



a place of mind

THE UNIVERSITY OF BRITISH COLUMBIA

Guide for Researchers

University of British Columbia

Okanagan Campus

2017-18

Office of Research Services | Okanagan

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UBC OKANAGAN RESEARCH GUIDE

Welcome to the 2017-18 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.

ORGANIZATIONAL STRUCTURE

Office of the Vice Principal, Research

UBC's Okanagan campus seeks to excel 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.

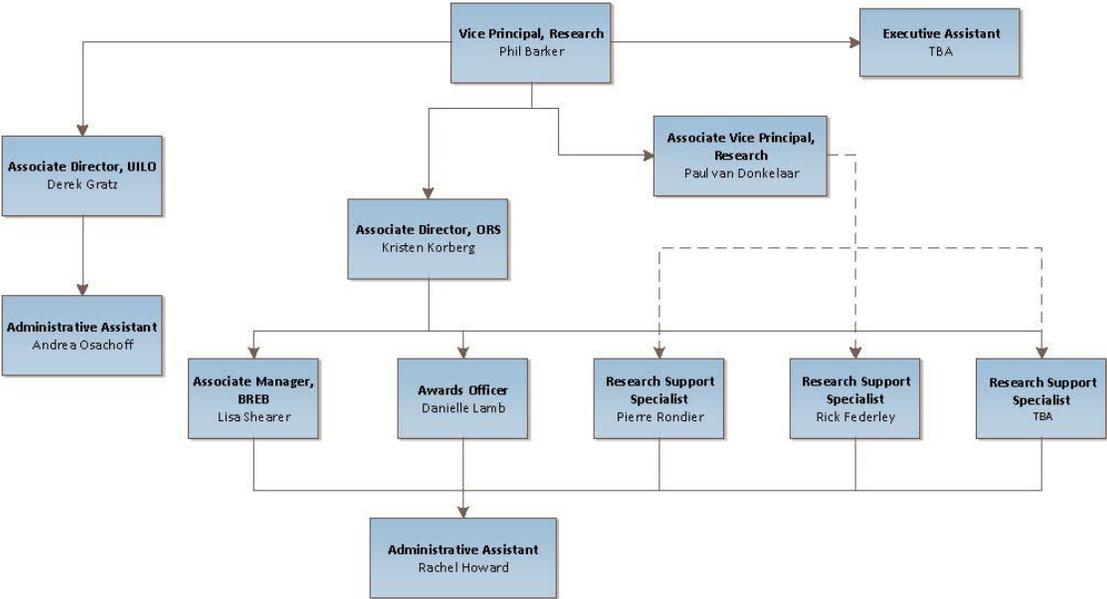
By conducting basic and applied research of international acclaim, and by educating graduates with outstanding creative and analytical skills, the University aims to enhance its impact on society. UBC is committed to the principles of academic freedom, and in particular that faculty members are free 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 two plans: [Place and Promise: The UBC Plan](#), which is a UBC-wide strategic plan, and [The Strategic Research Plan](#), which is a plan specifically developed to guide research activity on the Okanagan campus and is presently in the process of being updated. The new plan will be made available on the VPR site.

Primary Contact: Dr. Philip Barker
Vice Principal, Research
Email: philip.barker@ubc.ca

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

Office of Research Services & UILO Organizational Chart



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.

Summary of Research Resources and Support Services

As the UBC Okanagan’s central research administration office, the ORS 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 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 university 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.

RIMES

In partnership with UBCO Library, ORS has recently launched a research resource portal, the **Research and Infrastructure Management Enterprise Services** portal, or **RIMES**. At RIMES you can access all of the Research Tools and Services UBC has at your disposal as you move through the research lifecycle: planning, implementation, publishing, discovery and impact, and preservation. As well, you will find a complete and collated list of all current workshop and seminar opportunities aimed at supporting your needs with respect to proposal preparation, research ethics, research tool technical support, Tri-Council policies and regulation, funding opportunities and more. Whatever you need to do your research, you will find it at RIMES.

