



UNIVERSITY OF  
**REGINA**



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## PREFACE

This *Handbook* is designed to be a resource to members of the University of Regina, and should serve as a point of first inquiry regarding the policies, procedures, and resources related to research activities of the University of Regina. The Handbook is not intended to be a static document and will undergo regular revision as required. Please consult the Office of Research Services website for the most up-to-date version and to make any suggestions for change.

The *Handbook* provides information regarding the administrative structure of the University research units and the responsibilities and duties of the Directors and related staff. It also provides guidelines regarding pre- and post-award administration of grants and contracts, and policies related to research activities. Finally, it provides an overview of patents and commercialization.

## Innovative and Quality Research

The University of Regina is one of Canada's leading comprehensive universities - a dynamic institution with a strong national and international reputation for research and outstanding educational programs. Through its nine faculties, 25 centres / institutes and more than 450 faculty members, the University has seen its external research funding double since 2000, and graduate enrolment increase to more than 1400 students (18% are international students). Specialized academic programs have long been offered in targeted research areas, and in recent years, the University has developed several innovative program offerings that provide unique research opportunities for faculty and students.

Innovative, quality research is the lifeblood of any university. It helps attract motivated students and faculty from all over the world, support graduate programs, invigorate teaching, and build an institution's overall reputation in an increasingly competitive university sector.

As an institution whose motto is "As One Who Serves," the University of Regina is infused at every level with a sense of social responsibility - something that is evident in much of the research that is undertaken on campus and shared with the larger community. At the same time, students and faculty are urged to live up to the motto in their own way, serving their academic discipline by conducting world-class research that is diverse, creative, and inspired.

There is a multitude of primary and applied research taking place across all disciplines at the University of Regina, and to help bring this work to the world the University has identified five areas of strategic research emphasis:

- Culture and Heritage
- Energy and Environment
- Health
- Informatics
- Social Justice

These areas of focus are intended to facilitate the development of creative new research and academic programs and partnerships, both inside and outside the University. While they by no means reflect all of the University's research activity, these areas of emphasis are ones in which the University of Regina has current strength, significant opportunity for future growth, and the potential for far-reaching impact.

## Thematic Research Areas and Partnerships

**Culture and heritage** is a strong focus for research at the University for advancing innovative scholarship in the arts, fine arts and humanities.

The University is a world leader in **energy and environment** research focused on carbon capture and storage, enhanced oil recovery, risk assessment of geological storage of CO<sub>2</sub>, drought reconstruction, and climate change modeling and adaptation. Through the International Test Centre for CO<sub>2</sub> Capture, University of Regina researchers have developed CO<sub>2</sub> capture technologies that are being commercialized internationally.

**Health** research has become a major focus for the University with world-class researchers conducting leading-edge studies in aging, long-term care, pain assessment and management, cancer research, population health, rehabilitation and risk reduction, rural health, and northern health. In partnership with the First Nations University of Canada, our researchers are advancing **Aboriginal health studies** of chronic diseases, nutrition and life style, Indigenous healing, health delivery and control and prevention and environmental health.

**Informatics** researchers are leading studies in Web search and retrieval systems, data mining, information retrieval and databases, parallel and distributed computing, computer graphics, artificial intelligence, expert systems, and scientific visualization.

The University shows national leadership in **public safety, security and social justice research**. In addition to its own Canadian Institute for Peace, Justice and Security, the University has a close partnership with the Canadian Police Research Centre and is home to the Saskatchewan Police College providing unique public safety, security and justice research opportunities.

The University is also providing exciting opportunities through its business administration and public policy programs. The Kenneth Levene Graduate School of Business offers both MBA and Executive MBA programs, and the newly formed provincial Johnson-Shoyama Graduate School of Public Policy provides a foundation of theory, practice and research to prepare students for careers in public management and public policy research.

The University's growth in its research has been matched by significant growth in infrastructure. In the past decade, the University has more than doubled its physical capacity, with notable research-related construction including:

- a \$60 million Laboratory Building Addition providing faculty and students with state-of-the-art teaching and research facilities; and
- a \$32 million Centre for Kinesiology, Health and Sport, which is home to a health clinic and a variety of research laboratories.

A significant contribution to the University's strength is its active partnerships with other institutions including industry, business and governments. Working with industry and government partners, the University helped to create:

- The Petroleum Technology Research Centre (PTRC) which manages the world's largest CO<sub>2</sub> Storage Project and the largest avoided CO<sub>2</sub> emissions project, and is working towards the world's first zero emissions coal fired power plant. As well, University researchers work with PTRC to advance enhanced oil recovery technologies;
- The Communities of Tomorrow fosters the development and commercialization of new infrastructure solutions for the global marketplace within the Regina regional sustainable infrastructure cluster; and

- SpringBoard West Innovations Inc. (SpringBoard) provides another significant opportunity for University researchers interested in commercializing their work. Located adjacent to the University at Innovation Place, Springboard specializes in transferring research and technology from the University to the marketplace.

For more than 25 years, the University of Regina has developed its strength as an international university, with partnership agreements in more than 25 different countries. This focus on internationalization has helped attract students and faculty from around the world and facilitate major international research projects in Africa, Asia, China, and Latin America, bringing global perspectives to a university that had its beginnings with only 27 students nearly a century ago.

For more information, please contact the Office of Research Services or a Thematic Research Coordinator.

### Thematic Research Coordinators

Reporting to the Vice-President (Research and International), the Thematic Research Coordinators work closely with the Offices of the Vice-President (Research and International), Research Services, and other research-related offices to facilitate and promote research in one of the five areas of strategic research emphasis at the University of Regina. The Thematic Research Coordinators are:

- Culture and Heritage: Dr. Nicholas Ruddick ([Nicholas.Ruddick@uregina.ca](mailto:Nicholas.Ruddick@uregina.ca))
- Energy and Environment: TBA
- Health: Dr. Craig Chamberlin ([Craig.Chamberlin@uregina.ca](mailto:Craig.Chamberlin@uregina.ca))
- Informatics: Dr. Luigi Benedicenti ([Luigi.Benedicenti@uregina.ca](mailto:Luigi.Benedicenti@uregina.ca))
- Social Justice: Dr. Thomas Chase ([Thomas.Chase@uregina.ca](mailto:Thomas.Chase@uregina.ca))

For more information, please contact the Thematic Research Coordinator(s) or the Office of Research Services.

## 1 ORGANIZATION AND RESEARCH STRUCTURE

### 1.1 Organizational Chart

The Organizational Chart 2007/08 provides information on the line reporting structure at the University of Regina. The organizational chart may be downloaded at the following URL: <http://www.uregina.ca/presoff/Admin&Governance/org%20chart%20-%20Mar%202008.pdf>

### 1.2 Faculties and Academic Units

#### 1.2.1 Faculty of Arts

The Faculty of Arts serves the University of Regina, its students, faculty and staff, and the communities that surround and support them. Their goals are the creation, discovery and communication of knowledge.

The Faculty of Arts affirms the value of creative and critical thought, innovative research, free discussion, courageous inquiry and social change. They embrace the particular challenges facing the diverse communities, including the Indigenous communities, of our region. They foster an intellectual environment in which diversity is reflected and celebrated. They also interpret our pasts and help to shape the futures of Saskatchewan and beyond.

The Faculty of Arts contains sixteen departments: Anthropology, Economics, English, French, Geography, History, Indian Communication Arts\*, Indian Languages, Literatures and Linguistics\*, Indigenous Studies\*, International Languages, Justice Studies, Philosophy and Classics, Political Science, Psychology, Religious Studies, Sociology and Social Studies; six programs: Canadian Plains Studies, Health Studies, International Studies, Police Studies, Prairie Studies, Women's Studies; and one school: Journalism.

For more information, please contact the Dean of Arts Office or visit their website: <http://www.uregina.ca/arts>

\* First Nations University of Canada

#### 1.2.2 Faculty of Business Administration

The mission of the Faculty of Business Administration is to "advance the knowledge, understanding, and practice of management." As part of a larger community of management scholars, we seek to advance the understanding of management through our research, teaching, and service to the community. They have a commitment to the informed instruction of students and other management learners. They actively pursue teaching excellence through case writing and instruction, advancing new learning technologies, action projects, and collaborative learning. They communicate management thinking to broad communities through classroom and boardroom instruction, presentations, and publications.

The Faculty of Business Administration consists of three parts: the Kenneth Levene Graduate School of Business, the Paul J. Hill School of Business, and the Centre for Management Development.

For more information, please contact the Dean of Business Administration Office or visit their website: <http://www.uregina.ca/admin>

### 1.2.3 Faculty of Education

The mission of the Faculty of Education serves society by educating classroom teachers, preparing educational leaders, providing leadership and support for training and development, conducting educational research, and engaging in provincial, national and international programs and projects. The Faculty of Education is committed to ideals of service, outreach and the collaborative processes that flourish in a community of caring and mutual respect.

Special units in the Faculty include the Saskatchewan Instructional Development and Research Unit, the Centre for Social Justice and Anti-oppressive Education, and the Centre for International Education and Training.

For more information, please contact the Dean of Education Office or visit their website: <http://education.uregina.ca>

### 1.2.4 Faculty of Engineering

The Faculty of Engineering is and will continue to be a dynamic, recognized centre of innovation and creativity dedicated to entrepreneurial leadership in lifelong learning, research and development enthusiastically working in partnership with the local and global communities.

The mission of the Faculty of Engineering is to provide an excellent "systems approach" to engineering education for our students. Each program has a unique implementation of the systems theme, founded on the common underlying goal to produce engineering graduates with not only a strong base of technical knowledge but also with the breadth of complementary skills that successful professional engineers should have in the workplace.

The Faculty of Engineering contains five program areas: Electronic System Engineering, Environmental Systems Engineering, Industrial Systems Engineering, Petroleum Systems Engineering, and Software Systems Engineering.

For more information, please contact the Dean of Engineering Office or visit their website: <http://www.uregina.ca/engg>

### 1.2.5 Faculty of Fine Arts

The Faculty of Fine Arts strives to engender creative, critical, and independent thinking in our students, and demands it of ourselves, as artists and scholars. Their mission is to create and interpret artistic and cultural endeavors in an environment that values the integration of theory and practice. The Faculty is committed to interaction with the wider artistic, cultural, and heritage communities, both locally and globally.

The Faculty of Fine Arts is committed, but not limited to, the following goals: creating life-long learners; continuing to be actively engaged in research and scholarship; facilitating cultural stimulation and leadership; striving to remain competitive in the new knowledge-based economy, and current in the latest professional and technological developments; and making the faculty a desired place to work and study.

The Faculty of Fine Arts contains five program areas: Media Production and Studies, Music, Theatre, Visual Arts, and Interdisciplinary Studies.

For more information, please contact the Dean of Fine Arts Office or visit their website: <http://www.uregina.ca/finearts/finearts/index.html>

### **1.2.6 Faculty of Graduate Studies and Research**

The mission of the Faculty of Graduate Studies and Research is to support a diverse range of high quality graduate programs in accordance with the strengths and expertise of the faculty members; to respond to and anticipate future needs of people in the region; and to provide life-long educational opportunities. The graduate education mission is focused on rigorous advanced study that serves to preserve, extend, and disseminate knowledge in the pure, applied and multidisciplinary realms applicable to all sectors of Saskatchewan, Canada and the world-at large.

The goals of the Faculty are to engage students in scholarly activities emphasizing the following: higher order thinking; collaborative learning; interpersonal effectiveness; research competency; leadership; professionalism; and lifelong learning.

For more information, please contact the Dean of the Faculty of Graduate Studies and Research Office or visit their website: <http://www.uregina.ca/gradstudies>

### **1.2.7 Faculty of Kinesiology and Health Studies**

Kinesiology and Health Studies is the study of human physical activity, health, and well being from biological, psychological, and/or sociological perspectives. The Faculty of Kinesiology and Health Studies is a young, innovative, and dynamic center of excellence committed to enhancing the individual's quality of life by providing leadership in health, human movement, and active living through excellence in teaching, research, and service

The mission of the Faculty of Kinesiology and Health Studies is to serve our communities through the provision of outstanding programs of teaching, scholarship and research, and service. Our academic mission is the acquisition, development, and dissemination of knowledge in the realm of kinesiology and health study through research, scholarship, teaching, curricula, and professional endeavour. Our service mission is the development and provision of programs that foster healthy living, and the participation in recreational and competitive physical activity.

The Faculty currently offers innovative programs leading to a Bachelor of Kinesiology, with options in Fitness and Lifestyle, Adapted Physical Activity, Recreation and Sport Administration, Gerontology, and Athletic Therapy or a Bachelor of Health Studies with an option in Indigenous Health Issues, as well as graduate programming leading to a M.Sc. or Ph.D. degree.

For more information, please contact the Faculty of Kinesiology and Health Studies General Office or visit their website at <http://kinesiology.uregina.ca>.

### **1.2.8 Faculty of Science**

The Faculty of Science is committed to sustain excellence in the creation and dissemination of knowledge by research, scholarly publication and teaching in both basic and applied sciences.



The mandate of the Faculty of Science is the creation and application of knowledge through pure and applied research and the dissemination of this knowledge through scholarly publication and teaching. Research and Teaching are the fundamental activities of the Faculty. The Faculty of Science has a dynamic, externally funded, peer-evaluated, nationally and internationally recognized research base. This base provides a solid foundation for our undergraduate and graduate programs, and is a mechanism for attracting and retaining high quality faculty, students and staff to the Faculty of Science.

