



University
of Windsor

Office of Research and Innovation Services

University of Windsor Research Guide

2017

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UNIVERSITY OF WINDSOR RESEARCH GUIDE

Welcome to the 2017 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 and Innovation Services (ORIS) are here to assist you in your goal of obtaining funding for research. A list of the staff members and their portfolios is included in this booklet. Please review the guide, and contact us if you have any questions concerning research administration.

1. ORGANIZATIONAL STRUCTURE

Office of the Vice-President, Research and Innovation

The **Vice-President, Research and Innovation (VPRI)** fosters focused and multidisciplinary research through cooperative efforts, and translates academic research into products and services that contribute to the region's and to Canada's economic and social development. The University of Windsor's Strategic Research Plan and Strategic Research Plan Implementation are available at the website indicated below. The VPRI's mandate is to ensure that you are provided with an environment facilitating research, scholarship and creative activity.

The VPRI, with the assistance of the Executive Director, Research and Innovation and ORIS, is responsible for the research resources and support services described in this guide. We are committed to improvements of processes and practices which promote your success.

Primary Contact: Dr. K.W. Michael Siu, PhD, FCIC, FRSC
Vice-President, Research and Innovation
Email: vpri@uwindsor.ca

Ms. Amy Davie
Executive Assistant to the Vice-President, Research and Innovation
Phone: 519-253-3000 ext. 3925
Email: acdavie@uwindsor.ca

Ms. Jayne Pierce
Secretary to the Vice-President, Research and Innovation
Phone: 519-253-3000 ext. 3987
Email: jaynem@uwindsor.ca

Website: www.uwindsor.ca/vpri

Organizational Chart: [On-line Organizational Chart](#)

Office of Research and Innovation Services (ORIS)

ORIS is a hub of information, services and resources that will facilitate your research endeavours. Our focus is on supporting and promoting research at the University of Windsor, in all faculties, schools, and research centres and institutes. We encourage you to visit our office, located on the first floor of the Joyce Entrepreneurship Centre at 2455 Wyandotte Street West (accessible by east side California Street entrance).

Summary of Research Resources and Support Services

As the University of Windsor's central research administration office, the ORIS is the primary contact for the federal granting councils (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 the University of Windsor 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
- Providing and administering internal competitions for research support
- Developing university research policies, procedures, and schedules, and ensuring ethical, regulatory and contractual considerations are addressed
- Receiving award notifications from agencies and liaising with Research Finance to establish research grant accounts
- Identifying, developing, and facilitating research-development events for research-active faculty members, such as information sessions and workshops
- Monitoring research funding results and compiling university research reports

Pre-Award Administration Contacts - Research and Innovation Services

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

ORIS ensures that pre-award documentation is completed according to the policies and procedures of the University of Windsor, granting agencies, foundations, and other entities. The required University of Windsor Research and Innovation Services forms can be found on the departmental website (www.uwindsor.ca/oris).

Primary Contacts - ORIS

Name	Title	Area of Responsibility	Extension	E-Mail @ uwindsor.ca
Heather Pratt	Executive Director, Research and Innovation	Direction and overall administration of the Office of Research and Innovation Services	3917	hpratt
Diane Awram	Research Facilitator/ Executive Assistant	Proposal development and application submission process for Canada Research Chairs; administration of Internal Grants Programs; ORIS administrative functions	3919	dawram
Natasha Wiebe	Research Coordinator, Social Sciences, Humanities, and Health	Disseminating funding opportunities; assisting with the development of grant proposals and submission of grant applications	3953	nwiebe
Inga Sliskovic	Research Coordinator, Natural Sciences and Engineering	Disseminating funding opportunities; assisting with the development of grant proposals and submission of grant applications	3918	inga
Nicole Noel	Research Coordinator, Institutional Projects and Communications	Disseminating funding opportunities; proposal development; assisting with application submission process for Institutional awards: Canada Foundation for Innovation (CFI), Ontario Research Fund (ORF), Early Research Awards (ERA), etc.	3916	nnoel
Vesna Kaps	Contract/ Technology Transfer Manager	Contracts; agreements with governments and private sector; Ontario Centres of Excellence (OCE); FedDev projects; intellectual property; overhead; technology transfer	3922	vesna
Research Ethics Coordinator	Research Ethics Coordinator	Process and coordinate Human Ethics certifications required by researchers	3948	ethics
Nadia Masri	Animal Care Coordinator	Process and coordinate Animal Care certifications required by researchers	3741	acc

Website: www.uwindsor.ca/oris

Primary Contacts - EPICentre

Name	Title	Area of Responsibility	Extension	E-Mail @ uwindsor.ca
Francine Schlosser	Executive Director, EPICentre	Direction and overall administration of the Entrepreneurship, Practice and Innovation Centre (EPICentre)	3107	fschloss
Wen Teoh	Venture Start Director, EPICentre	Management of programs and space allocation provided to incubator members	3913	wteoh
Nicole Anderson	Program Director, EPICentre	Management of programs associated with EPICentre	4913	nsleiman
Tanya Brogan	Administrative Assistant, EPICentre	Administrative functions for EPICentre	3515	epicentre
Mike Polychuk	Marketing Co-ordinator, EPICentre	Marketing and social media functions for EPICentre	3577	polychuk

Website: www.epicentreuwindsor.ca

Post-Award Administration Contacts – Research Finance

The **Office of Research Finance** is committed to providing fiscal accountability for faculty-held research funds from public and private sectors by maintaining, monitoring and disseminating data between the sponsor and faculty/administration. Our staff will help disburse your funds and track your spending through the Financial Information System (FIS).

Primary Contacts

Name	Title	Area of Responsibility	Extension	E-Mail @ uwindsor.ca
Gillian Heisz	Controller	Controller, Finance Department	5019	gheisz
Kathy McLeod	Research Finance Manager	Oversees all research finance matters	2127	kmcleod
Joseph Branget	Senior Research Accountant	CFI, ORF, MRIS, SHARCNET; other agencies; contracts; contribution agreements	2132	jbranget
Kathy McGorman	Research Accountant	CIHR/NSERC/SSHRC Grants; startup grants; other internal grants/awards	2129	kathy
Eva (Wai Sze) Wong	Research Finance Clerk	Research Finance administrative matters	2134	wwseva
Jennifer Hirlehey	Grant Account Training	Training for Financial Information System (FIS)	2143	Jenn5655
Marg Glos	Buyer	Scientific equipment, computers, etc.	2086	mglos

Dario Pavia	Buyer	Scientific equipment, computers, etc.	2088	pavia
Patricia Burnett	Purchasing Card Coordinator	Purchasing cards	2085	burnett
	IT Helpdesk	Reset FIS passwords; password problems; business unit security/disable user ID	4440	helpdesk

Website: www.uwindsor.ca/finance

RESEARCH FACILITATION NETWORK

A network of contacts exists to advise the principal investigator and facilitate research throughout the research process.

