Name: **Guidelines for Research Grant Holders**

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Congratulations, the fact that you are reading this document means that your application for a research grant was successful. This can be a very exciting yet overwhelming time, especially for new researchers. This document is meant to address some of the more common issues that researchers have when dealing with funding. If after consultation with this document you still have questions, please do not hesitate to contact the Office of Research and Graduate Studies (ORGS) staff. They will be more than willing to help you. Researchers should consult the ORGS website (www.cbu.ca/research) and in particular the research policies section (specific links are provided later in this document).

1. ACCOUNT OPENING FOR RESEARCH GRANTS

In most cases, if a grant application was processed by the ORGS, the funder will notify the ORGS directly regarding the success of the application. Usually the ORGS will notify the applicant of the results. At that time, the ORGS will begin the process to open an account for the researcher. In rare instances, the agency does not notify the ORGS of the researcher's success. In the event that the researcher hears of his or her success via the agency and NOT from the ORGS, it would be best to forward all notices to the ORGS. The ORGS is responsible to open the new account and forwards the appropriate form to the Finance Office. Researchers should not send the documentation directly to the Finance Office as it may be missing important internal documents or agency guidelines. When your account is opened you will receive notice via email from the Finance Office along with general information on accounting and business procedures.

If you are a co-investigator on a grant where the Principal Investigator (PI) is at another institution, that institution may transfer funds to CBU. This is handled through a sub-grant agreement. The Finance Office and the ORGS will work with the other institution to coordinate the process; however it is important that the researcher notify the ORGS and Finance Office of the success of the grant application and the need for a sub-grant. The Finance Office also does this for grants when the PI is a CBU faculty member, and co-investigators are at other institutions.

2. RESPONSIBILITIES FOR DATA STORAGE

Unlike many forms of traditional archiving, research data archiving is not just about keeping records for legal, historical or cultural purposes; it is also about meeting the needs of researchers operating in today's digital environment. The core mission of a research data archive is not to preserve the recorded memory of a group, organization or nation, but to provide a vital service to the research community. (http://www.sshrc-crsh.gc.ca/about-au_sujet/publications/da_finalreport_e.pdf, page 22)

In response to a lack of national guidelines for data storage, at CBU, researchers are asked to employ "off the shelf" technology (i.e. external hard drives) to preserve their researcher data, and in the case of ethically sensitive material, to house and protect this data to their utmost ability (i.e. in a locked place with

limited access, and enlisting passwords to access the data). Researchers should list materials needed for data storage in grant applications.

3. PUBLISHING

In many cases, the results of a research project will be published in an academic article or a book. Traditionally, this was in a print version under the pay for access model (researchers transfer copyright to publisher who charges for access), however increasingly there are other models being employed in academic publishing.

3.1   Open Access

Open Access basically means that the publication is freely available to the general public. In some cases, there may be fees to publish in an open access journal (i.e. the research pays to provide access). For a good discussion of Open Access, see this informative website (http://legacy.earlham.edu/~peters/fos/overview.htm) by Peter Suber, Director of the Harvard Open Access Project. His book on the subject is available through Amazon, however, the website is very extensive.

The push behind open access at the moment is to disseminate research, specifically research funded by tax dollars, and make it readily accessible to the public. Of course, any research can be published in Open Access journals and there is an inherent value and service in making research accessible.

3.2   Predatory Publishing

The legitimate push for open access has been clouded by publishers that take advantage of researchers and charge exorbitant fees for publication with suspect peer-review practices. Jeffrey Beall, a university librarian at UCD in Denver, Colorado maintains "Beall's List" of Predatory Publishers. The website scholarlyoa.com also outlines what predatory publishing is and how to avoid it.

Your academic association can also be a good source of information about where people in your field are most likely to publish. Many academics believe that if they have to pay for publication that this means the publisher is unsavory. This isn't necessarily the case as the publisher may ask for funds to assist with anything from editing to image reproduction. Asking for funds can be a tip off but it is not the only warning flag, nor the only issue that makes a publisher predatory.

Another issue to watch for is mass emails for conferences or publications, which do not seem tailored to your interests or expertise, but are general and extremely (or alarmingly) inclusive.