The Faculty of Science contains six departments: Biology, Chemistry and Biochemistry, Computer Science, Geology, Mathematics and Statistics, and Physics.

For more information, please contact the Dean of Science Office or visit their website: <http://www.uregina.ca/science>

### **1.2.9 Faculty of Social Work**

The social work program of education, research and community service is designed to prepare students for critical generalist social work practice with diverse peoples. Informed by the principles of social justice, the social work program encourages students to identify the needs of the disadvantaged, marginalized and oppressed; to develop the commitment, knowledge, values, attitudes, and skills required to confront structural inequalities; to address personal issues; and to empower individuals, families, and communities to realize their full potential.

Special units in the Faculty include the Social Policy Research Unit, and two Community Education Centres in Prince Albert and Saskatoon.

For more information, please contact the Dean of Social Work Office or visit their website: <http://cat.uregina.ca/socialwork>

### **1.2.10 Centre for Continuing Education**

The Centre for Continuing Education links the University's resources to individual and group learning needs in the community.

The Centre for Continuing Education's mandate is to meet lifelong learning needs by offering high quality, flexible and accessible education and training programs to learners of all ages that build on the strengths and resources of the community and the University. The Centre builds on the strengths of the community and the University to enhance, enrich and, in some cases, change lives.

Special units in the Centre for Continuing Education include, but are not limited to, the following: Business and Professional Development, Credit Studies Division; Conservatory of Performing Arts; English as a Second Language; Distance Learning Division; and the Seniors Education Centre.

For more information, please contact the Centre for Continuing Education or visit their website: <http://www.uregina.ca/cce/index.shtml>

### 1.2.11 Institut français

(English to follow)

L'Institut français a pour mission de répondre aux besoins éducatifs universitaires des francophones et francophiles de la Saskatchewan. Il est un acteur engagé dans le développement culturel, linguistique et professionnel de la communauté fransaskoise en offrant des cours, des programmes et des services de niveau universitaire en français à l'Université de Regina.

Dans ce sens, il soutient le développement de la recherche sur les enjeux propres à la francophonie en milieu minoritaire. L'Institut français offre également un environnement francophone sur le campus de l'Université de Regina.

The mission of the Institut français is to fulfill the postsecondary education needs of the francophone and francophile students of Saskatchewan. The Institut français is committed to the professional, linguistic and cultural development of the Fransaskois community, by providing postsecondary courses, programs and services in French at the University of Regina.

Given its commitment to La Francophonie, the Institut français is determined to support the development of research projects dealing specifically with francophones in minority settings. The Institut français also offers a French-speaking environment on the University of Regina campus.

For more information, please contact the Institut français or visit their website: <http://institutfrancais.uregina.ca>

### 1.2.12 Johnson-Shoyama School of Public Policy

The mission of the Johnson-Shoyama School of Public Policy is to prepare well-educated public servants and administrators for either the public or non-profit organizations. Their approach is grounded in the best tradition of public administration that sees policy making and implementation as part of the same process. The values associated with this tradition include integrity and stewardship, civility, inclusion and empowerment, openness, and accountability along with skills in research, management and leadership.

The School contributes to the University of Regina's mission to support and develop the national and provincial economy through the study of public policy and public management. They are committed to providing service to the community and promoting policies that improve the lives of citizens. The Graduate School works to develop leaders for all sectors of society including the public, non-profit and private sector by taking students through a comprehensive program emphasizing the distinctive practice of public administration associated with the province of Saskatchewan.

Our philosophy is to see public policy and public administration as inseparable. They draw no artificial distinction between administration and policy, but rather see the career public servant as someone who is both policy advisor and program manager, and needs to be imbued with an understanding of both policy development and analysis as well as the reality of policy implementation and the dynamics of management.

For more information, please contact the Johnson-Shoyama School of Public Policy or visit their website: <http://www.uregina.ca/gspdp>

### 1.3 Administrative Research Structure

The internal research structure at the University of Regina is organized so that each office and academic unit reports directly to a Vice-President through its Dean, Associate Dean or Director.

To view the line reporting of this research structure, please see:

<http://www.uregina.ca/presoff/Admin&Governance/line.shtml#vpresearch>

### 1.4 Responsibilities and Duties

The responsibilities and duties outlined in the offices and positions below serve to assist with research and research-related activities at the University of Regina.

#### 1.4.1 Vice-President (Research and International)

The Vice-President (Research and International) provides leadership to the Offices of Research Services, University-Industry Liaison, and International Cooperation and Development, to the Faculty of Graduate Studies and Research, and to University Research centres / institutes; promotes and expands research and scholarly initiatives across the University; seeks research funding opportunities; and collaborates with national and international partners.

As the senior officer responsible for research and internationalization, the Vice-President (Research and International) provides direction and support in the development and implementation of University goals, objectives and strategic plans to advance research, graduate studies and international programs; works closely with Faculties, the Centre for Continuing Education and Student Services to develop and implement strategies for internationalizing the University; and seeks external partners (local and national) to enhance the University's research infrastructure and opportunities.

#### 1.4.2 Associate Vice-President (Research)

Reporting to the Vice-President (Research and International), the Associate Vice-President (Research) manages and leads University-wide initiatives and projects that advance strategic research initiatives, particularly in the areas of health and climate change.

This position also provides strategic and administrative guidance to the Office of Research Services; contributes to the development and revisions of University research strategies and policies; provides leadership that facilitates integrative research opportunities among centres / institutes; provides guidance in the development and sustainability of interdisciplinary research; and facilitates and provides mentorship with an emphasis on major grant initiatives in developing the capacity of researchers for grant applications and grant administration.

#### 1.4.3 Director of Energy and Environment

Reporting to the Vice-President (Research and International), the Director of Energy and Environment assists in building research capacity in the area of energy and environment at the University of Regina. This position acts as a liaison with the Governments of Canada, Saskatchewan and other provincial jurisdictions, research organizations, and industrial partners, and build relationships to facilitate partnerships and research collaborations.

#### **1.4.4 Director of Health**

Created through a partnership between the Regina Qu'Appelle Health Region and the University of Regina, the Director, Health Research Liaison will play a key role in directing, coordinating, and promoting health research at both institutions. Reporting jointly to the Executive Director, Research and Performance Support, Regina Qu'Appelle Health Region and the Vice President (Research and International), University of Regina, this position will work with health-related research centres, researchers, clinicians, health professionals, decision-makers and outside agencies to encourage and facilitate collaboration in health-related research leading to clinical innovation and the creation of evidence-based practice and policy.

#### **1.4.5 Director, Office of International Cooperation and Development (OICD)**

Reporting to the Vice-President (Research and International), the Director of OICD oversees activities related to the development of research internationalization at the University of Regina, to assist in the development of international strategic plans, policies and procedures; build relationships to facilitate partnerships and collaborations; oversee the execution of international agreements and contracts; promote and support the international curriculum development; and facilitate international exchanges and visiting scholar agreements.

##### **1.4.5.1 International Coordinator**

Reporting to the Director of OICD, the International Coordinator assists in the coordination of international project initiatives, international delegations, visiting scholar programs and the development of related policies and procedures; assists in the collaboration with project planners affiliated with various organizations (e.g., the Association of Universities and Colleges of Canada, and Advanced Education and Employment and Labour); prepares correspondence, summary reports and financial guidance for OICD; and builds relationships with international institutions to promote internationalization on the University of Regina campus.

#### **1.4.6 Director, Office of Research Services (ORS)**

Reporting to the Vice-President (Research and International), the Director of ORS plays a key leadership and managerial role at the University in supporting the continued growth and development of the University's research and scholarly activities. The Director is responsible for the administrative management of the Office of Research Services and its various functional components and programs.

##### **1.4.6.1 Contracts Officer**

Reporting to the Director of the ORS, the Contracts Officer provides advice with respect to legal aspects of research contracts. The Contracts Officer negotiates, reviews, drafts and advises upon the contracts and recommends signing by the Vice-President (Research and International). The Contracts Officer is the primary point of contact between researchers and sponsors for the purpose of negotiating research-related agreements.

#### **1.4.6.2 Senior Research Officer**

Reporting to the Director of the ORS, the Senior Research Officer provides pre- and post-award grant administration and project support. The portfolio for the Senior Research Officer position includes institutional-level programs that are funded from federal and provincial sources to support innovation projects. This includes: the federal indirect costs program (ICP), Canada Research Chairs (CRC), Canada Foundation for Innovation (CFI), Infrastructure Operating Fund (IOF), Innovation and Science Fund (ISF) and other institutional programs. As well, the Senior Research Officer is responsible for the administrative function of the Research Ethics Board (REB), and thereby supports, manages and acts as the key informant for the Research Ethics Board as well as ensuring compliance with national and international standards and regulatory requirements.

#### **1.4.6.3 Research and Ethics Officer**

Reporting to the Director of the ORS, the Research and Ethics Officer is responsible for the pre- and post- award administration of research grants. This position is responsible for all internal research funds - sabbatical research grant, research trust fund and SSHRC General Research Grant /President's Fund. As well, the Research Officer is responsible for the administrative function of the President's Committee on Animal Care (PCAC), and thereby supports, manages and acts as the key informant for the PCAC, as well as ensuring compliance with national and international standards and regulatory requirements.

#### **1.4.6.4 Grant Research Facilitator**

Reporting to the Director of the ORS, the Grant Research Facilitator is responsible for the promotion and development of research capabilities - particularly in the area of health research. The Grant Research Facilitator assists in the pre- and post-award administration of grants and has responsibility for coordinating information sessions, maintaining research listservs, producing institutional statistics, facilitating internal and external projects (e.g., websites, databases, communication materials), and assisting with e-applications and other technical matters relating to grants and research tracking.

#### **1.4.7 Director, University-Industry Liaison Office (UILO)**

Reporting to the Vice-President (Research and International), the Director of UILO oversees all activities related to the transfer of University-developed technology into commercial sectors to support community economic development, including licensing, joint venturing or creating new ventures. This position manages the University's intellectual property portfolio, oversees the preparation and prosecution of patents and the licensing of those patent rights to commercial entities, and builds relationships to facilitate University / government / industry partnerships and research collaborations.

##### **1.4.7.1 Business Development Officer**

Reporting to the Director of UILO, the Business Development Officer plays a key role in building the innovations and enterprise portfolio. This position is responsible for promoting research collaborations and partnership opportunities between University,

government and the business community. The Business Development Officer also markets University of Regina technology and innovations, facilitates the development and growth of new and existing research innovations, and advises and consults with innovation leaders to develop marketing strategies, commercialization plans, resources and financial plans.

#### **1.4.7.2 Technology Transfer Officer**

Reporting to the Director of UILO, the Technology Transfer Officer manages Intellectual Property Disclosures, manages relationships with industry, and protects intellectual property and technology transfer at the University of Regina. This position also elicits and evaluates the commercial potential of invention disclosures from academic investigators, develops and implements marketing plans, coordinates and manages patent filings and prosecutions, identifies potential commercial partners, and negotiates license agreements and commercialization arrangements.

#### **1.4.7.3 Technology Transfer Coordinator**

Reporting to the Director of UILO, the Technology Transfer Coordinator manages the day-to-day operations of the office. This position coordinates technology transfer activity, integrates the Inteum C/S (database management system) for management of all intellectual property information with the UILO. The Technology Transfer Coordinator also oversees accounts and records, coordinates the development of the UILO website, coordinates meetings and seminars, and assists the Director with the UILO annual report preparation and other reporting as required.

### **1.4.8 Financial Services**

#### **1.4.8.1 Financial Analyst (Research and Special Projects)**

Reporting to the Director of Financial Reporting, the Financial Analyst manages the financial aspect of all research grants and contracts which includes creating accounts, preparing financial statements, sending invoices, monitoring overspent funds, ensuring the eligibility of expenses and facilitating any transactions. Generally, this position ensures the University meets all financial requirements of the granting or contracting agency.

### **1.4.9 Faculties**

#### **1.4.9.1 Dean**

The University of Regina Act provides for the position of Dean in the following terms:

“There shall be a Dean of each Faculty of the university who shall be appointed by the Board, who shall be the chief executive officer of the Faculty, and who shall, subject to the authority of the President, have general supervision over and direction of the work of the faculty, and of the teaching and training of the students of his/her faculty.”

In most cases, the Dean reports to the Vice-President (Academic) and a member of the senior leadership team at the University of Regina. One exception is the Dean of the

Faculty of Graduate Studies and Research that reports to the Vice-President (Research and International).

The Dean, in consultation with the Associate Dean(s) and any Department Heads / Directors, provides academic and administrative leadership to the Faculty. They have primary responsibility for leadership of a dynamic team of faculty and staff members dedicated to providing an excellent educational experience for students, and promoting research and scholarly excellence among faculty members.

#### **1.4.9.2 Associate Dean (Research)**

The Associate Dean (Research) is normally appointed by the Vice-President (Academic) on the recommendation of the Dean, and reports to the Dean of that Faculty. In most cases, the Associate Dean (Research) promotes and facilitates research, scholarship and creative activity, as well as other associated duties in that Faculty.

For more information, please contact the respective Dean's Office.

#### **1.4.9.3 Faculty Administrator**

The Faculty Administrator, appointed by and reporting to the Dean, oversees and advises on the financial management of the Faculty. In most cases, the Administrator is responsible for monitoring capital and operating funds, as well as space and equipment requirements for academic and research purposes, and for the general supervision and organization of the clerical and technical personnel.

For more information, please contact the respective Dean's Office.