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

Academic Contacts

Area	Title/Role	Contact Name	Extension	E-Mail @uwindsor.ca
VP Research and Innovation	Vice President, Research and Innovation	Dr. K.W. Michael Siu	3925	kwmsiu
	Executive Director, Research and Innovation	Heather Pratt	3917	hpratt
Faculty of Graduate Studies	Dean	Dr. Patricia Weir	2107	weir1
	Associate Dean	Dr. James Gauld	2110	ADGS
	Associate Dean	Dr. Debbie Kane	2110	ADGS
	Director, Graduate Academic Services	Ms. Alison Samson	2112	asamson
Faculty of Arts, Humanities and Social Sciences	Acting Dean	Dr. Marcello Guarini	2024	mguarini
	Assoc. Dean of Research & Grad. Studies	Dr. Brent Lee	2034	brentlee
Faculty of Education	Dean	Dr. Ken Montgomery	3801	Kennethm
	Assoc. Dean of Grad. Studies & Research	Dr. Glenn Rideout	3834	grideout
Faculty of Engineering	Dean	Dr. Mehrdad Saif	2566	msaif
	Assoc. Dean, Research and Graduate Studies	Dr. Majid Ahmadi	2693	ahmadi
Faculty of Human Kinetics	Dean	Dr. Michael Khan	5106	makhan
Faculty of Law	Dean	Dr. Christopher Waters	2930	cwaters
	Associate Dean	Prof Jasminka Kalajdzic	2941	kalajj
Faculty of Nursing	Dean	Dr. Linda Patrick	2259	lpatric
	Nursing Research Chair	Dr. Maher El-Masri	2400	melmasri
Odette School of Business	Acting Dean	Dr. Mitchell Fields	3091	mfields
	Acting Associate Dean	Dr. Bill Wellington	3091	r87

Faculty of Science	Dean	Dr. Chris Houser	3010	chouser
	Assoc. Dean, Research & Grad. Studies	Dr. Daniel Mennill	4725	dmennill

Various **administrators** are also part of the research facilitation network and perform various roles in the awards process.

Administrative Contacts

Topic	Contact Name	Title/Area	Extension	Email @uwindsor.ca	Major Services
Research Personnel	Ms. Jayne Pierce	Secretary to the Vice-President, Research and Innovation	3987	jaynem	Documentation to support hiring grant-paid staff, Research Assistants
	Ms. Alison Samson	Director, Graduate Academic Services	2112	asamson	Funding for graduate students; Tri-Council scholarship liaison
	Ms. Beth Oakley	Director, Student Success Centre	3461	oakleyb	Programs to support and/or recruit undergrad co-op or graduate students
Capital and Research Projects (Campaign Office)	Ms. Susan Maxwell	Managing Director, University Campaign	4144	smaxwell	Capital and donor campaigns
	Mr. Mike Fisher	Development Co-ordinator	4140	mikef	Capital and donor campaigns

FINDING FUNDING

Funding Databases

- GrantsNet Biological/Medical Database sciencecareers.sciencemag.org/funding
- CORDIS – R&D sponsored by the EU cordis.europa.eu

Funding Sources

Federal:

- Canadian Institutes of Health Research (CIHR) www.cihr-irsc.gc.ca
- Canada Foundation for Innovation (CFI) www.innovation.ca
- Canadian Network for the Advancement of Research, Industry and Technology www.canarie.ca
- Innovation, Science & Economic Development Canada www.ic.gc.ca
- Natural Sciences and Engineering Research Council (NSERC) www.nserc-crsng.gc.ca
- Social Sciences and Humanities Research Council (SSHRC) www.sshrc-crsh.gc.ca
- MITACS www.mitacs.ca

Provincial:

- Ministry of Research, Innovation and Science (MRIS) www.mri.gov.on.ca
- Ministry of Natural Resources (MNR) mnr.gov.on.ca
- Ontario Centres of Excellence (OCE) www.oce-ontario.org

<http://www.oce-ontario.org/>

Other Sources

Foundations:

- Canadian Health Services Research Foundation www.chsrf.ca
- Canadian Cancer Society www.cancer.ca
- Canadian Foundation for AIDS Research www.canadahelps.org/
- Heart and Stroke Foundation www.heartandstroke.com
- Seeds4Hope <http://www.windsorcancerfoundation.org/>

Networks:

- Shared Hierarchical Academic Research Computing Network www.sharcnet.ca
- Smart Computing for Innovation - SOSCIP www.soscip.org

- Stem Cell Network www.stemcellnetwork.ca
- NSERC Strategic Networks www.nserc-crsng.gc.ca

Private Sources

- Michael Smith Foundation for Health Research www.msfhr.org
- Astra Zeneca Society for Neuroscience www.sfn.org
- Marcus Wallenberg Foundation www.mwp.org
- Brinkmann Instruments Inc. and Science Magazine www.sciencemag.org

See also: University of Windsor www.uwindsor.ca/oris

Fellowships & Scholarships

Leave yourself ample time ahead of the start of your research project to apply for funding specifically for research trainee stipends, or for a course release.

- CIHR www.cihr-irsc.gc.ca
- NSERC www.nserc-crsng.gc.ca
- SSHRC www.sshrc-crsh.gc.ca
- Banting Postdoctoral Fellowships www.banting.fellowships-bourses.gc.ca

International Programs

For international research, research with foreign collaborators, or for nationals of another country.

- Global Affairs Canada www.international.gc.ca
- Canada-U.S. Fulbright Program www.fulbright.ca
- International Development Research Centre www.idrc.ca
- Mitacs Globalink www.mitacs.ca/en/programs/globalink

United States

- National Institutes of Health grants.nih.gov
- National Science Foundation www.nsf.gov
- National Endowment for Humanities www.neh.gov
- American Heart Association www.heart.org

Self-Funded

Research Grants in Lieu of Salary - Contact the Provost and Vice President, Academic www.uwindsor.ca/provost/forms

2. INTERNAL FUNDING PROGRAMS AT THE UNIVERSITY OF WINDSOR

ORIS Internal Programs

- **Undergraduate Research Experience Grants Program:**
Grants for projects that involve University of Windsor undergraduates in research and scholarly activities and encourage faculty to mentor students as they pursue research
Deadline: August 11th
- **ADTF Academic Development Travel Fund:**
Travel funds for presenting papers at conferences
Deadlines: February 10, June 15, October 31
- **TSGP Tri-Success Grant Program:**
Proposal development support for those receiving minimum levels of ranking (as indicated in the guidelines) with respect to each of the Tri-Councils (CIHR, NSERC, SSHRC)
Deadline: 30 days after receipt of reviewers' comments for each agency
- **SSHRC Explore (HSSRG-Humanities and Social Sciences Research) Grants:**
Seed grants for social sciences and humanities researchers aimed at strengthening external grant applications
Deadline: March 15
- **Research Grants for Women (RGW) :**
Seed grants for female researchers aimed at strengthening external grant applications
Deadline: March 15

Primary Contact: Diane Awram
Research Facilitator/Executive Assistant
Phone: 519-253-3000 ext. 3919
Email: dawram@uwindsor.ca

Website: <http://www1.uwindsor.ca/oris/ors-internal-programs>¹

¹ ORIS staff: See also K\Procedures\Internal Programs Procedures

3. 2016-17 TRI-COUNCIL GRANT DEADLINES

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. CIHR's primary opportunity for research is listed below. Please contact ORIS or visit the agency's website for a list of others: www.cihr-irsc.gc.ca/.