<http://rimes.ok.ubc.ca/welcome.html>

Pre-Award Administration - Research Services

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	807-8832	Kristen.Korberg@ubc.ca
Pierre Rondier	Research Support Specialist: Social Science and Humanities	Proposal development and application submission process for external programs; assistance with research collaboration; research workshops and funding opportunities – SSHRC +	807-9438	Pierre.Rondier@ubc.ca
Rick Federley	Research Support Specialist: Natural Science and Engineering	Proposal development and application submission process for external programs; assistance with research collaboration; research workshops and funding opportunities – NSERC +	807-9516	Richard.Federley@ubc.ca
TBA (Fall 2017)	Research Support Specialist –Health Research	Proposal development and application submission process for external programs; assistance with research collaboration; research workshops and funding opportunities – CIHR +		
Lisa Shearer	Associate Manager, BREB	Okanagan BREB and UBC REB information and assistance; assistance with RISE ethics applications; pre-review and support	807-8289	Lisa.Shearer@ubc.ca
Danielle Lamb	Awards and Communications Officer	Research account set up; internal grants administration; research statistics and reports	807-9658	Danielle.Lamb@ubc.ca
Rachel Howard	Administrative Assistant	Provides administrative support for ORS; facilitates grant intake and institutional signature; maintains and distributes ORS newsletter	807-9412	Rachel.Howard@ubc.ca

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

RESEARCH FACILITATION

Research support specialists 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..

Office of Research Services – Okanagan Campus

Provides services related to:

- proposal development and application submission process for external programs;
- assistance with research collaboration; and,
- research workshops and funding opportunities

Title / Role	Contact	Phone	Email
Research Support Specialist SSHRC	Pierre Rondier	807-9438	Pierre.Rondier@ubc.ca
Research Support Specialist NSERC	Rick Federley	807-9516	Richard.Federley@ubc.ca
Research Support Specialist CIHR	TBA		

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

[SPARC](#) provides support to Okanagan researchers, including system-wide internal peer review and online resources including archived presentation materials and a sample grant library.

Institutional Contacts

The 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.

Area	Title / Role	Contact Name	Phone	Email
Vice-Principal	VPR	Philip Barker	807-8139	vpresearch.ok@ubc.ca
Associate Vice-Principal	Associate VPR	Paul van Donkelaar	807-8858	Paul.vandonkelaar@ubc.ca
Research Services	Associate Director, ORS	Kristen Korberg	807-8832	Kristen.Korberg@ubc.ca
	Associate Director, UILO	Derek Gratz	807-9853	Derek.Gratz@ubc.ca
Vice-Provost and Dean of College of Graduate and Postdoctoral Studies	Vice Provost & Dean	Miriam Grant	807-8180	Miriam.Grant@ubc.ca
	Associate Dean	Thomas Heilke		Thomas.Heilke@ubc.ca
Irving K. Barber School of Arts & Sciences	Dean	Wisdom Tettey	807-9527	Wisdom.Tettey@ubc.ca
	Associate Dean of Research	Mike Evans	807-9401	michael.evans@ubc.ca
Faculty of Creative & Critical Studies	Dean	Bryce Traister	807-9357	bryce.traister@ubc.ca
	Associate Dean of Research	Greg Garrard	807-9369	Greg.garrard@ubc.ca
Faculty of Health & Social Development	Dean	Gordon Binsted	807-8740	Gordon.Binsted@ubc.ca
	Associate Dean of Research	TBA	807-8858	tba
Faculty of Education	Dean – pro tem	Blye Frank		Blye.frank@ubc.ca
Faculty of Management	Dean	Roger Sugden	807-9511	Roger.Sugden@ubc.ca
	Research Coordinator	Mary Butterfield	807-8157	mary.butterfield@ubc.ca
School of Engineering	Associate Dean	Rehan Sadiq	807-9013	rehan.sadiq@ubc.ca
	Associate Dean of Research	Wilson Eberle	807-8630	wilson.eberle@ubc.ca

INTERNAL FUNDING PROGRAMS

There are some internal funding options available for faculty members at UBC's Okanagan. Full details on this program and the funding opportunities available can be found on our website: <http://ors.ok.ubc.ca/funding/internal.html>

Primary Contact:

Danielle Lamb

Awards & Communication Officer

Email: Danielle.Lamb@ubc.ca

Phone: 250-807-9658

TRI-COUNCIL 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.

For a list of tri-council 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/>

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 \(WD\)](#)

Research Support Specialist [Rick Federley](#) 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 Okanagan ORS 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 [view [map](#)]

Vancouver, BC Canada V6T 1Z4

Tel: (604) 827-5170

Email: ipo.admin@ubc.ca

OTHER RESOURCES

UBCO Directories

To view UBCO research all over the map please visit MORE (Mapping Okanagan Research Engagement) at <http://more.ok.ubc.ca/>

ORS Newsletter

ORS generates a monthly email newsletter, to provide the most up to date information possible on funding opportunities and important ORS news to the research community. You can sign up for this newsletter by contacting the Okanagan Office of Research Services administrative assistant at Rachel.howard@ubc.ca

Funding Opportunities Directory

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

PRE-AWARD ADMINISTRATION

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 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 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, 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 - 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 application is successful, 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.