#### **1.4.9.4 Research Coordinator / Program Coordinator**

Some faculties may have a Research Coordinator / Program Coordinator that may report to the Associate Dean (Research) or the Dean of that Faculty. In most cases, the Research Coordinator / Program Coordinator is responsible for the overall coordination of research-related requests within the faculty.

For more information, please contact the respective Dean's Office.

### **1.5 Centres / Institutes**

Research Centres / Institutes enhance the research and training opportunities available at the University of Regina. Spanning from the arts and humanities to the natural and social sciences, they provide collaborative and vital support to facilitate research, develop partnerships and train highly qualified personnel.

#### **1.5.1 List of Centres / Institutes**

- Canadian Institute for Peace, Justice and Security (CIPJS)
- Canadian Plains Research Centre (CPRC)
- Centre canadien de recherche sur les francophonies en milieu minoritaire (CRFM)
- Centre for International Education and Training (CIET)

- Centre for Studies in Energy and Environment (CSEE)
- Centre for Sustainable Communities (CSC)
- Centre on Aging and Health (CAH)
- Dr. Paul Schwann Applied Health and Research Centre
- Humanities Research Institute (HRI)
- Indigenous Peoples' Health Research Centre (IPHRC)
- Prairie Adaptation Research Collaborative (PARC-UR)
- Prairie Particle Physics Institute (P3I)
- Sample Research Unit (SRU)
- Saskatchewan Instructional Development and Research Unit (SIDRU)
- Saskatchewan Institute of Public Policy (SIPP)
- Saskatchewan Population Health and Evaluation Research Unit (SPHERU)
- Social Policy Research Unit (SPR)

For more information, please see:

[http://www.uregina.ca/research/Institutes\\_and\\_Centres/index.shtml](http://www.uregina.ca/research/Institutes_and_Centres/index.shtml)

### 1.5.2 University Centres / Institutes - Guidelines, Policies and Procedures

The following policy provides information on the purpose, responsibilities, funding and other associated guidelines with regards to University of Regina Centres / Institutes. The policy may be downloaded at the following URL:

<http://www.uregina.ca/presoff/vpadmin/policymanual/research/14020.shtml>

## 1.6 Research Facilities and Laboratories

**Faculty of Arts:**

<http://www.uregina.ca/arts/departments.html>

**Faculty of Business Administration:**

<http://www.uregina.ca/admin/cmd/index.html>

**Faculty of Education:**

[http://education.uregina.ca/index.php?q=offices\\_centres.html](http://education.uregina.ca/index.php?q=offices_centres.html)

**Faculty of Engineering:**

[http://enggdynamic.uregina.ca/index.php?option=com\\_content&task=blogsection&id=9&Itemid=405](http://enggdynamic.uregina.ca/index.php?option=com_content&task=blogsection&id=9&Itemid=405)

**Faculty of Fine Arts:**

<http://www.uregina.ca/finearts/facilities.html>

**Faculty of Kinesiology and Health Studies:**

<http://kinesiology.uregina.ca/research-groups.html>



**Faculty of Science:**

<http://www.uregina.ca/science/services/slabs.shtml>

## 1.7 Committees

The Offices of the Vice-President (Research and International), the Office of Research Services, University Industry-Liaison Office and the Faculty of Graduate Studies and Research participate in various committees at the University of Regina. Researchers may find the following committees to be of particular interest:

- Intellectual Property Committee: provides recommendations to the Vice-President (Research and International) that involve the creation and administration of Intellectual Property;
- President's Committee on Animal Care (PCAC): reviews all projects that involve animals to ensure ethical standards are met and satisfied prior to the commencement of research;
- President's International Committee: provides policy advice to the Vice-President (Research and International) and reviews international planning initiatives;
- President's Research Committee (PRC): provides advice to the Vice-President (Research and International) on all matters related to research activities at the University of Regina;
- Research Ethics Board (REB): regulates all projects that involve humans to ensure ethical standards are met and satisfied prior to the commencement of research; and
- SSHRC General Research Grant / President's Fund: reviews all internal proposals for research funding to make recommendations for approval to the Vice-President (Research and International).

### Other Committees:

- Ad Hoc Committees and Task Forces (as required)
- Board of Governors
- Campus Promotions Committee
- Centre on Aging and Health Advisory Committee
- Deans' Council
- Directors of Centres and Institutes
- Executive and Governance Committee
- Executive of Council
- Executive Team
- Planning and Priorities Committee (for information only)
- President's International Committee
- Research and Graduate Studies Committee
- Research and International Executive Team
- Senate
- Senior Leadership Team

The Vice-President (Research and International) and/or the Deans and Directors from research academic units may from time to time establish committees to advise on particular areas of interest or concern.

For more information on internal committees, please contact the Dean / Director or consult the *Council Handbook*: <http://www.uregina.ca/presoff/council/06-26%20council%20handbook.pdf> and the *Board of Governors Handbook*: <http://www.uregina.ca/presoff/board/Board%20Handbook%20for%20POSTING.pdf>

## 2 RESEARCH AND SCHOLARLY ACTIVITY

Research at the University of Regina is characterized by its strength and diversity. The University is committed to free, open and responsible enquiry and provides scholars with the opportunity to pursue their own research directions. It is also committed to supporting the work of its researchers through mentorship and assistance with the pursuit of funding.

For further information on research and scholarly activity, please refer to the *URFA Collective Agreement 2005-2008*: [http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)

Please also refer to the following Tri-Council MOU - Schedules:

- "Schedule 4: Integrity in Research and Scholarship": [http://www.nserc.gc.ca/institution/mou\\_sch4\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch4_e.htm)
- "Schedule 14: Conflicts of Interest in Research": [http://www.nserc.gc.ca/institution/mou\\_sch14\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch14_e.htm)

### 2.1 Academic Freedom and Responsibilities

According to Article 2 of the *URFA Collective Agreement 2005-2008*, academic freedom is essential to the teaching, research and scholarship functions of a university. The parties agree that they shall protect the academic freedom of each member of the academic staff.

As applied to academic duties described in Article 16 and elsewhere in the *URFA Collective Agreement 2005-2008*, academic freedom provides that each academic staff member shall engage in teaching, scholarship, research and other related activities, free from arbitrary interference. The University shall defend the academic freedom of members from interference from any source. The University shall not be held accountable for infringements of academic freedom originating beyond the control of the University. All academic staff members shall undertake their duties in accordance with the:

- Standards and procedures collegially agreed to;
- Academic requirements of the university community;
- Reputation of the university community; and
- Obligation to base research and teaching on an honest search for knowledge.

For further information, please refer to the *URFA Collective Agreement 2005-2008* ([http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)).

### 2.2 Integrity in Scholarly Research

The Board of Governors has approved the Scholarly Misconduct Policy that describes the standards of integrity in scholarly research expected at this university, lists various kinds of scholarly misconduct, and provides procedures for reporting and investigating scholarly misconduct. The policy is available through the Office of Research Services website: <http://www.uregina.ca/research/Policy/main.shtml>

### 2.3 Principles

The University of Regina is committed to actively pursuing research relationships with sponsors. Within its mandate and policy structure, the University encourages research arrangements that

benefit the public, the researcher, the sponsor, and the University. Each research relationship will have its own attributes. Nevertheless, the University is committed to entering into industry or external party sponsored agreements that embody the following principles:

1. The business relationship will be negotiated in an open, fair, and transparent manner consistent with University policies and good commercial practice.
2. The University and researcher will be accountable for the proper stewardship of research funds.
3. The researcher will provide research results to the sponsor in a timely and complete manner.
4. The researcher will conduct the research at the highest standards possible.
5. The University and the researcher will own any new arising intellectual property. A sponsor will have the first opportunity to develop and commercialize the results on terms appropriate to the sector and negotiated in good faith.
6. Publication of research results is essential in a progressive academic environment. A short delay in publication may be permitted for the purposes of removing confidential information of the sponsor or obtaining legal protection for arising intellectual property. Sponsored research must not interfere with or limit graduate student education, research or publications.
7. The research funding will fairly reflect the economic costs of doing research.
8. The economic benefits of research must be shared in an equitable manner.

## 2.4 Intellectual Property

The information outlined below serves to provide University of Regina personnel with definitions, guidelines and policies on Intellectual Property at the University of Regina.

### 2.4.1 Definition and General Principles

The definition and general principles of Intellectual Property (IP) are defined in Article 29.1 of the *URFA Collective Agreement 2005-2008*:

[http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)

### 2.4.2 Intellectual Property Policy

The University of Regina - Intellectual Property Policy defines a subset of Intellectual Property called "Traditional Academic Works;" these are works created by Academic Staff Members, encompassing teaching materials in any formation and all traditional forms of scholarly publication. For more information on this policy, please see the following URL:

<http://www.uregina.ca/presoff/vpadmin/policymanual/general/1095.shtml>

### 2.4.3 Protecting Intellectual Property

Please contact the University-Industry Liaison Office or refer to Section 16.

## 2.5 Academic Staff Members

The nature of academic appointments and performance of duties are defined in Article 14 and 16 of the *URFA Collective Agreement 2005-2008*:

[http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)

## 2.6 Professional Research Personnel

Professional Research Personnel are defined as fully qualified researchers, other than Postdoctoral Fellows, who have been engaged to assist with and contribute to the research programs of individual researchers, departments, research centres / institutes or other academic units within the University.

There are three categories of such personnel:

- Professional Research Associates;
- Research Scientists / Scholars; and
- Senior Research Scientists / Scholars.

## 2.7 Postdoctoral Fellows

A Postdoctoral Fellow is defined as an individual who has recently completed the requirements for a doctoral degree and who wishes to increase research experience and professional competence by engaging in research work in collaboration with a suitably qualified academic member.

Postdoctoral Fellows are normally recruited by a researcher whose research group the Fellow will join. It is the responsibility of the researcher to ensure that the Postdoctoral Fellow:

- Has appropriate research space in the department, research centre / institute and that the Department Head, Dean or Director agrees that the space and research facilities can be used for this purpose; and
- Submits official documents to indicate that the requirements for a doctoral degree from a recognized university have been completed and that at least two appropriate letters of recommendation are provided. A current curriculum vitae identifying relevant research completed or in progress is also required. In certain cases, a portfolio of actual publications completed would be required for review.

Normally, fellowships are externally funded and not financially supported by the University.

The stipend for such Fellows is generally fixed by an external agency, (e.g., NSERC) that may award the fellowship directly or indirectly by a grant-in-aid of research to an academic member.

Postdoctoral Fellows are not eligible to apply for any of the awards available to graduate students.

For more information, please contact the Faculty of Graduate Studies and Research or see the "Tri-Council MOU - Schedule 7: Statement of Principles: Postdoctoral Fellows":

[http://www.nserc.gc.ca/institution/mou\\_sch7\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch7_e.htm)

## 2.8 Associate Memberships

An academic staff member may be appointed as an associate member in another unit / faculty to recognize the contribution that person may make to that discipline, particularly with respect to research expertise. The role of an associate can be varied, and may include student and graduate student supervision, input into the academic program and curriculum development and invitations to attend departmental meetings as an observer.

The Dean appoints associate members through recommendations received from the host academic unit. Annual reports on all faculty associate appointments should be prepared and forwarded to the Vice-President (Academic) in April.

Academic staff members in federated Colleges receive associate membership in the same or parallel discipline associated with the University of Regina. No correspondence is necessary for these appointments.

For more information, please contact the Department Head or Dean.

## 2.9 Adjunct Professors

An Adjunct Professor is an individual from outside the University of Regina including faculty members on leave, resigned or retired from the University. This is an honorary position and there is no remuneration or voting privileges.

Adjunct appointments are normally for **three to five years** (July through June), and are renewable, subject to mutual agreement and ongoing eligibility.

There are two categories of Adjunct Professor depending on whether they are serving at the graduate or undergraduate level.

### 1. Adjunct Professor (Undergraduate Level)

Adjunct Professors serving at the undergraduate level are recommended by a department and/or academic unit by means of a memo to the Dean of their respective Faculty. The recommendation must include an up-to-date curriculum vitae, as well as an Academic Appointment Form signed by the Department Head.

These adjunct professors are appointed by the Dean and perform various functions in the academic unit at the undergraduate level. They may teach undergraduate courses, provide expertise, and/or perform other duties in the area as required.

### 2. Adjunct Professor (Graduate Level)

Adjunct Professors serving at the graduate level are nominated by a department and/or academic unit by means of a memo to the Dean of Graduate Studies and Research. The nomination must include an up-to-date curriculum vitae, as well as a statement/rationale of the benefits to the affairs (i.e., graduate teaching or co-supervision of graduate students) of that respective area.

Adjunct Professors **may not serve as the sole supervisor** of graduate students except in exceptional circumstances (at the purview of the Dean of Graduate Studies and Research following consultation with the academic unit). No accreditation level is assigned to Adjuncts,

but the expectation is that in a committee or co-supervisory role, the Adjunct will hold the level of degree that is being sought by the candidate.

For more information, please contact the Department Head, Dean or the Faculty of Graduate Studies and Research.

## 2.10 Emeritus Professors

Academic staff members may be granted the honorary title of "Emeritus" that is defined to mean "...to hold after retirement from academic rank an honorary title corresponding to that held during the last active service."