Program	Registration Deadline	ORIS Submission Deadlines ²		Agency Application Deadline (4 pm)
		Internal Form & Draft Proposal	Online Submission	
Project Grant	August 15, 2017 + 2 competitions expected in 2018	2 weeks prior to agency application deadline	2 business days prior to agency application deadline	September 15, 2017 + 2 competitions expected in 2018

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 personnel. NSERC's role is to make investments in people, discovery and innovation to increase Canada's scientific and technological capabilities for the benefit of all Canadians. NSERC invests in people by supporting postsecondary students and postdoctoral fellows in their advanced studies. It promotes discovery by funding research conducted by postsecondary professors and fosters innovation by encouraging Canadian companies to participate and invest in postsecondary research and training. For further information visit the agency's website: <http://www.nserc-crsng.gc.ca/>

² ORS staff: See also K\Procedures\CIHR Procedures

Program	Registration Deadline	ORIS Submission Deadlines		Agency Application Deadline
		Internal Form & Draft Proposal	Online Submission	
Discovery Grant (DG)	August 1 *Note: CCV required	October 18	October 30	November 1 *Note: CCV required
Research Tools & Instruments		October 16	October 23	October 25

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 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. Some of SSHRC's funding opportunities are listed below; please visit the agency's website for others: www.sshrc-crsh.gc.ca/.

Program	Notice of Intent Deadline	ORS Submission Deadlines ³		Agency Application Deadline
		Internal Form & Draft Proposal	Online ** Submission	
Connection Grant	Please inform ORIS of intent to apply at least 2 months before agency application deadline (and 6 months prior for Partnership Grant LOI)	2 weeks prior to agency application deadline	2 business days prior to agency application deadline	February 1, May 1, August 1, or Nov 1
Partnership Engage Grant				March 15, June 15, Sep 15, Dec 15
Insight Grant				October 15
Insight Development Grant *Note: CCV required				February 2 *Note: CCV required
Partnership Grant Letter of Intent				February 15
Partnership Development Grant				Nov 30

³ ORS staff: See K:\Procedures\SSHRC Procedures.

4. OTHER FUNDING OPPORTUNITIES

Early Researcher Award (ERA)

The Ontario Ministry of Research, Innovation and Science (MRIS)⁴ has developed several funding opportunities, one of which is the Early Researcher Award for full-time faculty members who are no more than five years from having started their independent academic research career and 10 years from completing their PhD. This program helps promising, recently-appointed Ontario researchers build their research teams of undergraduates, graduate students, post-doctoral fellows, research assistants, and associates.

Competitions are usually held once a year and announcements are forwarded to all faculty members. Each ERA is for a maximum of \$100,000 which must be matched by an additional \$50,000 from the researcher's institution and/or a private sector partner. The internal deadline is **four weeks** prior to the MRIS due date. A Notice of Intent is required to be submitted.

Primary Contact: Nicole Noel
Research Coordinator, Institutional Projects and Communications
Phone: 519-253-3000 ext. 3916
Email: nnoel@uwindsor.ca

Website: <https://www.ontario.ca/page/early-researcher-awards>

Canada Foundation for Innovation (CFI), John R. Evans Leaders Fund (JELF)

The Canada Foundation for Innovation (CFI) is an independent organization created by the Government of Canada to fund research infrastructure. One of their programs is the John R. Evans Leaders Fund (JELF) which offers the opportunity to faculty members to acquire research infrastructure (state-of-the-art equipment, laboratories, and databases). The CFI normally funds up to 40 percent of a project's infrastructure costs which are matched by MRIS's Ontario Research Fund – Research Infrastructure (ORF-RI) up to 40 percent. Funding partners from the public, private, and voluntary sectors provide the remaining 20 percent. Applications must be made for both the CFI-JELF and the ORF-RI.

Competitions are held three times a year. The CFI deadlines are February 15, June 15, and October 15. Internal deadlines are at least **two weeks** prior to those of the CFI. It is required that you discuss your proposal with your Dean.

Primary Contact: Nicole Noel
Research Coordinator, Institutional Projects and Communications
Phone: 519-253-3000 ext. 3916
Email: nnoel@uwindsor.ca

Websites: www.innovation.ca/en / <https://www.ontario.ca/page/ontario-research-fund>

⁴ ORIS staff: See K:\Procedures\MRI Procedures.

5. GRANT APPLICATIONS: BEFORE YOU BEGIN

Your Goal

Before completing the application, be sure to have well thought-out objectives and a clear research plan. This will make the process of preparing the grant application proceed more smoothly.

ORIS frequently hosts information sessions or workshops that will aid in crafting your grant proposal. See Upcoming Workshops & Events at www.uwindsor.ca/oris, or contact your [research coordinator](#).

Team Considerations

No one is an expert at everything, so it is important to have sufficient expertise on your research team to demonstrate to the review committee that your team has the necessary capacity to complete the work you propose. Since knowledge mobilization, knowledge translation, and technology transfer are important objectives of many funding programs, it may be prudent to invite collaborators or include letters of support from individuals or organizations who resolve to quickly mobilize new knowledge/technology into practice and/or policy. For example, if your application deals with privacy issues, including a letter of support from the Privacy Commissioner of Canada may demonstrate to the reviewers that activities and outcomes of your research will impact privacy policy.

UWindsor Investments in Project Development

Contact your department head, dean and/or associate dean of research. You may be eligible for faculty-specific seed funding programs, matching funds or other awards to support development of new proposals. ORIS also has proposal-development support funding available by way of [internal grant competitions](#). See the Internal Funding Programs listed in this guide.

ORIS Newsletter

ORIS generates a monthly online newsletter, [“Plugging Into Research”](#) to provide the most up to date information possible to the research community.

Funding Opportunities Directory

Visit our website at www.uwindsor.ca/oris/funding-opportunities for a list of the most common funding opportunities.

6. PREPARING YOUR GRANT APPLICATION

There are some excellent on-line resources to help you prepare your grant proposal; visit the ORIS website under [“Preparing Grants/Contracts”](#) and view the “Research Grant Proposals” and “Workshop Materials” sections.

Grant Application Tips

Eligibility Requirements

- Review the funding sponsor’s eligibility criteria to ensure that you are eligible to apply. If you are unsure about eligibility, please contact the ORIS.