4. RESEARCH ETHICS FOR RESEARCH INVOLVING HUMANS

To be eligible to receive and administer research funds from the Tri-Council Agencies (NSERC, SSHRC, CIHR) institutions must agree to comply with a number of Agency policies set out as schedules to a Memorandum of Understanding (MOU) between the Agencies and institutions. Institutions must therefore ensure that research conducted under their auspices adhere to the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans* (TCPS). Researchers are expected, as a condition of funding, to adhere to the TCPS. See www.cbu.ca/research for more information.

5. ANIMAL CARE

The keystone of the Canadian system of oversight of the care and use of animals in research and teaching is the local institutional animal care committee (ACC) set up by each participating institution to the Canadian Council on Animal Care (CCAC) Program. Institutional ACCs are responsible for overseeing all aspects of animal care and use, and for working with animal users, animal care personnel and the institutional administration.

Universities must hold a CCAC accreditation in order to keep funding agreements in place. See www.cbu.ca/research for more information.

6. REPORTING TO EXTERNAL FUNDERS

Many funders require annual reporting and also most all sponsors require a formal report at the completion of the research. The researcher is responsible for filing the narrative report that discusses the research, while the Finance Office typically provides the financial reports for grants.

In the case of Canada Foundation for Innovation and Canada Research Chairs grants, the ORGS also completes institutional reports. The grant holders must still complete their own reports.

7. PROTECTING INTELLECTUAL PROPERTY

Under CBU policies and collective agreements, the intellectual property (IP) resulting from a research project normally belongs 100% with the researchers. However, when multiple researchers are involved in a project or a researcher is discussing the results of the research, such as at conferences or with individuals outside CBU, it is important to make sure the IP is protected. Additionally, certain federal grants, such as NSERCs Engage, specify that IP belongs to the company partner. The industry liaison officer (ILO) can help researchers understand IP issues and ensure their IP is protected.

7.1   **Nondisclosure Agreements**

A Nondisclosure Agreement (NDA) is used prior to a researcher making a disclosure of IP to a party outside CBU. The NDA restricts what the third party may do with the information that has been disclosed and, is an essential step if there is any thought of proceeding with patent protection in the future.

7.2   **Patents and Commercialization**

If the outcomes of a research project have commercial value, the researcher should consider whether or not a patent is necessary to protect the research and should also develop a commercialization plan. Under CBU policy, the researcher is free to pursue patenting and commercialization on his or her own. However, the ILO is an expert in such matters and can provide valuable assistance. Prior to the ILO pursuing IP protection and commercialization on behalf of a researcher, the researcher must assign the rights of the research to CBU.

8. FEDERAL GRANTING COUNCIL POLICIES

This section contains links to a few of the more relevant policies and procedures for the various Federal Granting Councils. Further documents on the various programs are available on the [CFI](), [CIHR](), [CRC](), [NSERC]() and [SSHRC]() websites. If a researcher has questions or is unclear about a procedure or the eligibility of an expense, she or he should contact the ORGS or Finance Office for further information.

8.1   **Canada Foundation for Innovation**

- [Policy and program guide]()

8.2   **Canada Research Chairs**

- [Chairs Financial Administration Guide]()

- [Communication Guidelines for Chairholders]()

8.3   **Tri-Agency**

- [Research Data Archiving Policy]()

- [Responsible Conduct of Research]()

- [Special Requirements for Research]()

- [Tri-Agency Financial Administration Guide]()

- [Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans]()

- [Use of Grant Funds]()

9. LINKS TO RELEVANT CBU POLICIES AND PROCEDURES

Policies related to research grants can be found on the CBU research policy website (www.cbu.ca/research/policies) and the Finance Office intranet (https://www.cbu.ca/intranet/finance). Direct links to some of the more applicable ones are listed below.

9.1   General

- Animal care Committee

- Integrity in Research and Scholarship

- Research Assistant Employment

- Research Ethics Board

- Research Proposals and Agreements

- Start-up Grants

- Visiting Researchers

9.2   Financial

- Cheque requisition

- Employment Contract

- Financial Policies and Procedures Manual

- Purchase Requisition

- Purchasing Card Policy & Procedure Manual

9.3   Travel

- Helpful hints when travelling

- Important information for those traveling or working off campus

- Research Conference Travel

- Travel expense form and instructions

- Travel Reimbursement Rates