For more information on the Emeritus title, please see the University of Regina - *Professor Emeritus Policy*: <http://www.uregina.ca/presoff/vpadmin/policymanual/hr/203535.shtml>

## 2.11 Graduate Students

Individuals seeking information on graduate students and/or current policies and procedures are encouraged to visit the Faculty of Graduate Studies and Research website: <http://www.uregina.ca/gradstudies>

## 2.12 New Faculty Orientation

The University of Regina hosts an annual New Faculty Orientation in late summer or early fall. The New Faculty Orientation provides an opportunity to meet faculty members from various areas, to explore potential interests, and to think about the impact that they may have in their roles as educators, researchers and contributors to the Saskatchewan community.

For more information, please contact the Office of the Vice-President (Academic): <http://www.uregina.ca/presoff/vpacademic/index.shtml>

### Faculty-Specific Orientations

Orientations may also be administered by the respective faculties. Please contact the Dean's Office to collect information on upcoming orientations or faculty meetings.

## 2.13 Sabbaticals

### 2.13.1 Provisions of the Collective Agreement

The University endorses a sabbatical as a means of encouraging continuous professional development and productive scholarship which will be mutually beneficial to the academic staff member and the institution. A member may apply for or be offered a sabbatical.

Complete sabbatical details are outlined in Article 16 of the *URFA Collective Agreement 2005-2008*: [http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)

For sabbatical forms, please refer to the Human Resources website:

[http://www.uregina.ca/hr/forms/Sabbatical/Sabbatical\\_Information.htm](http://www.uregina.ca/hr/forms/Sabbatical/Sabbatical_Information.htm)

### 2.13.2 Criteria and Guidelines

The Dean or Director may consider, in addition to eligibility requirements set out in the Collective Agreement, the following when deciding whether to grant a sabbatical:

- Quality of the proposed project: originality, completeness of preliminary preparations, relation of the project to the applicant's role at the University;
- Quality of past research and teaching contributions to the University;
- Benefit of the sabbatical to the University; and
- Staffing issues within units and the need to maintain adequate functioning of units.

Items are not listed in any order of priority because the Dean will consider the overall merit of the application.

### 2.13.3 Sabbatical Research Grant

Faculty members on sabbatical may receive part of their sabbatical salary in the form of a research grant. This allows faculty members to deduct research expenses from the income for income tax purposes, thereby reducing the amount of income taxes. To take advantage of this opportunity on remuneration, applications must be submitted to the Office of Research Services no later than **two months** prior to commencing a sabbatical. Department Head and/or Dean approval is required prior to submission.

Sabbatical Research Grants are deducted from normal sabbatical salary. Interpretations from the Canada Revenue Agency indicate that the potential uses of Sabbatical Research Grants are restricted (Income Tax Act and the Interpretation Bulletin IT-75R4 are available from the Office of Research Services). The taxation status of the grant is strictly a matter between the recipient and the Canada Revenue Agency. Once a Sabbatical Research Grant is approved (approval procedures are similar to those used by the Advisory Committee on the President's Fund), the University disburses the grant to the sabbaticant, but plays no part in the administration of the grant except the issuance of the appropriate statement for taxation purposes. The University does not review actual expenditures made under the grant, nor does it become involved in disputes with the Taxation Office as to what should be allowable expenses under the grant.

To download a sabbatical research grant application, please see:

[http://www.uregina.ca/hr/forms/Sabbatical/Sabbatical\\_Information.htm](http://www.uregina.ca/hr/forms/Sabbatical/Sabbatical_Information.htm)

To view Canada Revenue Agency's policy on sabbatical research grants, please see:

<http://www.cra-arc.gc.ca/E/pub/tp/it75r4/README.html>

### 2.13.4 Reports

The sabbaticant is required to prepare a full written account of activities during the sabbatical. The Sabbatical Report Form is available via download from the Human Resources website:

[http://www.uregina.ca/hr/forms/Sabbatical/Sabbatical\\_Information.htm](http://www.uregina.ca/hr/forms/Sabbatical/Sabbatical_Information.htm)



## 2.14 Departing Researchers

All researchers who permanently leave the University of Regina and hold research funds, must notify the Office of Research Services prior to their departure. This notification allows the Office of Research Services and the University to properly handle all funds, equipment and chemicals under the direct management of the Principal Investigator.

### Finances

For Principal Investigators who leave the University, all grants and contracts held by that individual will be reviewed to ensure compliance with their respective terms and conditions.

When possible, continuation of the research project at the University of Regina should be facilitated. Should the originating Principal Investigator transfer this role to another researcher at the University, the administration of the FOAPAL or financial account will also be transferred to the new Principal Investigator.

If the departing Principal Investigator maintains his/her role through an Adjunct Professor status, financial administration will remain with the Principal Investigator.

If the Principal Investigator transfers finances to another Canadian institution, transfer of grants may be accommodated, subject to outstanding commitments to the University of Regina.

The transfer of any Tri-Council funding must follow the "Transferring Grant(s) to an Eligible Canadian Institution" guidelines: [http://www.nserc.ca/professors\\_e.asp?nav=profnav&lbi=f5](http://www.nserc.ca/professors_e.asp?nav=profnav&lbi=f5)

If continued research at the University is not possible, and after transfer of the grants has been executed, any residual funds shall remain with the University of Regina. These funds must be used for research purposes.

### Laboratory / Facilities / Equipment

#### Exit Checklist:

The Exit Checklist provides departing researchers with a list of items (e.g., keys, Pcards, equipment) that need to be completed prior to their departure from the University of Regina.

To download the University of Regina - Exit Checklist, please visit the following URL <http://www.uregina.ca/hr/forms/Benefits/Exit-Checklist.pdf>

#### Laboratory Close-Out Policy:

The University of Regina - Laboratory Close-Out Policy addresses laboratory closures and the associated disposition of hazardous materials. To ensure the proper disposition of all items in the laboratory are completed, please download the following document: <http://www.uregina.ca/presoff/vpadmin/policymanual/hr/2010550.pdf>

#### Chemical Disposal (see Section 10 - forthcoming)

To safely dispose of chemicals, please download the Chemical Waste Disposal Request Form: <http://www.uregina.ca/hr/OH&S/Chemical%20Waste%20Disposal%20Request%20Form.doc>

University Assets (see Section 9.3.4)

## 2.15 Endorsements

Any endorsements of commercial products by University of Regina personnel that would in any way imply University of Regina endorsement of commercial products must receive the approval of the University senior administration. In other words, University employees cannot assume that because they speak in favor of a particular commercial product or enterprise, that this then binds the University of Regina as an endorser of that product or enterprise.

## 2.16 Awards

### 2.16.1 Alumni Association Award for Excellence in Research

The purpose of the Award is to recognize faculty members who have distinguished themselves through significant contributions to research and scholarship. The intent is to recognize such achievements during their tenure at this University.

For more information, please see:

<http://www.uregina.ca/presoff/vpacademic/awards.shtml>

### 2.16.2 Alumni Association Award for Excellence in Public Service

The Alumni Association Award for Excellence in Public Service was established at the University in 1997. The purpose of the Award is to recognize academic staff members who, by virtue of their professional expertise, have distinguished themselves through significant contribution in public, community and professional service during their tenure at the University of Regina.

For more information, please see:

<http://www.uregina.ca/presoff/vpacademic/awards.shtml>

### 2.16.3 Alumni Association Award for Excellence in Undergraduate Teaching

The Alumni Association Award for Excellence in Undergraduate Teaching was instituted at the University in 1989. Its purpose is to emphasize the importance of teaching, to recognize teaching excellence publicly, to encourage the pursuit of such excellence and to promote informed discussion of teaching and its improvement at the University of Regina.

For more information, please see:

<http://www.uregina.ca/presoff/vpacademic/awards.shtml>

### 2.16.4 President's Scholars Program

The President's Scholars Program is designed to foster excellence in basic scholarship and research at the University of Regina. It aims to support both existing and potential research/scholarship strength: for example, to further or complete an existing program of research, undertake new short-term projects, or provide seed money for larger-term projects development.

For more information, please contact the Office of the Vice-President (Research and International) or see Section 4.3.5.

### 3 RESEARCH CONTRACTS

#### 3.1 General Information

##### 3.1.1 What is a Research Contract?

A research contract is a funding agreement for conducting research directed at answering questions, typically of an applied nature. The University of Regina requires all contracts to be in written form and signed by the **duly authorized University personnel**. Under a contract providing research funding, these characteristics are typically present:

- Honorarium / payment to the researcher;
- Scope of work is defined and cannot be changed without sponsor approval;
- Payments may be made in arrears and tied to milestones/deliverables;
- Contains provisions for confidentiality of information;
- University retains right to publish, but will allow delay for sponsor review to check for confidentiality or to obtain legal protection for arising intellectual property;
- Graduate student owns copyright of thesis;
- Background intellectual property and ownership are clearly defined;
- New intellectual property;
- Warranty provisions: use reasonable professional standards but do not guarantee results;
- Termination provisions are included;
- Insurance and indemnification provisions are included to protect University, staff and students; and/or
- Overhead cost recovery applies.

How does a research contract **differ** from a research grant?

A research grant is a funding agreement typically focusing on basic research. Characteristics of a research grant include:

- Project control lies with the researcher;
- Unrestricted right to publish research results;
- Payment in advance;
- Ownership of any intellectual property resides with the researcher or University;
- Sponsor is provided with a copy of the final research report; and/or
- Overhead cost recovery applies.

##### 3.1.2 Types of Research Contracts

Research contracts may include the following types of agreements:

1. **Affiliation:** an agreement defining a relationship with other research centres / institutes, usually where financial resources and liability issues are involved.
2. **Contract research:** a funding agreement, often sponsored by industry, to conduct defined research where financial support is provided by the sponsor according to agreed upon schedule(s) of payments or reimbursements.

3. **Contribution:** an agreement to transfer funds in support of a research program, where the sponsor also typically participates in the research.
4. **Grant-in-Aid:** an agreement to support research through the transfer of funds. No intellectual property rights are granted to sponsor.
5. **Memorandum of Understanding:** an agreement to provide an “umbrella” to facilitate interaction with another party, but the arrangement does not usually involve financial obligations or specific, targeted commitments; appropriate research contracts may result for specific projects arising from the relationship.
6. **Research collaboration:** a funding agreement, often originating from both government and industry sources, for conducting strategic research.
7. **Service:** an agreement to complete specifically defined services such as analysis, testing or review, and involving clear deliverables and short time frames.

A research contract may also involve related agreements such as the following:

1. **Confidentiality agreement:** an agreement that governs the disclosure and use of confidential information between the parties to facilitate a research project.
2. **Material transfer agreement:** an agreement to transfer physical materials to another party while protecting intellectual property and other rights in the materials and defining how the materials may be used in a research project.

### 3.1.3 Contact Information

For information on the preparation, negotiation, and administration of a research contract, please contact the Contracts Officer in the Office of Research Services.

## 3.2 Principles

See Section 2.3 - Research and Scholarly Activity

## 3.3 Arranging for Contract Research Funding

University of Regina researchers likely have already established relationships with external parties - business, government, and industry - and may have identified a research project with goals and objectives upon which both have agreed. The Office of Research Services can assist with many elements of the agreement and make sure that the interests of both the researcher and the University are protected. The sooner the Office of Research Services is involved in the process, the better.

Once it is confirmed that a sponsor intends to fund a research proposal and it is determined that a contract is required to fund the proposal, informal discussions are often held between the researcher, the University, and a representative of the external agency or entity. At the same time, the researcher should complete and submit a Research Contracts Checklist ([http://www.uregina.ca/research/contracts/Research\\_Contracts\\_Checklist.doc](http://www.uregina.ca/research/contracts/Research_Contracts_Checklist.doc)) to the Office of Research Services - Contracts Officer which will assist in negotiating the terms of the contract.

### 3.4 Negotiations

Contracts for research are negotiated with the sponsor by the Contracts Officer on behalf of the researcher(s) and the University.

A copy of the proposal and budget should also be provided to the Contracts Officer. Issues such as publication, ownership of intellectual property, confidentiality, period of funding, payment schedule, indemnification, and University overhead, are addressed to ensure compliance with University policies and to protect the interests of the researcher and the University.

Any contract must be acceptable to the researcher as well as to the University and must be authorized and executed by the designated institutional signature (see Section 4.5.7).

**Basic terms and conditions typically included in a contract are:**

- *Scope of work:* to establish specifications for the work that is reasonable and practicable in respect to time, facilities, and other required resources. The scope of work/proposal should be attached as a schedule to the agreement.
- *Term:* a reasonable and practical time frame for the work. The availability of facilities and services, staff time, and any teaching, research or other obligations of the researcher involved may affect this term.
- *Payment terms and schedule of payments:* the contract must include the total cost of the research, including both direct and indirect costs (see Section 4.5.2). Payments under a contract can be made on a monthly, quarterly or milestone basis.
- *Intellectual Property:* intellectual property rights may be negotiated but typically the researcher or the University owns arising intellectual property, with some intellectual property rights granted to the sponsor.
- *Publication:* a sponsor may request a delay in publication to review for disclosure of sponsor confidential information or to protect intellectual property. Delays in publication will be negotiated on a contract by contract basis by the Office of Research Services, in consultation with the researcher.
- *Indemnity/insurance:* the University typically seeks indemnity and insurance from the sponsor.

### 3.5 Overhead / Indirect Costs

Overhead costs are those expenditures incurred by the University in the conduct of research which are not readily identifiable as specific expenditures. These include items such as space, heating, light, administrative services, insurance, libraries, and maintenance costs. Overhead costs are therefore defined as indirect, and are recovered through an overhead charge incorporated in the project funding and budgeting. Research contracts should always include overhead as a cost item, unless the policies of the sponsor expressly bar or limit their recovery.