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>).

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 Contact:

Gerald Levac
Finance Manager
250-807-9034
Gerald.levac@ubc.ca

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 form here: <http://ors.ok.ubc.ca/forms.html>. Please note that **student projects are not** eligible for partial funding release.

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](#).

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 #89](#) 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 (TCPS), 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).

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

UBC REBs website (Office of Research Ethics): <https://ethics.research.ubc.ca/about-human-research-ethics/ethics-boards>

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).

Contacts:

Pia Ganz, CREB Manager

604-875-4149 | pia.ganz@ors.ubc.ca

Suzanne Richardson, CREB Pre-Post Review Manager

604-875-4111 ext. 68919 | suzanne.richardson@ors.ubc.ca

UBC CREB website: <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 UBC Policy #91 (Research and Teaching Involving Animals) and must have the approval of the UBC Committee on Animal Care.

Contacts:

Lynn Macdonald, Manager, Animal Care & Biosafety Committees

604-827-5111 | lynn.macdonald@ors.ubc.ca

Fred Woo, Animal Care & Biosafety Assistant

604-827-5115 | fred.woo@ors.ubc.ca

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.

Contacts:

Lynn Macdonald, Manager, Animal Care & Biosafety Committees

604-827-5111 | lynn.macdonald@ors.ubc.ca

Fred Woo, Animal Care & Biosafety Assistant

604-827-5115 | fred.woo@ors.ubc.ca

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

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. Student employees also allow departments to gain temporary or part-time support. 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](#)

[Planning For a Student Worker](#)

Defining Student Work, Supervising Student Workers, Salary, Hours of Work, Benefits, Vacation Pay, Sick Time, Statutory Holiday Pay

[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](#))

[Managing a Student Worker](#)

Onboarding, Maintaining Studies, Development, Performance Reviews and Feedback, Discipline, Attendance Management, Extending Appointments

[Ending Student Appointments](#)

Resigning, Terminating, T4s and T4As

Non Student Research Personnel or Support staff

Please see "Recruiting Staff at UBC's Okanagan Campus" for a complete guide to staff recruitment <http://hr.ok.ubc.ca/resources/recruitment.html>

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.

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 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 RTA 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.

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.

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 “[Hiring Students/Research or Support Personnel](#)” in this guide.

Space

If this is an eligible expense, contact the Campus and Space Management in the department of Administration and Finance. Contact Space Coordinator laurel.friesen@ubc.ca

Indirect Costs of Research

Indirect costs of research are ongoing, necessary operating expenses that cannot be attributed to any one department, project or product.

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

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 Overhead 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 located [here](#) to the total cost of all research grants, contracts and agreements for research projects sponsored by industry and government with the exception of 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.

Special rates apply to *certain* government and non-profit agencies - these specific rates are listed on the [Table of Verified Rates](#) page (CWL login required). 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.

[Policy 87: Research](#)

The University's policy on Research, which includes the policy on indirect costs, is known as Policy 87, and it may be founded here: <http://universitycounsel.ubc.ca/policies/index/>

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: http://ors.ok.ubc.ca/policies/icr_rates.html

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.

Core Services

- **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

Andrea Osachoff, Administrative & Special Projects Coordinator
250.807.8602 | Andrea.Osachoff@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

- #16 - [The Non-University Use of University Services and Facilities](#)
- #85 - [Scholarly Integrity](#)
- #87 - [Research](#)
- #88 - [Patents and Licensing](#)
See also: [Tax Treatment of Payments under Policy #88](#)
- #89 - [Research Involving Human Participants](#)
- #91 - [Purchase of Animals for Research and Teaching](#)
- #90 - [Over-expenditures on Research and Specific Purpose Trust/Project Grants](#)
- #97 - [Conflict of Interest & Conflict of Commitment](#)

- [Also would like #83, #84](#)

It is important COI forms are completed when submitting Ethics documentation.

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

- #105 - [Acceptance, Management and Sale of Technology Licensing Equity](#)
- #109 - [Ownership](#)
- #110 - [All Commercial Uses of the University Trade Marks](#)

Signing Resolutions

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