Evaluation

- Consider the audience, e.g., committee members/reviewers must have enough information to evaluate the significance of your research
- Originality and contribution to advancement of knowledge/field of study
- Quality of the literature review, if applicable
- Appropriateness of the theoretical approaches/framework
- Appropriateness of the research strategies/methodologies
- Suitability of plans to communicate research results
- The nature, extent and benefit of research training

Presentation

- Clear and precise objectives
- Objectives: communicate the link between your project and the sponsor’s goals
- Clear theoretical framework or conceptual approach
- Explain and justify methodology (where appropriate), establish relationship between objectives methodology and budget
- Define all key terms or concepts
- Include a complete literature review, if applicable
- Append a bibliography
- Ensure that the application follows the sponsor’s guidelines

Budget

- Budget should be appropriate, reasonable and fully justified
- Always refer to the agency’s guidelines for a list of eligible expenses
- Expenses must be calculated correctly
- Budget must be feasible and will support your proposed research

Record of Research Achievement (CV section)

- Peer-review committees rely on your past record of achievement as a means of predicting future performance
- Quality and significance of published work or relevant experience
- Originality and impact of previous research
- Importance of other scholarly activities (e.g. academic conference presentations)
- Recentness of output and consistency of output
- Managing a project of applicable size and scope
- Training of students or future researchers

Characteristics of a Successful Application

- Clarity: application is well written, well organized and free of errors
- Originality: application is challenging, interesting, ambitious yet feasible
- Importance of research is clear
- Impact is stated clearly

Common Problems

- Application is “premature”
- Project is too ambitious
- Methodology is inappropriate, or too vague
- Theoretical rationale is lacking
- Project is not adequately contextualized
- Budget is not feasible

We strongly recommend that you have your proposal reviewed by a colleague and consider his/her feedback.

7. SUBMITTING YOUR GRANT APPLICATION

The University aims to hold the highest standards of accountability in the administration of its research activities. To this end, procedures have been established for the submission of applications⁵ and for the use of research funds.⁶ 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.

⁵ ORIS staff: See K:\Procedures\Pre-Award Application Vetting Procedures, and also the procedures related to submitting applications to specific funding agencies.

⁶ ORIS staff: See K:\Procedures\General Post-Award Procedures and \Grant Account Procedures.

Application Submission Process

In preparing applications, it is important to note the requirements of both the sponsor and the University. ORIS conducts reviews of all applications before they receive institutional approval (signature) and are forwarded to the sponsor. Our internal deadlines are usually one to two weeks before the sponsor deadline, but remember that the earlier you share your draft with our staff, the more time you will have to strengthen your proposal from the feedback given.

Procedures

Applications must be submitted to the Office of Research and Innovation Services for institutional signature. To obtain a signature, applicants must complete the ORIS Information Sheet and Checklist Form (<http://www.uwindsor.ca/oris/ors-internal-forms>) and submit it along with a copy of the application to their Department Head/Dean and ORIS for approval.

- Completed applications, signed by the Principal Investigator, are first submitted to the Academic Administrative Unit (AAU) Head. Student applications are submitted to the faculty supervisor and, in turn, to the Department Head.
- Following departmental authorization, if applicable, the Principal Investigator is responsible for obtaining authorization by the Dean or Associate Dean of Research for the Faculty.
- Finally, a package consisting of the ORIS Information Sheet and Checklist Form and a copy of the application are submitted to ORIS, at which time the application and form will be reviewed prior to authorization and submission of the application to the funding agency. *Please attach supporting documentation (email or letter) from the contributing party for any contributions to the proposal (e.g. course release, monetary contributions).*

Special Requirements & Ethics Review of Application

Unless specifically requested by the Funding Sponsor, applicants are not required to obtain necessary certifications (e.g. animal care, biohazard, human subjects) 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 (ie., funds will be held until such certification is received).

Financial Review of Application

Sponsors often issue budget guidelines allowances for travel and accommodation, and the rates of reimbursement for indirect costs. If these costs are not outlined, please follow the University of Windsor travel policy and your department's normal practice for personnel. If you find it difficult to determine your department's pay practice, please consult with your research coordinator. Please obtain confirmation from the Office of the Vice-President, Research and Innovation, with respect to the percentage of indirect costs applicable to your funding proposal, if indirect costs are allowed by the sponsor.

Meaning of Signatures

The University of Windsor policy, and that of most external agencies, requires that all outgoing applications for external research funding require 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 (e.g. open access policy on publications), as well as any special award conditions.
- Academic Administrative Unit (AAU) 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-President, Research and Innovation and/or Executive Director, Research and Innovation - 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 has been delegated to the Executive Director, Research and Innovation.

8. POST-AWARD ADMINISTRATION

Once your application is successful, a new research account must be established; typically one for each agency that is funding your project. A separate account is created for any internal contributions to the award. ORIS facilitates this process in collaboration with the Research Finance Office and Certification Committees, if applicable.

Documentation Required by ORIS to Establish a New Research Account⁷

- Award notification from sponsor/funding agency and/or contract terms and conditions; and
- Internal [ORIS Information Sheet and Checklist Form](#) and a copy of a grant application (including a budget) must be on file as the ORIS must provide this plus additional documentation to Research Finance in order to request a new account on your behalf.
- Refer to the “[Establishment of Research Grant or Contract Account Policy](#)” on the ORIS website: <http://www.uwindsor.ca/oris/policies>

Research Finance to Provide On-line Accounting Access

- Research Finance will provide on-line accounting access to the grant account information through the Financial Information System (FIS) and an FIS Security Request Form must be completed and returned to Research Finance in order to access the FIS account for your award.

Release of Funds Procedure: Projects Involving Animals, Biohazards, or Human Subjects

- For research involving special requirements (animal, biohazards, or human subjects), ORIS requires a certificate indicating the proposed work has been cleared by the corresponding UWindsor Certification Committee and/or documentation that the researcher is in good standing with the Committee.
- Once you receive your award notification, ensure that you contact the appropriate Committee Coordinator (ACC, BSC, REB) so they may forward the appropriate documentation to the ORIS to support release of funds. Funds will not be released until the grantholder has obtained the necessary certification(s).
- For Tri-Council grants (CIHR, NSERC, SSHRC), there is a 6-month window following notification of award to submit certification information to ORIS as outlined in the Tri-Council Memorandum of Understanding (MOU). If no certification is received within the **6-month window**, ORIS is required to notify the funding agency and your award may be **returned to the agency**.

⁷ ORIS staff: See K:\Procedures\General Post-Award Procedures and K:\Procedures\Grant Account Procedures.