As a general rule, indirect cost funds collected by the University on contracts are distributed equally between the Vice-President (Research and International) and the Dean of the Faculty in which the Principal Investigator resides or is working.

If a Principal Investigator wishes a project to be exempt from the standard overhead rates, a written request must be forwarded to the Vice-President (Research and International) for consideration.

To view the overhead policy, please see:

<http://www.uregina.ca/presoff/vpadmin/policymanual/research/14030.shtml>

### 3.6 Procedure for Research Contracts

Once the terms of a research contract have been agreed upon, the following procedures occur:

1. A final version of the contract is drawn up that includes terms acceptable to the University and the sponsor.
2. Each research contract must have the written approval of the main researcher (Principal Investigator), the Department Head, and the Dean of the Faculty involved, before official execution of the contract by the University. These signatures must be provided on a separate approval memorandum which is available at this link:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/303015.html>

The internal approvals are necessary to ensure that those responsible for particular aspects of the University's operation are aware of the resources and other commitments identified in the research project.

3. The Office of Research Services arranges for signature of the final contract by the sponsor and by the University. For all University of Regina research contracts, the signing authority is the Vice-President (Research and International) or delegate.
4. The Office of Research Services arranges for copies of the signed contract to be forwarded to the researcher and Financial Services, and retains an original to be filed in the Office of Research Services. The sponsor usually receives an original copy, as well.

### 3.7 Other Related Procedures

Researchers engaging in contract research must follow University procedures with respect to:

- Research involving Animals (see Section 6.3)
- Research involving Human Subjects (see Section 6.1)

### 3.8 Project Management / Administration

When a research contract has been signed by the University and the sponsor, Financial Services will authorize the opening of a research fund. Financial Services will notify the researcher and the Office of Research Services when the fund has been established. Contract funds are held in trust by the University and are not the property of faculty members or research personnel.

A researcher should not allow expenditures to be incurred under any contract until a research fund has been authorized. The opening of a fund prior to receipt of a contract requires special permission from the Director of the Office of Research Services.

#### 3.8.1 Financial Responsibility

The Principal Investigator must ensure that all charges authorized against research funds conform to the allowable expenditures in an approved budget, as well as all other terms

and conditions of the research contract. Charges must also comply with all relevant university policies and guidelines, such as for hiring of research staff or purchase of goods and services.

Research funds may not be used for expenditures not related to the research, or expenses related to the research but not provided for in the budget associated with the contract. All expenses must be incurred during the contract term.

### 3.8.2 What if the Fund is Overspent?

As a general rule, overspending is not allowed for any research fund. However, contracts that require the University to spend first and get reimbursed later are an exception. Overspending is allowed for these types of contracts up to a maximum of the next two payments due from the sponsor. For more details, or to apply for an exception, please see policy:

<http://www.uregina.ca/presoff/vpadmin/policymanual/research/1402515.shtml>

### 3.8.3 Performance Deliverables

Research contracts often include clauses that require satisfactory interim or milestone and final report(s) before payments will be authorized or funds released. Where reports are late or the standard of performance is unacceptable, the Principal Investigator is responsible for contacting the sponsor to: (i) submit the appropriate reports; (ii) revise the reports to the standards expected by the terms of the contract; and/or (iii) negotiate a revised reporting schedule. The Contracts Officer will assist the Principal Investigator and if requested, intervene with the sponsor on their behalf.

### 3.8.4 Amendments or Renewals

Sometimes it is necessary to negotiate changes to the current contract or extend the term of the contract. In such cases, the Contracts Officer should be contacted as soon as possible. This will allow the amendment or renewal to be finalized and executed more efficiently, and hopefully minimize any disruptions to the research project.

## 3.9 Consulting

According to Article 16.1.4 of the *URFA Collective Agreement 2005-2008*:

“Academic staff members with full-time appointments shall not engage in outside professional activities to the extent that they interfere with the performance of their University duties. Outside professional activities that are appropriately related to a member's duties at the University shall be permitted and encouraged. Outside professional activities include but are not limited to consulting, personal contracts, private practice in the member's profession, and teaching duties for any other employer.

If there is any reasonable doubt that an outside professional activity might compromise an academic staff member's ability to perform regular duties, the member shall apply beforehand in writing to the Dean, or University Librarian, describing the nature and duration of the prospective activities. Deans and the University Librarian shall inform the Head of the member's Department whenever they approve such applications. The member shall keep the

Dean, or University Librarian, informed of the general nature and scope of the approved activities and provide details on the Annual Information Form”

For more information, please consult the *URFA Collective Agreement 2005-2008*:  
[http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)



## 4 RESEARCH GRANTS

### 4.1 General Information

#### 4.1.1 What is a Research Grant?

A research grant is financial support in a particular project or program of research. It does not contain any formal or detailed stipulations as to the direction of such research. Research grants contain one or more of the following provisions:

- A research protocol or other statement of work.
- A designated Principal Investigator(s) who is not compensated under project.
- A designated period of performance.
- A budget.
- An obligation to account for costs incurred and to return unspent funds.
- Disposition of intellectual property rights.

How does a research contract **differ** from a research grant?

- Scope and nature of research are outlined.
- Set time period for the research.
- Milestones and/or deliverables are defined.
- Payment schedule may be linked to deliverable dates.
- Intellectual Property rights are often granted to sponsor.
- Publication restrictions are common.
- Principal Investigator may be compensated under project.

#### 4.1.2 Types of Research Grants

##### **New (solicited, unsolicited)**

A new grant is a formal request to a sponsor for financial support of a new research project. A solicited proposal is submitted to a sponsor in response to a Request for Applications (RFA), Requests for Proposals (RFP), or a Request for Quotations (RFQ). An unsolicited proposal is one that is not in response to a published request.

##### **Renewal**

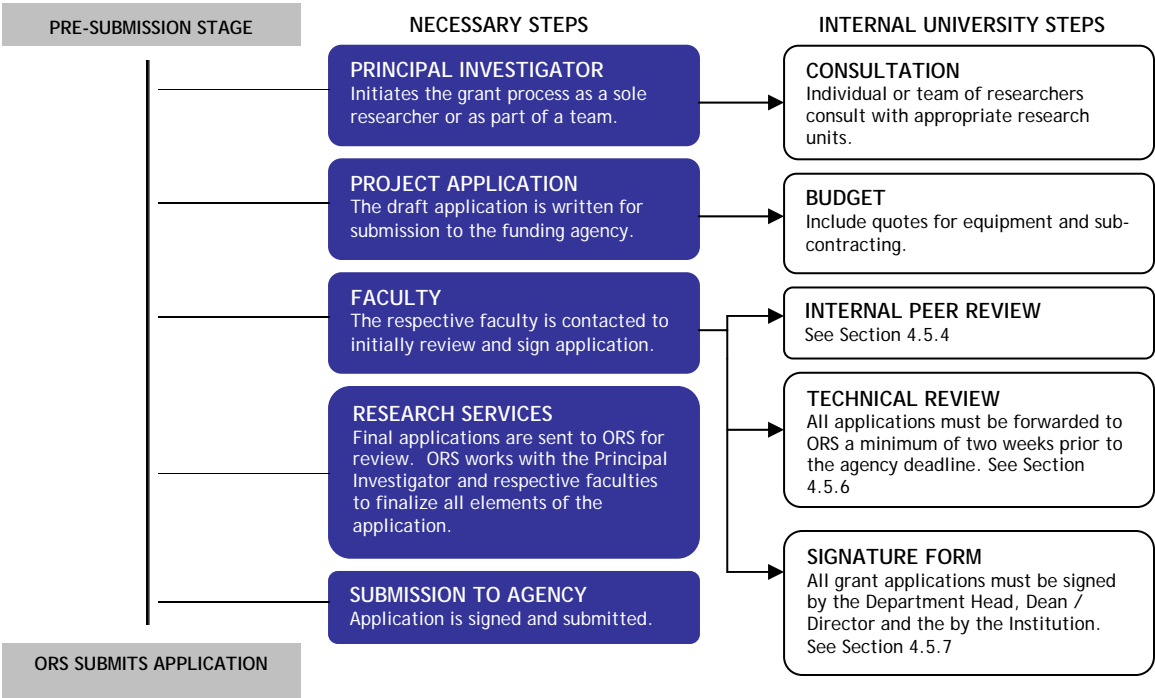
A renewal application or proposal is a competitively reviewed proposal that builds upon the original work performed. It generally extends the scope of the original work, extends the time period, and includes a request for additional funds.

##### **Revision**

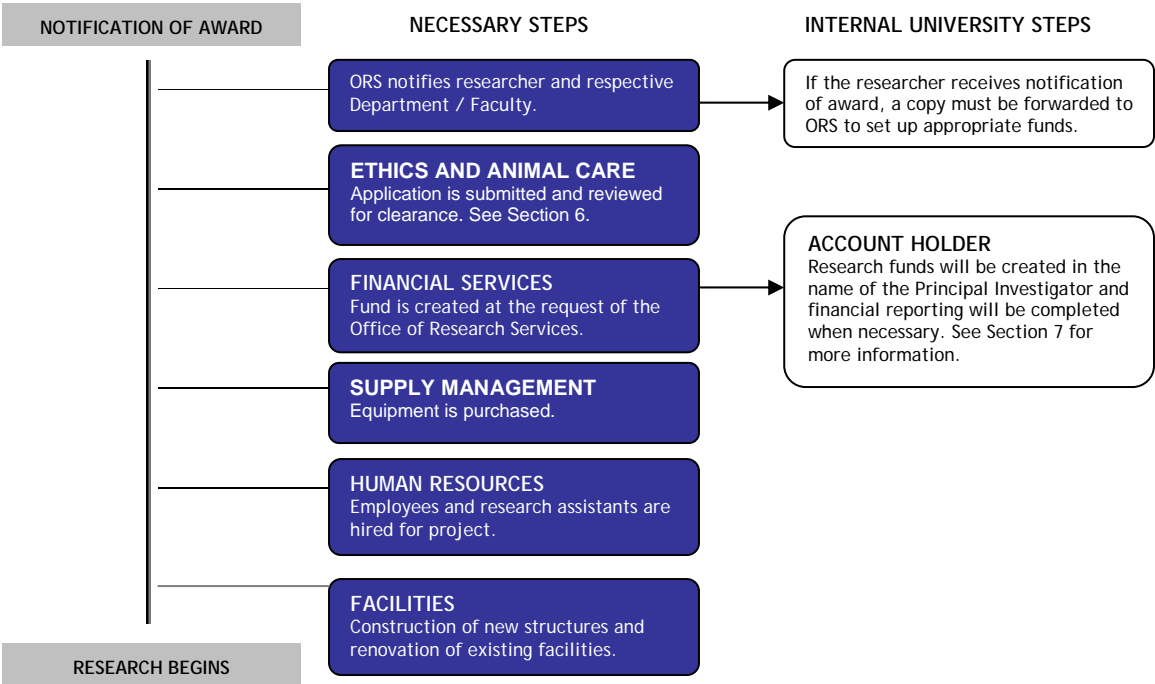
A revision proposal is a modified and resubmitted request for funding (proposal) for a project that was previously not funded either because it was denied by the sponsor or withdrawn by the Principal Investigator (PI).

### 4.1.3 Cycle of a Research Grant

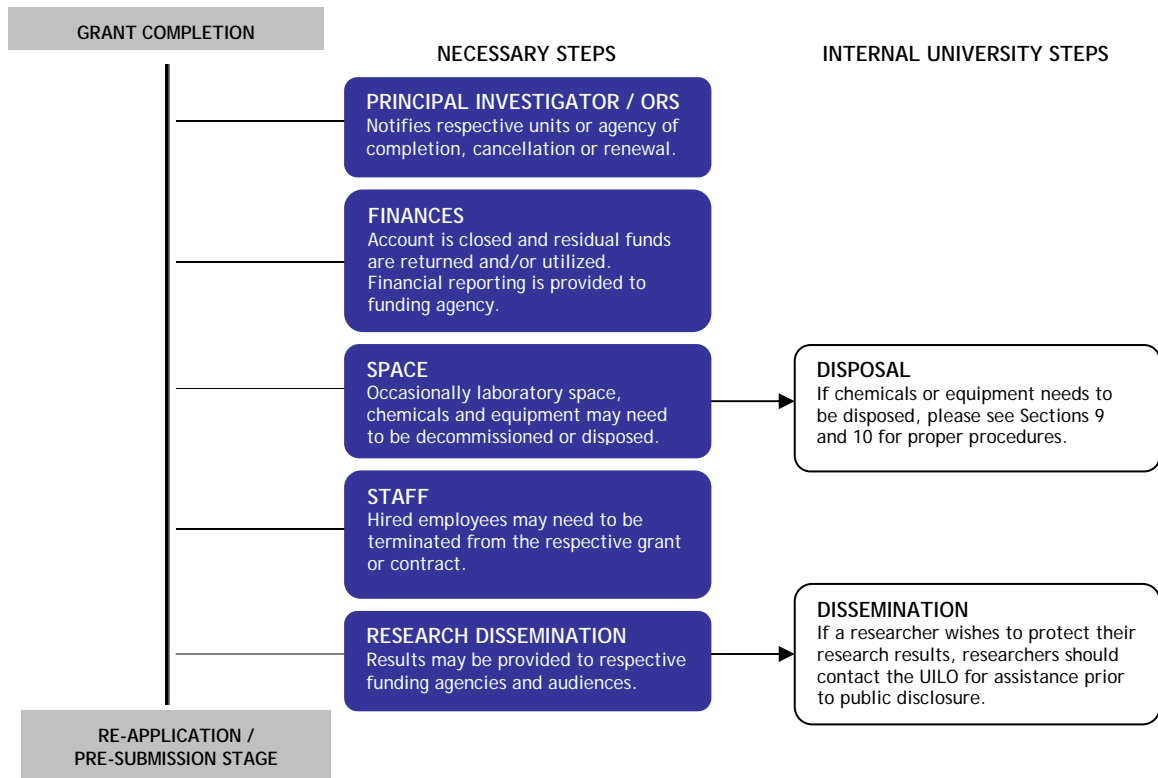
#### Pre-Award Administration



#### Post-Award Administration



## Completion and/or Re-Application



### 4.1.4 Information Sessions

The Office of Research Services offers various information sessions throughout the year that provide timely information, resource materials and tools, as well as support and advice with respect to particular funding programs.

