboration with communications staff in faculties and administrative units. Areas of general responsibility include:

- Media relations and issues management
- Okanagan leadership and related internal communications
- Student communications
- Campus promotion and support for faculty-driven academic program marketing
- Brand advocacy and creative design
- Community engagement support
- In addition, the Ceremonies unit is responsible for planning Convocation and many other high-level events on behalf of the DVC and Principal, Provost and Vice-Principal Academic, Vice-Principal Research, Board of Governors, and President's office.