9. RESEARCH REQUIRING CERTIFICATION

The University of Windsor has a requirement to ensure that all research carried out under its purview is conducted morally, ethically and with integrity, and in compliance with the *Tri-Agency Framework: Responsible Conduct of Research as well as* the guidelines of agencies, institutions, and foundations which provide funding with specific conditions. All research that involves human participants or human tissues must be conducted in accordance with the ethical principles and articles of the *Tri-Council Policy Statement 2 (2014): Ethical Conduct for Research Involving Humans (TCPS 2) 2014* and the *University of Windsor Guidelines for Research Involving Human Research Participants (2009, updated 2017)*.

To ensure compliance with certification guidelines, the University has formed committees to review, clear and oversee relevant research protocols. These certification committees are the Research Ethics Board, the Animal Care Committee, and the Research Safety Committee (RSC). The RSC is comprised of three sub committees, the Biological Safety Committee, the Radiation Safety Committee and the Laboratory Safety Committee. ORIS plays a key role in ensuring that research funds are not used without the oversight and clearance of the appropriate committee(s).

Research Ethics Board (REB)

The REB oversees all matters pertaining to research that involves human participants. All research involving human participants or human tissues, whether funded or unfunded, must be reviewed and cleared by the REB prior to commencement. The REB is organized and operates according to the guidelines in the *Tri-Council Policy Statement 2 (2014): Ethical Conduct for Research Involving Humans (TCPS 2) 2014* and the *University of Windsor Guidelines for Research Involving Human Research Participants (2009, updated 2017)*.

The TCPS2 requires REB review of research undertaken by its faculty, staff, or students regardless of the location where the research is conducted. If research is conducted at facilities or sites outside of the University, such as hospitals or school boards, additional review and clearance may be required by an ethics committee within the institution or agency having jurisdiction over the site of the research. All researchers whose studies involve human participants are required to complete the TCPS2 Course on Research Ethics (C.O.R.E.) introductory tutorial, which can be found on-line at <http://tcps2core.ca/welcome>.

Based on Article 6.1 of the *Tri-Council Policy Statement 2 (2014)* and the Windsor Guidelines, outside researchers are required to obtain clearance from the University of Windsor's REB to conduct research on campus or recruit members of the campus community as research participants.

Faculty, staff and students of the University of Windsor may be affiliated with other institutions, engaged in consulting or other professional activities in a separate enterprise, or in student co-op work or field placements. If members of the University of Windsor reference their affiliation

with the University or use any of its resources when engaging in research, they must submit their research proposal to the University of Windsor REB for research ethics review in accordance with the TCPS2 (2014) policy.

Research involving human participants must receive ethics clearance from the REB before grant money will be released. Partial release of funds is available to researchers whose protocols are still under development. However, no recruitment of participants or data collection can occur until REB clearance is granted.

All researchers are strongly recommended to apply for REB clearance either prior to or immediately after receiving funding to ensure that all funds are released in a timely manner. All sources of funding related to an REB application should be communicated clearly to the REB on the protocol application form.

The University of Windsor *Guidelines for Research Involving Human Research Participants*, associated application forms, and deadlines for application submission can be found at the REB website as follows: www.uwindsor.ca/reb

Chair: Dr. Suzanne McMurphy

Primary contact: Research Ethics Coordinator
Phone: 519-253-3000 ext. 3948
Email: ethics@uwindsor.ca

Animal Care Committee (ACC)

The ACC, which oversees all matters pertaining to research, funded or not, that involves animals, has been set up according to the Terms of Reference for Animal Care Committees as established by the Canadian Council on Animal Care (CCAC). The ACC is subject to regular peer review by the CCAC, which includes assessments of the effectiveness of the ACC and the appropriateness of its animal care facilities, practices, and procedures.

All research and teaching that involves the use of vertebrate animals and cephalopods (octopus, squid) must have an Animal Utilization Project Proposal (AUPP) reviewed and approved by the ACC prior to the initiation of such research or instruction. No work with animals can be ordered or obtained prior to approval by the ACC.

As the ACC meets at least four times per year, all investigators are strongly recommended to apply for ACC approval either prior to or immediately after receiving funding to ensure that all funds are released in a timely manner. All sources of funding related to the Animal Utilization Project Proposal (AUPP) should be communicated clearly to the ACC on the protocol submission form. All forms for researchers working with animals can be found on-line at www.uwindsor.ca/acc/forms.

Chair: Dr. John Hudson

Primary contact: Nadia Masri
Animal Care Coordinator
Phone: 519-253-3000 ext. 3741
Email: acc@uwindsor.ca

Website: www.uwindsor.ca/acc

Research Safety Committee (RSC)

The RSC oversees all matters pertaining to biosafety, radiation, x-ray, laser and laboratory safety at the University and is mandated to fulfill the responsibilities of a Research Institution as described in the most current version of the Government of Canada *Canadian Biosafety Standards* (1st edition, 2015), the *Canadian Nuclear Safety Commission* and the *Ministry of Labour*, and all other applicable legislation. The RSC operates according to the standards and procedures described in the Government of Canada's *Standards and Guidelines*, the *Occupational Health and Safety Act* and the *Radiation Emitting Devices (RED) Act*. These standards and procedures include verifying that all work with biohazardous agents, radioactive materials, x-rays, and lasers, carried out at the University, are in accordance with the safety practices as stated in the Guidelines and Regulations. All work conducted, whether on the University's property or under the control of the University, by University faculty and staff, must be issued by the appropriate University of Windsor Safety Certificate.

All investigators must apply for the appropriate University of Windsor Safety Certificate either prior to, or immediately after receiving funding to ensure that all funds are released in a timely manner. The University's *Safety Manuals* and associated application forms can be found on the Chemical Control Centre website at <http://www1.uwindsor.ca/chemicalcontrol/safety-programs>

Chair: Siyaram Pandey
Phone: 519-253-3000 ext. 3701
Email: spandey@uwindsor.ca

Research Involving New Substances

Any researcher who intends to import or manufacture a "new substance" in Canada, whether organic or inorganic, animate (live) or inanimate (lifeless), is required to submit a new substance notification (NSN) package to Environment Canada's New Substance Division prior to importing or manufacturing.

The Chemical Control Centre is the administrative department responsible for the acquisition of all hazardous materials on campus and is responsible for ensuring that all substances acquired by the University are located on the Canada's Domestic Substances List. The Centre verifies

purchases, assists clients in submitting NSN packages, and ensures that the institution follows the *Canadian Environmental Protection Act 1999*.

External contact: Environment Canada, New Substances Division
Phone: 800-567-1999
Email: ec.substances.ec@canada.ca
<https://www.ec.gc.ca/subsnouvelles-newsubs/>

Research Involving Controlled Goods

Some research undertaken at the University may be subject to export controls administered by the Department of Foreign Affairs and International Trade, particularly in the Faculties of Science and Engineering. This may include the transmission of results or information about specific research under the *Export and Import Permits Act* (EIPA), if the item is included on the Export Control List or if the recipient country is on the Area Control List. In addition, certain research may also be subject to regulation by Canada's Controlled Goods Directorate.