Notification of information sessions is circulated through the research listserv, thematic research listservs and on the Office of Research Services website. Sessions are free to all University of Regina faculty and staff members, Federated Colleges, the First Nations University of Canada, and other academic institutions.

For a list of upcoming and archived sessions, please see:  
<http://www.uregina.ca/research/Calendar/calendar.shtml>

#### To Register for a Workshop

To register for a workshop or information session, send an email to the Grants Research Facilitator or register online: <http://www.uregina.ca/research/Calendar/register.shtml>

### 4.1.5 Presentations and Resources

The Office of Research Services provides research presentations and documents to all University personnel. Presentations are available in Adobe Acrobat format (i.e., PDF) and

can be downloaded from the following website:

<http://www.uregina.ca/research/Calendar/presentations.shtml>

#### 4.1.6 Sample Applications

At the request of the applicant, the Office of Research Services may provide samples of previously awarded applications pending availability and permission by the researcher. Applicants seeking to review past applications as a guideline are encouraged to contact the Grant Research Facilitator in the Office of Research Services.

### 4.2 Finding Research Funding Opportunities

#### University of Regina:

The Office of Research Services assists University of Regina faculty and staff members in locating internal and external funding opportunities in a variety of ways:

- Provides a list of upcoming external funding opportunities on the Office of Research Services website: <http://www.uregina.ca/research/deadlines/upcoming.shtml>;
- Provides an alphabetical list of external funding agencies: <http://www.uregina.ca/research/deadlines/list.shtml>;
- Transmits new and existing funding opportunities through the University of Regina research listserv and through the five thematic listservs (see Section 17);
- Conducts information sessions on external funding opportunities / programs (see Section 4.4);
- Provides information on internal funding opportunities to interested researchers (see Section 4.3); and
- Organizes special communication events.

#### External Sources:

The Office of Research Services at the University of Alberta produces a monthly newsletter called *Target Point* that provides a list of available funding opportunities and agency updates. Please note that recipients are strongly encouraged to review the eligibility of provided funding opportunities.

To subscribe to *Target Point*, please see: <http://www.rso.ualberta.ca/targetpoint.cfm>

### 4.3 Internal Research Funding

#### 4.3.1 Conference Fund

Annually up to \$35,000 will be available to support conferences hosted by the University of Regina and taking place in Saskatchewan. Normally, individual allocations from this fund will be no more than \$5,000. Conferences should take place within two years of application. For large international conferences, funding may be provided over two years (with application each year). It is expected that in all cases conferences will also be supported by other funding sources such as registration fees, external grants and support from the Dean's Office. Conferences that do not have financial support from the Dean will not be funded. Applications should be submitted to the Vice-President (Academic) for consideration.

For more information, please see:

<http://www.uregina.ca/presoff/vpacademic/conferencefund.shtml>

### 4.3.2 Faculty Research Awards

Individuals are encouraged to seek information about internal research awards that exist within their respective faculties. Please contact the Dean's Office or the Office of Research Services for more information.

#### Faculty of Arts

##### a) Dean's Research Awards

The Faculty of Arts allocates an annual sum of money to assist faculty members in the development of research projects leading to peer-reviewed publications, or in the case of community-based research, to tangible outcomes. The awards are made through a competitive process, with the adjudication committee being an elected subcommittee of the Research and Graduate Studies Committee. The deadline for applications is July 1<sup>st</sup>. The maximum award under normal circumstances is \$3,000.00. The award cannot be used to buy out teaching.

Four awards of \$1,000.00 each will be reserved in the first instance as development grants for Arts researchers who have received "4A" status in the most recent SSHRC Standard Research Grant competition. The committee will also consider applications for these four awards from researchers who have submitted applications to NSERC and/or CIHR in their most recent competitions, and have received encouragement to reapply but no funding. Researchers in that category will compete for these awards by submitting a detailed action plan for the revision of their SSHRC (or NSERC or CIHR) applications in preparation for the next competition. Winners of these four awards are eligible for matching funds from the Office of the Vice-President (Research) with submission of an appropriate application.

For more information, please contact the Associate Dean (Research) in the Faculty of Arts or visit the Faculty of Arts website: <http://www.uregina.ca/arts>

##### b) Staff Travel Fund

The Faculty of Arts provides financial assistance to faculty members who present their research at conferences (in the form of a paper or poster), or who participate at a conference in some other significant manner (as a chair of a session or as an executive member of a scientific organization).

The Staff Travel Fund is administered by the Dean of Arts. Members of the teaching staff may apply by completing and submitting a Travel Authorization Request Form to their Department Head, who, after considering and approving the request, forwards it to the Dean for final approval.

For more information, please contact the Department Head, Dean or consult the Faculty of Arts *Handbook*:

<http://www.uregina.ca/arts/forms/Faculty%20Handbook%20revised%203%20Aug%2007.pdf>

## Faculty of Business Administration

### a) Dean's Research Grant Program

Research funding for projects that can be completed with a moderate investment of resources is available to members of the Faculty of Business Administration through the Dean's Research Grant Program. Please contact the Office of the Dean of Business Administration for more information on this program or other internal funding programs.

## Faculty of Fine Arts

### a) Research Fund

The Faculty of Fine Arts provides internal research funding to promote scholarly and creative research within the faculty. The awards are made through a competitive process, with an adjudication committee being appointed by each department, and the Associate Dean as Chair. The deadline for applications is September 30<sup>th</sup>. The maximum award under normal circumstances is \$2,500.00.

For more information, please visit the Faculty of Fine Arts website:  
[http://www.uregina.ca/finearts/finearts/faculty\\_staff.html](http://www.uregina.ca/finearts/finearts/faculty_staff.html)

## Faculty of Science

### a) Staff Travel - Research Fund

The Faculty of Science provides financial assistance to faculty members who present their research at conferences (in the form of a paper or poster), or who participate at a conference in some other significant manner (as a chair of a session or as an executive member of a scientific organization).

A small number of Staff Travel Fund (Research) awards will be reserved for faculty members who wish to attend a conference but do not intend to present a paper or poster. Such awards will apply only to faculty who do not hold a Tri-Council grant (i.e. NSERC, SSHRC, CIHR). Faculty members on sabbatical are eligible for support from the Staff Travel Fund (Research).

The maximum award is \$800, although an award of a lesser amount may be granted (even if the travel costs meet or exceed \$800). At most, one grant will be made to a faculty member per fiscal year (May 1 to April 30). As part of the application process, the faculty member must submit a Travel Authorization Form and appropriate documentation to support the claim.

For more information, please visit the Faculty of Science *Handbook*:  
<http://www.uregina.ca/science/faculty/index.shtml>

### 4.3.3 International Strategic Opportunities Fund (ISOF)

#### 4.3.3.1 ISOF Initiatives

This fund supports the development and establishment of joint international undergraduate and graduate programs, international projects and initiatives, and international student recruitment.

More information is available through OICD:

<http://www.uregina.ca/international>

#### 4.3.3.2 ISOF Student Mobility

An annual fund of up to \$35,000 supports student international mobility and aims to increase the number of University of Regina students who benefit from an international study / research experience with a partner institution.

More information is available through OICD:

<http://www.uregina.ca/international>

### 4.3.4 President's Publications Fund

The University may provide financial assistance to researchers wishing to publish articles in reputable professional journals from which notification of acceptance of the article has been received.

The University may pay, as a charge against the Publications Budget, the cost of page charges and/or up to one hundred reprints (without covers) of publications under the following conditions:

- the applicant is the author or co-author of the article;
- the article has been or will be published in a reputable journal; and
- the expenditure is approved.

Requests for assistance should be directed to the Chair of the Publications Fund.

For more information, please contact the Department of History: (306) 585.4209.

### 4.3.5 President's Scholars Program

The President's Scholars Program is designed to foster excellence in basic scholarship and research at the University of Regina. It aims to support both existing and potential research/scholarship strength: for example, to further or complete an existing program of research, undertake new short-term projects, or provide seed money for larger-term projects development.

The President's Scholars Award will consist of the following:

- \$10,000 research grant (awarded in two installments of \$5,000 each); and
- A teaching release for three courses over the two years (the applicant, in consultation with the Dean or Department Head, will determine when this release

will be taken; faculties will be provided with sessional stipends to cover these courses - approximately \$15,000 value).

President's Scholars will also be expected to engage in some form of public application of their research, ideally within the University as well as in the wider communities.

Such outreach might take the form of a research seminar, a monthly public lecture series, a curated series of films or presentations, or such as is appropriate to the Faculty.

Further information can be found at the following URL:  
<http://www.uregina.ca/presoff/president/scholars/index.shtml>

The President's Scholars Program may be combined with sabbaticals, as defined in Article 16.7 of the *URFA Collective Agreement 2005-2008*.

Further details can be found at the following URL:  
[http://www.uregina.ca/research/internal\\_grants/main.shtml](http://www.uregina.ca/research/internal_grants/main.shtml)

#### 4.3.6 Research Centres / Institutes

##### 4.3.6.1 Centre canadien de recherche sur les francophonies en milieu minoritaire Funding

###### 4.3.6.1.1 Annual Research Grant Competition

(English to follow)

###### Concours annuel de subventions de recherche

Le CRFM subventionne des projets de recherche originaux qui amélioreront la compréhension de l'expérience francophone en milieu minoritaire. A cette fin, le CRFM annonce fin janvier chaque année son concours annuel de subventions de recherche. Le concours est ouvert aux chercheurs de l'Université de Regina ainsi qu'aux chercheurs affiliés à d'autres institutions canadiennes et internationales.

Le concours comporte six programmes :

1. Subventions pour chercheurs universitaires
2. Dégrèvements de cours
3. Subventions pour les étudiants de cycle supérieur
4. Subventions aux fins de publication pour chercheurs universitaires
5. Subventions pour chercheurs communautaires
6. Subventions aux fins de publication pour chercheurs communautaires

La date limite de dépôt des projets tombe en avril et les résultats du concours sont annoncés en juin. Tous les projets déposés sont évalués par un comité indépendant formé de pairs réputés.

Dans le cadre de chaque concours, le CRFM invite les chercheurs à proposer des projets qui traitent de certaines problématiques de



recherche qu'il estime prioritaires. Entre deux projets d'une égale valeur, la priorité sera normalement accordée aux projets qui visent les communautés francophones suivantes, dans l'ordre indiqué : la communauté fransaskoise, les autres communautés francophones de l'Ouest canadien, d'autres communautés francophones en milieu minoritaire.

Les subventions varient entre 1 000\$ et 5 000\$, selon le programme, et peuvent s'étaler sur deux ans. Ce concours a déjà permis à plusieurs chercheurs d'obtenir d'autres subventions plus importantes pour poursuivre leur projet de recherche.

Pour de plus amples renseignements, veuillez visiter les pages pertinentes du CRFM sur le site de l'Institut français :  
<http://institutfrancais.uregina.ca/>

### **Annual Research Grant Competition**

The CRFM provides grants for original research projects that contribute to the understanding of the francophone experience in minority situations. To this end, the CRFM announces each year at the end of January its annual research grant competition. The competition is open to researchers at the University of Regina as well as to researchers affiliated with other Canadian and international institutions.

The competition includes six categories:

1. Academic research grants
2. Teaching release grants
3. Graduate student research grants
4. Academic publication grants
5. Community research grants
6. Community publication grants

The deadline for project submissions falls in April and the results of the competition are announced by June. All projects submitted are evaluated by an independent committee of peers.

With each competition, the CRFM invites researchers to propose projects that examine certain research priorities. Between projects of equal value, priority will normally be given to those that focus on francophone communities in the following descending order: the Fransaskois community, other francophone communities of Western Canada, other francophone communities in minority settings.

Grants vary from \$1,000 to \$5,000 according to the funding category and can be spent over a two-year period. This competition has enabled several researchers to obtain larger grants to pursue their respective research projects.

For more detailed information, please visit the relevant CRFM pages on the website of the Institut français:  
<http://institutfrancais.uregina.ca/index.php/>

#### 4.3.6.1.2 Annual Research Grant Competition

(English to follow)

##### Ateliers de recherche communautaire

Les organismes francosaskois et les individus engagés dans la communauté francosaskoise sont invités chaque année à déposer une proposition de projet de recherche. Un comité indépendant formé de membres universitaires et communautaires évalue les propositions selon leur pertinence au développement de la communauté francosaskoise et la faisabilité du projet. Le CRFM offre aux chercheurs communautaires dont les propositions sont sélectionnées un encadrement professionnel de 20 heures afin de les aider à élaborer un plan de recherche solide pour le projet en question. Ce service est assuré par des chercheurs que le CRFM engage à titre d'expert-conseil. En encadrant ainsi les chercheurs communautaires, le CRFM cherche à les aider à mieux obtenir, par la suite, les subventions qui leur permettront de mener à bien leur projet.

Le concours est annoncé au début de l'automne et les ateliers se déroulent jusqu'en février de l'année suivante.

Pour de plus amples renseignements, veuillez visiter la page pertinente du CRFM sur le site de l'Institut français :

<http://institutfrancais.uregina.ca/>

##### Community Research Workshops

Francosaskois organizations and individuals involved in the Francosaskois community are invited each year to submit research project proposals. An independent committee made up of university and community members evaluates proposals based on their relevance to the development of the Francosaskois community and the feasibility of the project. The CRFM offers community-based researchers whose proposals are selected 20 hours of professional advice in order to assist them in developing a solid research plan. This service is provided by relevant researchers hired by the CRFM to act as consultants. By advising community-based researchers in this fashion, the CRFM seeks to assist them in subsequently obtaining the grants that will enable them to complete their project.

The workshop competition is announced early in the fall and the workshops are delivered until February of the following year.

For more detailed information, please visit the relevant CRFM page on the website of the Institut français:

<http://institutfrancais.uregina.ca/index.php/>

#### 4.3.6.2 Humanities Research Institute (HRI) Funding

HRI aims to establish an intellectual community that will link scholars from diverse areas of the University of Regina in common conversations.

HRI creates opportunities for new scholarly initiatives in the humanities at the University of Regina. These opportunities include: teaching fellowships, research awards, student travel awards, assistance awards for visiting speakers at conferences, travel awards for board members of scholarly organizations, and subvention awards for publication.

For information about funding through the HRI, please see:

<http://www.uregina.ca/hri/index.shtml>

#### 4.3.7 Research Trust Fund

The University of Regina / URFA Collective Agreement provides for the University of Regina - Research Trust Fund, which allows faculty members to designate a portion of their earnings for legitimate expenses incurred by them in research and scholarly pursuits. The money in the Fund is vested solely in the University. The signing authority for the Fund is the Vice-President (Research and International) or designate.

Written requests for the University Research Trust Fund should be made to the Office of Research Services. Upon approval, the Office of Research Services will notify the recipient via a memo and, in some cases, Supply Management Services will also be notified of the granted funds to purchase equipment.

All receipts and related documents for incurred expenses should be attached to a reimbursement expense claim form and sent to the Office of Research Services for processing.

Detailed information can be found at the following URL:

[http://www.uregina.ca/research/internal\\_grants/main.shtml](http://www.uregina.ca/research/internal_grants/main.shtml)

#### 4.3.8 Sabbatical Research Grants (see also section 2.13.3)

Faculty members on sabbatical may receive part of their sabbatical salary in the form of a research grant. This allows the researcher to deduct research expenses from their income thereby reducing the amount of paid income taxes. To take advantage of this opportunity on remuneration, applications must be submitted to the Office of Research Services no later than two months prior to commencing a sabbatical. Department Head and/or Dean approval is required prior to submission. Sabbatical Research Grants are deducted from normal sabbatical salary.

Department Head and/or Dean approval is required prior to submission. Sabbatical Research Grants are deducted from normal sabbatical salary.

For application forms and further information, please see:

[http://www.uregina.ca/research/internal\\_grants/main.shtml##sabbatical](http://www.uregina.ca/research/internal_grants/main.shtml##sabbatical)

#### 4.3.9 SSHRC General Research Grant / President's Fund

The SSHRC General Research Grant / President's Fund awards promote research and scholarly work at the University of Regina. The awards are made available from the following sources:

- University of Regina - an allocation from operating funds made annually by the President and;
- Social Sciences and Humanities Research Council (SSHRC) - a block grant awarded annually, upon application, by the Council.

##### Eligibility

All members of academic staff in permanent, term, and probationary appointments are eligible to apply. Applicants must be SSHRC eligible and respective proposals must fall within the SSHRC program areas (<http://www.sshrc.ca>). The Committee will not entertain applications in any two consecutive competitions from the same individual unless the applicant can demonstrate that she or he has applied for external funds between the two competitions. External funding may be derived from a variety of sources (federal or provincial governments, private sector) and may include grants, contracts, and subventions.

Application forms are available from the Office of Research Services website. The application deadlines are May 1 and November 1.

##### Advice for first time applicants:

1) Follow each section of the Research Plan (Section B) outlined in the Application Form and use the breakdown of criteria as the headers (i.e., objectives, scope, method of approach and design of research, budget justification, training opportunities for graduate students, time frame and proposed forum for dissemination of results).

2) Ensure the requested budget is detailed.

For example:

\* Provide the educational level of the hired student, as well as the number of hours they will work during this project. Also, specify what the student will be doing (e.g., literature reviews, disseminating research outcomes) and how it will impact the research; and

\* Ensure a detailed explanation is provided (e.g., location, duration, possible conference titles) when requesting travel funds.

For more information, please see:

[http://www.uregina.ca/research/internal\\_grants/sshrc.shtml](http://www.uregina.ca/research/internal_grants/sshrc.shtml)

#### 4.3.10 SSHRC 4A

The Office of the Vice-President (Research and International) may provide support to those individuals who have received a SSHRC 4A status in the previous SSHRC - Standard Research Grant (SRG) competition. Requests for funding are preferably faculty-based decisions and may be cost-shared with the relevant faculty.

To request funding, please forward a memo to the Office of the Vice-President (Research and International) for consideration.

In providing support, the Vice-President (Research and International) asks that the 4A'd faculty member receiving the support:

1. Make a commitment to reapply;
2. Provide a summary of the feedback received, and how this will be incorporated into a new proposal;
3. Provide a proposal for use of the support and justification.
4. Demonstrate an agreement with the appropriate faculty to co-fund.

For further information, please contact the Dean's Office or the Office of the Vice-President (Research and International)

#### 4.3.11 Technology Enhanced Learning (TEL) Funding

As a partner in Campus Saskatchewan, the University of Regina receives funding from the Department of Advanced Education and Employment and Labour for TEL content development, faculty development and support, and learner support. Currently, \$300,000 per annum has been allocated to content development. Following a competitive, two-stage process (letter of intent, invited application), successful academic staff members are awarded a TEL grant.

For more information, please see: <http://www.uregina.ca/ctl/tel.html>

### 4.4 External Research Funding

The Office of Research Services can assist applicants in finding relevant funding opportunities to meet their research needs and interests. Please contact the Grant Research Facilitator in the Office of Research Services for assistance or view the following website for more information: <http://www.uregina.ca/research>

#### 4.4.1 Tri-Council Granting Agencies

The Tri-Council Granting Agencies consist of the 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). Below please find a brief description and web address for the Tri-Councils.

- CIHR: according to the CIHR website, CIHR it is a health research funding agency that supports the work of more than 11,000 researchers and trainees in universities, teaching hospitals, and research institutes across Canada. It funds research that improves health, the health care system, and the quality of life in Canada. CIHR fosters commercialization by moving research discoveries from academic settings to the marketplace.

For more information on CIHR, please see: <http://www.cihr.ca>

- NSERC: according to the NSERC website, NSERC is the national instrument for making strategic investments in Canada's capability in 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.

For more information on NSERC, please see: <http://www.nserc-crsng.gc.ca/>

- SSHRC: according to the SSHRC website, it is an arm's-length federal agency that promotes and supports university-based research and training in the social sciences and humanities. Created by an act of Parliament in 1977, SSHRC is governed by a 22-member Council that reports to Parliament through the Minister of Industry.

For more information on SSHRC, please see: <http://www.sshrc-crsh.gc.ca/>

#### 4.4.1.1 Liaisons

The University of Regina has appointed the following individuals to serve as University Delegates with the Tri-Councils:

- \* CIHR: Dr. Murray Knuttila, Faculty of Arts
- \* SSHRC: Dr. Anne Lavack, Faculty of Business Administration
- \* NSERC: Dr. Scott Wilson, Faculty of Science

These positions serve as a first point of contact for interactions with their specific agency on research trends, emerging issues related to research support, knowledge mobilization, application of new research policies, and promising ideas for collaboration with the Tri-Councils, as well as other partners.

#### 4.4.2 Other External Funding Agencies

Below please find a sampling of other external funding agencies (i.e., non Tri-Council) that may be of interest to faculty members:

National:

- Canada Council for the Arts: <http://www.canadacouncil.ca>
- Canada Foundation for Innovation (see Section 14): <http://www.innovation.ca>
- Heart and Stroke Foundation of Canada: <http://www.hsf.ca>

Provincial:

- Government of Saskatchewan - Department of Agriculture: <http://www.agriculture.gov.sk.ca>
- Saskatchewan Health Research Foundation: <http://www.shrf.ca>
- Government of Saskatchewan - Department of Social Services: <http://www.socialservices.gov.sk.ca>

For more information on external funding agencies, please contact the Grant Research Facilitator in the Office of Research Services or visit the following URL: <http://www.uregina.ca/research/deadlines/upcoming.shtml>

### 4.5 Developing a Research Grant Application

These guidelines are intended to assist applicants with the preparation of grant proposals. This will ensure all policies and procedures are followed to improve success rates and efficiently complete application submissions. To ensure that all grant applications are as effective as possible when they leave the University, the following steps apply to their preparation:

#### 4.5.1 Notification of Intent to Apply for a Research Grant

For all applications that do not require a Letter of Intent or any other type of pre-registration document (e.g., NSERC - Form 180), applicants must submit a Notification of Intent to Apply for a Research Grant form to the Office of Research Services at least one month prior to the final deadline for the grant application. A copy of this form should also be sent to the Dean's Office.

Members of the Faculty are encouraged to seek information about the internal review processes that exist within their respective faculties. Please contact the Dean's Office or the Office of Research Services for more information.

A Notification of Intent to Apply form can be downloaded from the Office of Research Services website: <http://www.uregina.ca/research/Forms/NOI.doc>

#### 4.5.2 Developing the Proposal

##### Proposal Format

a) Presentations: many of the funding agencies provide downloadable tips and power point presentations to assist applicants with proposal formats. The Grant Research Facilitator can assist in locating these documents or providing answers to specific questions.

Presentations may also be downloaded from the Office of Research Services website. These presentations will provide applicants with information on format(s), budget preparation and proposal tips. To download a presentation, please see: <http://www.uregina.ca/research/Calendar/presentations.shtml>

b) Sample applications: researchers can request previously successful applications to be used as invaluable templates for their own applications. To request an application, please contact the Office of Research Services (see Section 4.1.6).

c) Writing services: some faculties employ writers to assist applicants with their proposals. Applicants are encouraged to contact the Dean's Office to seek information on available writing assistance.

d) Grant Instructions: a number of granting agencies provide electronic reference guides and/or demos on their website. These are provided to assist potential applications with forms and other related documents. Examples of grant instructions include, but are not limited to, the following:

- CIHR: to access the instructions, log into ResearchNet (<http://www.researchnet-recherchenet.ca>) and click on the desired application and consult the "Support" section at the bottom of the screen.

- NSERC: to access the tutorials or online application instructions, please see: [http://www.nserc.gc.ca/forms/tut\\_e.htm](http://www.nserc.gc.ca/forms/tut_e.htm) and [http://www.nserc.gc.ca/forms/formtable2\\_e.htm](http://www.nserc.gc.ca/forms/formtable2_e.htm)
- SSHRC: to access the instructions, log into the SSHRC online system ([https://webapps.nserc.ca/SSHRCJSF/faces/logon.jsp?lang=en\\_CA](https://webapps.nserc.ca/SSHRCJSF/faces/logon.jsp?lang=en_CA)) and click on the “edit form” button for the desired application. Select “instructions” at the top of the webpage.

### Preparing the Budget

Preparation of the budget is, for many applicants, the most difficult section of the proposal. It is important that the budget section of the proposal accurately reflects the funding needed to carry out the proposed research. The applicant should neither overestimate the funds required nor underestimate budgetary needs, as this may lead to proposal rejection. An accurate budget strengthens the total proposal and increase the likelihood of funding.

A fully developed budget includes, but is not limited to, the following:

#### Direct Costs

- Salaries and Release Time Stipends
- Payment to Research Participants (see Section 7 and 11)
- Fringe Benefits
- Consultants
- Capital Equipment (see Section 9)
- Expendable Equipment and Supplies
- Printing Costs:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/ancillary/603020.shtml>
- Publication Costs
- Travel (see Section 12)
- Computer Time and equipment installation (see Section 9)
- Subcontracts / Sub-recipient Agreements
- Other Direct Costs

Applicants are encouraged to contact their respective Dean’s Offices or the Office of Research Services to obtain information on policies and/or agreements. It is also strongly encouraged that all applicants review the application guidelines to keep abreast of the appropriate use of agency funds.

#### Overhead and Indirect Costs (see Section 3.8)

Overhead costs are those expenditures incurred by the University in the conduct of research which are not readily identifiable as specific expenditures.

#### Matching Funds

If the sponsor guidelines require cost-sharing or matching funds (i.e., cash contribution or in-kind funding), applicants are strongly advised to complete the respective budget sections in the proposal and provide appropriate letters of commitment from third-party sources.

All matching funds or cost-sharing commitments must be approved in advance by the Principal Investigator’s Department Head, Dean and the Office of Research Services.