All research at the University must comply with the relevant acts and associated regulations. The funding agency does not take any responsibility for the University of Windsor's compliance, including the actions of applicants. Applicants and their associated institutions bear direct responsibility for ensuring compliance with the laws and regulations regarding Controlled Information.

External contact: Controlled Goods Program
Phone: 866-368-4646
<http://ssi-iss.tpsgc-pwgsc.gc.ca/dmc-cgd/index-eng.html>

Internal contact: Sherri Lynne Menard
Manager, Environmental Health & Safety
Phone: 519-253-3000 ext. 2055
Email: smenard@uwindsor.ca

Research Involving Controlled Substances

The University of Windsor works in collaboration with Health Canada, to ensure that controlled substances are handled effectively and remain in legal distribution channels; and that valid commercial, medical and scientific activities are not interfered with.

Research organizations require licensing and permits to obtain, make, store or transport controlled substances. Some research undertaken at the University may be subject to import and export controls administered by Health Canada. All legislative documents related to controlled substances can be found on the Health Canada website: www.hc-sc.gc.ca.

All research at the University must comply with the relevant acts and associated regulations. The funding agency does not take any responsibility for the University of Windsor's compliance,

including the actions of applicants. Applicants and their associated institutions bear direct responsibility for ensuring compliance with the laws and regulations regarding Controlled Information.

External contact: Health Canada
Office of Controlled Substances
Phone: 866-368-4646
[Office of Controlled Substances](#)

Internal contact: Sherri Lynne Menard
Manager, Environmental Health & Safety
Phone: 519-253-3000 ext. 2055
Email: smenard@uwindsor.ca

Research Requiring Environmental Assessments

Environmental Assessment (EA) provides an effective means of integrating environmental factors into planning and decision-making processes in a manner that promotes economic development that conserves and enhances environmental quality. EAs are carried out as required by provincial, territorial or federal legislation and mitigating measures are implemented to limit the adverse impacts of research activities on the environment.

In Canada, EAs are triggered whenever a federal department or agency, such as NSERC, proposes a project, provides financial assistance, transfers control of federal land to enable a project, or provides a license, permit or an approval as listed in the *Law List Regulations* to enable a project. Any research project, which involves any of the activities which trigger an EA, will be reviewed for environmental sensitivity and identify any potential liability for the institution.

All NSERC applications are reviewed by NSERC during the peer review process for compliance to the *Canadian Environmental Assessment Act*. Individual researchers are encouraged to complete pre-screening questions as part of their funding application (pre-screening – Form 101 Appendix A).

For more information contact:

External contact: Environmental Assessment Officer, NSERC
Phone: 613-995-8079
Email: enviro.assess@nserc.ca

Internal contact: Inga Sliskovic
Office of Research and Innovation Services
Phone: 519-253-3000 ext. 3918
Email: inga@uwindsor.ca

10. GRANT-FUNDED RESEARCH PERSONNEL

Hiring and employment of employees is subject to a number of policies that govern his or her treatment. The hiring of grant-supported personnel is also of concern to the administrative unit which also has fiduciary responsibility in ensuring that there is sufficient funding to pay grant-supported personnel. When deciding on the amount or hourly wage to pay grant-supported personnel, you may seek the advice of colleagues in your department/faculty.

Additional information and forms related to the hiring of Research Personnel can be found at <http://www.uwindsor.ca/finance/finance-forms-all> under “payroll”.

Budgeting for Salary

If the funding agency does not have guidelines or regulations regarding compensation, the rate of pay is negotiated with the student/non-student on an individual basis, but must fall within University of Windsor policies.

Contact: Department Head or Associate Dean of Research for local guidelines or norms.

Even though the **Tri-Council** agencies have removed the policy on maximum stipend allowed for research personnel (Masters, PhD, post-doctoral fellows, etc.), researchers should review the guidelines set out in the “Use of Grant Funds” section of the *Tri-Agency Financial Administration Guide* found on the NSERC website (www.nserc-crsng.gc.ca/).

Budgeting for Benefits

Mandatory: Budget for an additional 14% for statutory benefit costs on top of the rate of pay. More specifically, for all grant-paid personnel, statutory benefits of 10% must be calculated and added to the rate of pay as these amounts will automatically be charged to your grant account. In addition, it must be decided if 4% vacation pay is to be included in or added to the rate of pay or to provide another type of vacation entitlement (e.g. 2 weeks paid).

Optional: For **Non-Students**, payment of discretionary benefits such as medical, dental and vision care are optional and can be paid by the grant (or not), usually only in the case of a one year term or greater. UHIP coverage for international non-students (i.e. OHIP equivalent) is mandatory and can either be self-paid, or paid by the researcher’s grant, if it is an eligible expense under the funding agency guidelines.

Contact: Benefits & Records Administrator, ext. 2090, 5th Floor, Chrysler Hall Tower.

Hiring – Contacts & Forms

Students: A hiring package for University of Windsor students including the “Authorization for Department/Grant Student Employment” is available for pick up at the Human Resources Office.

Contact: Human Resources Reception, ext. 2047, 5th Floor, Chrysler Hall Tower.

Non-Students: A “Recommendation for Appointment – Grant or Trust Funds” must be completed for hiring.

Contact: Jayne Pierce, Secretary to the Vice-President, Research and Innovation, ext. 3987, jaynem@uwindsor.ca

Hiring – Work Permits for International Personnel

Students: Generally University of Windsor students are eligible to work on campus under their study permit.

Contact: Mike Houston, Director, International Affairs, ext. 5060, mikeh@uwindsor.ca

Non-Students: Must obtain a work permit.

Contact: Jayne Pierce, Secretary to the Vice-President, Research and Innovation, ext. 3987, jaynem@uwindsor.ca

11. 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 UWindsor Policy on Research Integrity and Responsible Conduct of Research can be accessed on the ORIS website: ([http://www1.uwindsor.ca/oris/system/files/Policy_on_Research_Integrity_and_Responsible_Conduct_of_Research_VPRI-13-002_Final\(1\).pdf](http://www1.uwindsor.ca/oris/system/files/Policy_on_Research_Integrity_and_Responsible_Conduct_of_Research_VPRI-13-002_Final(1).pdf)).

General

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 his/her 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.

Financial Management

Effective financial management is expected and required of all Principal Investigators conducting research at the University of Windsor. 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 have 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 endeavour 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 the monthly accounting statements provided by Research Finance and identifying and reporting any discrepancies, errors and inconsistencies to Research Finance. 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 Research Finance, 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.

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 Research Finance to make the necessary arrangements should this occur.

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 including the [Research Integrity and Responsible Conduct of Research Policy \(VPRI-13-002\)](#);
- 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. The Principal Investigator is responsible to oversee 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 ORIS, 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 Executive Director, Research and Innovation. All financial statements reports and invoices must be submitted to the sponsors by Research Finance after review and approval.

12. 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. For Tri-Council Agencies (CIHR, NSERC, SSHRC) information on expenses can be found (www.nserc-crsng.gc.ca/) under “Use of Grant Funds”.

Personnel: Information on budgeting for research personnel is included in the section entitled “Grant-Funded Research Personnel” in this guide.

Space: If this is an eligible expense, contact the Office of Space Planning & Management at Facilities Services for current space costs for your area. They are located in Room 605 of Chrysler Hall Tower and may be reached by calling Heather Cantin, Space Management Assistant, at ext. 2154.

Taxes: The Harmonized Sales Tax (HST) must be included in your budget calculations. HST is a harmonization of the provincial sales tax (8%) and the federal goods and services tax (5%) for a tax rate of 13%. Universities are now allowed a rebate of 78% on the provincial sale tax portion and the federal goods and service tax rebate remains at 67%. It is important to note that the HST will have no impact on salaries. **The total tax rate to be added to your purchase/services cost will be 3.41%, as outlined below:**

	HST Rate	Rebate Rate	Non Rebate Rate*	Tax Rate
Federal portion of HST	5%	67%	33%	1.65%
Provincial portion of HST	8%	78%	22%	1.78%
			Total Tax Rate	3.41%

Indirect Costs

Indirect research costs or University of Windsor ‘overhead’ costs, on grants are often an eligible expense, but the sponsor sets the rules. The standard UWindsor overhead rate is 40%.

For contracts, where terms and conditions are negotiated, the University of Windsor ‘Research Overhead Costs Policy’ applies. This Research Overhead Costs Policy is set out on the next two pages of this guide. However, the most current version is posted to the ORIS website (available at <http://www.uwindsor.ca/oris/policies>). This document should be viewed whenever a new contract is negotiated since the policy content changes from time to time and will be posted on the website.

13. RESEARCH OVERHEAD COSTS POLICY

Policy Title:	Research Overhead Costs Policy
Policy Number:	Office of Research and Innovation Services – April 26, 2013 – ORIS Policy No. ORIS-11-005
Established:	May 1, 2013 (update to September 25, 2011 version); Executive Director, Research and Innovation
Approved by:	Vice-President, Research and Innovation

1. Policy Statement

This Policy outlines the overhead costs and charges in conducting non-Tri-Council-funded research and contract work.

2. Purpose

This policy is designed to outline what overhead costs are, how charging for them will proceed, and how overhead funding is to be allocated.

3. Definition and Scope

All research incurs indirect costs by the University, whether supported by a grant or contract. This principle has been recognized by governments in recent years and, for example, there is now an annual Research Support Fund (RSF) (formerly Federal Indirect Costs Program (FICP)) that returns some of the indirect costs to universities in conducting Tri-Council as well as National Centres of Excellence (NCE) research.

To avoid confusion with what is supported by FICP, indirect costs associated with research that is not funded by the Tri-Council and NCE are typically described as overhead costs.

Overhead costs must be included in the budgets for all research proposals, contracts, contract proposals, contract letters of intent, and contract development agreements. The only exceptions are the Tri-Council and NCE portion of funding (of which the indirect costs are separately funded by FICP) and the Early Researcher Awards (which has its own associated overhead costs policy); note that overhead charges are expected from the industrial contributions even in Tri-Council and NCE funding as these are not covered by FICP. The standard overhead charging rate is 40% of the total project cost minus any contributions from the Tri-Council or NCE (in any project involving co-funding between the Tri-Council/NCE and other partners). The Vice-President, Research may lower this rate for a specific application after appeal from the applicant. Note that this appeal must be based on an existing policy, or a regular practice, of the funding source; or an

exceptional instance in which the funding bears no specified deliverables to the funder. All other reasoning will typically be considered unpersuasive.

4. Procedures:

4.1 Contract Negotiation

Prior to submission to the Office of Research and Innovation Services, all applications should be reviewed and signed by the Head of the Academic Unit and the Dean of the respective Faculty. Discussions early on should inform the research recipients (company, government department, etc.) that they are expected to bear overhead costs. Appeal to the Vice-President, Research must be raised in advance. Legally, no employee other than an officer of the Board (i.e. President, Vice-President, or their designate) can sign a contract in the name of the University. In this case the signature will normally be that of the Vice-President, Research or designate.

4.2 Allocation of Overhead Funding

Overhead funding received per contract or award is to be disbursed to those who incur the costs as follows:

- ❖ 25% to be returned to the Principal Investigator (PI)/Applicant to support her/his existing and/or future research (the PI may not draw a salary on this item);
- ❖ 25% to be distributed to the PI's Faculty Dean to partially offset costs associated with the project work and/or to support future research activities;
- ❖ 10% to be distributed to the PI's Departmental Chair, or the Dean additionally for a non-departmentalized Faculty, to partially offset costs associated with the project work and/or to support future research activities;
- ❖ 20% to be allocated to the Central Administration of the University to partially offset costs associated with the project work;
- ❖ 20% to be allocated to the Office of Research and Innovation Services to enhance and further strengthen industrial liaison and technology transfer activities.

5. Review Process for Policy

The policy will be reviewed periodically and updated as required.

6. Process for Communicating Policy

The policy will be disseminated to the university research community and will be available on the ORIS website, <http://www.uwindsor.ca/oris/>.

14. INTELLECTUAL PROPERTY

Commercialization of Intellectual Property

The University of Windsor views the commercialization of intellectual property developed at the University benefiting the university and the community at large and will do whatever it can to support this commercialization. The University of Windsor has an inventor-owned policy. In accordance with Article 34 of the Faculty Association Collective Agreement, the inventor must disclose to the Office of the Vice-President, Research & Innovation in writing any filed invention and/or patent application. The inventor shall have the right to determine if they wish to seek the assistance of the University of Windsor in relation to obtaining intellectual property protection and/or further commercialization.

Methods of Preserving Intellectual Property

1. Secret (Trade Secret/Confidential Information)
2. Patent (Process Patent)
3. Plant Breeders' Rights Act/Plant Protection Act
4. Integrated Circuit Topographies Act (Mask Works Protection)
5. Copyright
6. Industrial Design
7. Trademark

For further information about the methods below of preserving intellectual property⁸, please go to <http://www.ic.gc.ca/eic/site/cipointernet-internetopic.nsf/eng/Home> or call the Office of Research and Innovation Services. Contact information follows:

Primary Contacts: Vesna Kaps, Contract/Technology Transfer Manager
Email: vesna@uwindsor.ca, ext. 3922

Copyright

A copyright is a set of legal rights that allow an author to control the dissemination and reproduction of his/her original literary, artistic, musical and/or dramatic work. A work is protected when it is fixed in a medium, from letters, books and papers to CDs, DVDs, databases, and internet postings.

Copyright protects the expression of an idea and not the idea itself. There are two aspects of copyright: legal rights and moral rights. Legal rights are the rights to control, copy, disseminate and sell a work. Moral rights are rights of attribution and integrity of a work, and extend beyond a sale or assignment. Under Canadian copyright law, moral rights can be waived in full or in part, but cannot be sold or transferred.

⁸ ORIS staff: See K:\Procedures\Intellectual Property Procedures.

In general, a work mentioned above is automatically protected by copyright when it is created. In some jurisdictions, registration is necessary and allows for copyright holders to access full remedies for infringement. In Canada, a copyright does not have to be registered for it to be protected, but may be.

Moral rights for Canada and the U.S. last for the term of the copyright. In Canada, copyright lasts for the life of the author plus fifty (50) years; however, if it is a sound recording and/or musical performance, the protection is for seventy (70) years. If the work is created anonymously, or under a pseudonym, the term is fifty (50) years after publication or seventy-five (75) years after creation, whichever is shorter. HOWEVER, if the identity of the author were to become known, the normal protection term would apply. In the U.S., it is life of the author plus 75 years. If a work is created by a corporation, under a pseudonym or anonymously, protection lasts for ninety-five (95) years from the date of publication or one hundred twenty (120) years from the date of creation, whichever is shorter.

Industrial Design

The industrial design is the aesthetic appearance of an article. The visual appearance or any design that is incorporated into a product may be protected by this Act. The appearance of the *iPod* and the design of a *Coke* bottle are examples of registered industrial designs. Protection is 10 years from the date of registration. However, a maintenance fee must be paid at 5 years and 6 months. If not paid, then the protection will cease.

Mask Works Protection

A form of intellectual property is designed to specifically protect Mask Works and Integrated Circuits in the U.S. and Canada. A Mask Work is similar to a photo negative that is used to produce the designed electronic circuit on a semiconductor chip. Integrated circuit topography is the actual 3-D detail of the active structures inside a semiconductor chip, and is the end result of a Mask Work.

In both Canada and the U.S., the term of protection begins on either the date that Mask Work is registered, or the date that the Mask Work is first commercially exploited ANYWHERE IN THE WORLD, whichever is earlier. The term ends on December 31 of the tenth year after the earlier of the two dates above. In Canada, the *Integrated Circuit Topography Act*, and in the U.S., the *Semiconductor Protection Act of 1984*, are each administered by their respective Copyright Office.

Patents

A patent provides the legal right to exclude others from making or using an invention/discovery. It can last for 20 years and it is country specific. The decision of where to patent depends on the market and the costs involved. To be patentable the invention must satisfy three requirements: (i) it must be non-obvious and novel; (ii) it must have a utility; and

(iii) the subject matter must be appropriate. For example: genetically modified organs, professional skill, and abstract scientific theorems are not patentable.

If you disclose without protection of a patent you may have ended any future patent rights. Patent eligibility varies among countries and timing is everything. Keep the following points in mind: keep all results and information confidential to the inventors until you have decided whether or not you wish to patent your invention/discovery. **Under new patent law reforms, once you have disclosed your invention it becomes public domain.**

Public disclosure is any disclosure where the receiving party has not agreed to maintain the information as confidential which includes: publishing the details of an invention in a peer reviewed journal, presentation of the invention at a conference or speech. In Canada, applying for government funding is not a public disclosure, whereas in the U.S., it is considered as such.

Plant Breeder Rights

Plant Breeders Rights area is a grant of rights, similar to a patent, designed to specifically protect new plant varieties. In Canada, plant variety protection is covered by the *Plant Breeders Rights Act* and in the U.S. by the *Plant Variety Protection Act* for sexually reproducing plants and the *Plant Patent Act of 1930* for asexually reproducing plants.

In Canada, the duration of the grant of rights is 18 years from the date the rights certificate is issued. In the US, for tuber propagated variety, the term is 20 years from the date the rights certificate is issued. For a tree or vine, the term of protection is 25 years.

Trademarks

A trademark is a mark or symbol, word or phrase, or a combination of symbols, words, or phrases that is used to distinguish the source of goods or services as belonging to one party from those of others. Registered trademarks obtain nationwide protection for 15 years, which is renewable. This requires registration with the Canadian Intellectual Property Office. Unregistered trademarks are trademarks that are not registered, yet through use they have the local ability to distinguish a certain product or service as those from a particular party. These trademark rights may only be enforced in the geographical area where they have developed their distinctiveness. However, such trademark rights will not likely be upheld against a registered trademark. Trademarks must be in use in the public domain to be enforceable.

15. APPENDIX - FREQUENTLY USED ACRONYMS

ACC	Animal Care Committee
ADTF	Academic Development Travel Fund
AUPP	Animal Utilization Project Proposal
BSC	Biological Safety Committee
CAREB	Canadian Association of Research Ethics Boards
CARA	Canadian Association of Research Administrators
CCAC	Canadian Council on Animal Care
CCC	Chemical Control Centre
CFI	Canada Foundation for Innovation
CIHR	Canadian Institutes of Health Research
CLIF	Centered on Learning Innovation Fund (CTL)
CRC	Canada Research Chairs
CTL	Centre for Teaching and Learning
DG	Discovery Grants (NSERC)
ERA	Early Researcher Award (MRI)
FAHSS	Faculty of Arts, Humanities and Social Sciences
FIPPA	Freedom of Information and Protection of Privacy Act
GLIER	Great Lakes Institute for Environmental Research
HQP	Highly Qualified Personnel
HSSRG	Humanities and Social Sciences Research Grants
IF	Innovation Fund (CFI)
IOF	Infrastructure Operating Fund (CFI)
IP	Intellectual Property
JELF	John R. Evans Leaders Fund (CFI)
LOI	Letter of Intent
MEDEI	Ministry of Economic Development, Employment and Infrastructure
MRIS	Ministry of Research, Innovation and Science
MOU	Memorandum of Understanding
NCE	Networks of Centres of Excellence
NOI	Notification of Intent
NSERC	Natural Sciences and Engineering Research Council of Canada
OCE	Ontario Centres of Excellence
ORF	Ontario Research Fund (MRIS)
ORF-RE	Ontario Research Fund – Research Excellence (MRIS-RE)
ORF-RI	Ontario Research Fund – Research Infrastructure (MRIS-ORF)
ORIS	Office of Research and Innovation Services
PDF	Post-Doctoral Fellow
RA	Research Assistant
REB	Research Ethics Board
RTI	Research Tools and Instruments Grants (NSERC)

RTIF	Research & Teaching Innovation Fund Grants (Odette School of Business)
SHARCNET	Shared Hierarchical Academic Research Computing Network
SRP	Strategic Research Plan
SSHRC	Social Sciences and Humanities Research Council of Canada
TCPS	Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans
Tri-Council	Three agencies: Canadian Institutes of Health Research (CIHR); the Natural Sciences and Engineering Research Council of Canada (NSERC), and the Social Sciences and Humanities Research Council of Canada (SSHRC)
VPRI	Vice President, Research and Innovation