### **E-Applications**

The Grant Research Facilitator can assist applicants with e-applications and other technical inquiries. Please note that electronic submissions must be reviewed by the Office of Research Services and a copy of the application and signature form must be forwarded to the Office of Research Services prior to submission to the funding agency.

### **4.5.3 Mentorship Program**

Members of the Faculty are encouraged to seek information about the mentorship processes that may exist within their respective faculties. Please contact the Dean's Office or the Office of Research Services for more information.

#### **4.5.3.1 SSHRC Mentorship**

The Office of Research Services facilitates a SSHRC Mentorship Program designed to provide applicants with direct one-on-one assistance with a mentor to guide them through the development of their SSHRC applications. Mentors with SSHRC experience (grant holders, adjudication committee members) will provide comments on all components of the draft proposals.

If an applicant would like to receive guidance from a mentor, please contact the Grant Research Facilitator or visit the Office of Research Services website: <http://www.uregina.ca/research/mentorship.shtml>

### **4.5.4 Internal Review**

#### **4.5.4.1 CIHR Review**

A formal internal review process has not been established. Individual faculties and departments have different policies or expectations with regards to internal review processes. Please contact the Dean / Associate Dean (Research) or the Office of Research Services for further information.

##### **4.5.4.1.1 CIHR Regional Partnership Program**

The Saskatchewan- CIHR Regional Partnership Program began in 1999, when the provincial government and the respective agency agreed to each invest \$5-million over five years in a 1:1 matching program to increase health research funding in Saskatchewan. The program was extended after the initial five-year agreement.

The Saskatchewan Health Research Foundation (SHRF) manages and disburses these matching provincial funds, as directed by a local advisory committee.

For further information, please visit the SHRF website: <http://www.shrf.ca/Default.aspx?DN=147,23,2,Documents>

#### **4.5.4.2 NSERC Review**

A formal internal review process has not been established. Individual faculties and departments have different policies or expectations with regards to internal review processes. Please contact the Dean or Associate Dean (Research) for further information on discipline specific reviews.

#### Useful NSERC Links

- NSERC Committees: [http://www.nserc.gc.ca/about/organization\\_e.asp](http://www.nserc.gc.ca/about/organization_e.asp)
- NSERC forms and instructions: [http://www.nserc.gc.ca/forms/formtable2\\_e.htm](http://www.nserc.gc.ca/forms/formtable2_e.htm)
- NSERC tutorials: [http://www.nserc.gc.ca/forms/tut\\_e.htm](http://www.nserc.gc.ca/forms/tut_e.htm)

#### 4.5.4.3 SSHRC Review

The Office of Research Services facilitates an annual SSHRC Internal Review Program designed to improve applicant success rates for SSHRC competitions. Assessors with SSHRC experience (grant holders, adjudication committee members, etc.) will review and respond to draft grant applications.

To ensure researchers receive a high quality review and have time to implement suggested changes, two draft hard copies and one electronic draft of the project summary, detailed proposal and budget are due in the Office of Research Services approximately one month prior to the respective SSHRC deadline. Email notices will be distributed each year to clearly define the time frame and deadlines for internal review.

Each draft application will be reviewed by at least two assessors - one in the applicant's discipline and a general reader. Assessor feedback will be returned to the applicants at least **two** weeks prior to the respective SSHRC deadline.

Please contact the Grant Research Facilitator or complete the online form ([http://www.uregina.ca/research/internal\\_review.shtml](http://www.uregina.ca/research/internal_review.shtml)) to arrange for an internal review of the draft application, if desired.

#### 4.5.5 Faculty Review Processes

Faculties may conduct internal review processes prior to submission to the Office of Research Services and the granting agency. Researchers are encouraged to contact their Department Head, Associate Dean (Research) or Dean to be notified of internal deadlines for research applications.

Below please find a summary of some of the faculty internal review processes and their respective deadlines. Please use the information as a guideline.

##### **Faculty of Arts:**

Internal review of grant applications initially takes place at the departmental level, with experienced colleagues in related fields and department heads providing feedback, then at the decanal level second, with the Associate Dean (Research and Graduate Studies) reviewing applications prior to their submission to the Office of Research Services. The requirement for departmental and decanal signatures on all grant applications ensures that some level of internal review takes place.

**Faculty of Business Administration:**

The Associate Dean (Research and Academic) in the Faculty of Business Administration reviews all draft applications one week prior to the Office of Research Services' internal deadline. Applicants may receive feedback for consideration and faculty-based signatures will be obtained upon the approval of requested institutional support (i.e., release teaching stipends) from the Dean's Office.

**Faculty of Engineering:**

Faculty members must submit all research proposals to their respective Program Chairs and the Dean (or Associate Dean) for review. Required signatures will be obtained upon the approval of the research proposal. Faculty of Engineering deadlines are established throughout the year and is communicated to the researchers on an ongoing basis.

**Faculty of Fine Arts:**

Faculty members must submit all research proposals to their respective Department Head for review. Required signatures will be obtained upon the approval of the research proposal.

**Faculty of Science:**

Faculty members must email a complete application in Adobe Acrobat format (i.e., PDF) to their Department Head and Associate Dean (Research) who will read them and make suggestions with regards to granting agency instructions, language and clarity. Suitable applications are recommended to the Dean for signing. The Faculty of Science deadline for review of applications is **two** weeks prior to the Office of Research Services internal deadline.

#### **4.5.6 Technical Review**

The Office of Research Services requests that all research applications undergo a technical review a minimum of **two weeks prior** to the agency deadline. The Office of Research Services staff will review the applications to ensure compliance with:

- University policies and procedures;
- Sponsor/agency guidelines/terms and conditions;
- Application requirements;
- Budget issues (i.e. salary/stipends and benefits, eligible costs including indirect/overhead costs);
- Intellectual property (IP) conditions; and
- Matching funds and collaboration requirements.

Suggestions or comments will be communicated to the applicant and the Office of Research Services staff will obtain the University of Regina - institutional signature once approved.

#### 4.5.7 Signature Process

##### 4.5.7.1 Responsibilities - Who signs the grant application?

All research grants must be approved and signed by the:

- Principal Investigator(s);
- Co-investigator(s) and their respective institutional designate (i.e., the Office of Research Services Office Manager or Director);
- Dean or Dean's representative; and
- Department Head and/or Director.

The applicant or co-applicant is responsible for obtaining the required signatures above prior to submitting the application to the Office of Research Services.

Additionally, whether the sponsors require it or not, all applications for external research funding must be signed by a duly authorized University representative on behalf of the University of Regina before submission to a funding agency.

Final signature on behalf of the University is provided by the Office of Research Services.

These responsibilities are also noted within the Tri-Council Memorandum of Understanding (MOU) - Financial Accountability":

[http://www.nserc.gc.ca/institution/mou\\_sch1\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch1_e.htm)

##### 4.5.7.2 University of Regina - Signature Policy

According to the Signature Policy, when any University employee signs on behalf of the University and commits the University, the University has a vicarious liability to fulfill the requirements of the documents signed. The purpose of this policy is to specify who may sign which documents.

To view the policy, please see:

<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/303015.html>

##### 4.5.7.3 Signature Form

If a grant application does not contain a signature form, please download the Office of Research Services - Signature Form prior to submission to a granting agency: [http://www.uregina.ca/research/Forms/Signature\\_Form08.doc](http://www.uregina.ca/research/Forms/Signature_Form08.doc)

#### 4.5.8 Submission to Funding Agency

The Office of Research Services will submit and courier all applications to funding agencies on behalf of the applicant. Applicants **must** forward all proposals, appropriate agency copies, and one institutional file copy to the Office of Research Services by 3:00 p.m. on the requested date for submission to the granting agency.

## 4.6 Research Compliance

See Section 6 - Research Compliance

## 4.7 Research Funds

See Section 7 - Finances.

## 4.8 Reporting on Performance and Outcomes

As described in the "Tri-Council MOU - Schedule 11: Reporting on Performance and Outcomes" ([http://www.nserc.gc.ca/institution/mou\\_sch11\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch11_e.htm)):

"...Federal departments and agencies are required to submit an annual performance report to Parliament. In keeping with the spirit of this requirement, CIHR, NSERC and SSHRC keep Canadians informed about the outcomes of their programs and, more generally, about the results of federal investments in research.

Specific reporting requirements may vary from Agency to Agency and from program to program. When reporting on any grant or award, Institutions and Grant and Award Holders must ensure that they conform to all applicable requirements"

For information on performance reporting requirements, please visit the URL above or consult the individual Tri-Council websites:

- CIHR: *Grants and Awards Guide* - <http://www.cihr-irsc.gc.ca/e/805.html>
- NSERC: *Program Guide for Professors - Overview* - [http://www.nserc.gc.ca/professors\\_e.asp?nav=profnav&lbi=overview](http://www.nserc.gc.ca/professors_e.asp?nav=profnav&lbi=overview)
- SSHRC: *Using Your Funds* - [http://www.sshrc.ca/web/using/using\\_e.asp](http://www.sshrc.ca/web/using/using_e.asp)

## 4.9 Research Data Archiving (see also Section 13.5)

Research data must be securely stored in order to ensure that the validity of the data can be demonstrated and, in the case of research data relating to individuals, the University of Regina can meet its obligations under the *Access of Information Act and Privacy Act*:

<http://www.justice.gc.ca/en/ps/atip/index.html>

### 4.9.1 CIHR - Policy on Access to Research Outputs

The objective of this policy is to improve access to research outputs funded by CIHR, and to increase the diffusion of research results within six months of publication. The policy applies to all grants awarded after 01 January 2008 that receive full or partial funding from CIHR.

For more information, please see: <http://www.cihr-irsc.gc.ca/e/34846.html>

### 4.9.2 SSHRC - Research Data Archiving Policy

According to the SSHRC website, "...the purpose of this policy is to facilitate the advancement of knowledge in the social sciences and humanities by encouraging

researchers to share research data. Sharing data strengthens our collective capacity to meet academic standards of openness by providing opportunities to further analyze, replicate, verify and refine research findings”.

To view this policy, please see:

[http://www.sshrc.ca/web/about/policy\\_focus/statements/edata\\_e.asp](http://www.sshrc.ca/web/about/policy_focus/statements/edata_e.asp)

#### **4.9.3 Limitation of Liability with respect to Non-University Owned Data Policy**

To view the policy on the limitation of liability with respect to non-University owned data, please see:

<http://www.uregina.ca/presoff/vpadmin/policymanual/compserv/15015.shtml>

## 5 INTERNATIONAL RESEARCH

### 5.1 General Information

#### 5.1.1 Office of International Cooperation and Development (OICD)

To help the University community meet the challenges and opportunities of an increasingly globalized academic environment, the Office of International Cooperation and Development (OICD) integrates an international perspective into the University's three-fold mission of teaching, research and service. In general, OICD functions acts as a "clearing house" for the University's international affairs by establishing and maintaining international academic relations, hosting international delegations, coordinating outgoing delegations, and signing formal agreements with international institutions.

OICD liaises with international development agencies, including provincial and federal government offices, and is a resource centre for all international development and cooperation activities at the University. OICD also helps to co-ordinate international projects, working with faculty to review and help prepare project proposals. Over the past decade, OICD has facilitated the signing of approximately 180 international agreements and assisted faculty with five international research projects and ten other international projects.

For more information, please see: <http://www.uregina.ca/international>

#### 5.1.2 Information Sessions and Conferences

OICD provides information to the University of Regina on various international sessions, conferences and associated events throughout the year.

Notifications of information sessions and conferences are circulated through the event and research listservs, and on the OICD website.

For a list of upcoming sessions, please see:  
[http://www.uregina.ca/international/international\\_conferences.shtml](http://www.uregina.ca/international/international_conferences.shtml)

### 5.2 Finding International Funding Opportunities

OICD assists University of Regina faculty and staff members in locating international opportunities, both internal and external, through a variety of methods:

- Provides a list of upcoming external funding opportunities:  
<http://www.uregina.ca/international>;
- Provides a list of recent calls for proposals or papers:  
[http://www.uregina.ca/international/proposals\\_papers\\_main.shtml](http://www.uregina.ca/international/proposals_papers_main.shtml)
- Provides an alphabetical list of international opportunities:  
[http://www.uregina.ca/international/international\\_opportu.shtml](http://www.uregina.ca/international/international_opportu.shtml);
- Transmits new and existing funding opportunities through the University of Regina research listserv;
- Provides information on upcoming international conferences (see Section 5.1.2)  
[http://www.uregina.ca/international/international\\_conferences.shtml](http://www.uregina.ca/international/international_conferences.shtml);
- Organizes special communication events and site visits; and
- Providing brochures and other relevant literature to interested researchers.

## 5.2.1 Internal Funding

Information on any internal research funding that may be available to University of Regina faculty will be outlined on the OICD website (<http://www.uregina.ca/international> - click on funding opportunities).

### 5.2.1.1 International Strategic Opportunities Fund (ISOF)

This fund supports the development and establishment of joint International undergraduate and graduate programs, international projects and initiatives, and international student recruitment.

See also Section 4.3.3 for additional information.

## 5.2.2 External Funding

OICD can help applicants find relevant international funding opportunities to meet their research needs and interests. Please contact the OICD for assistance or view the following website for more information: <http://www.uregina.ca/international>

## 5.3 International Agreements

### 5.3.1 General Information

The University of Regina engages in a wide range of agreements with academic, research and scientific institutions and/or organizations around the world.

OICD aims to negotiate, nurture and support collaborations between the University of Regina and other international institutions. OICD seeks to encourage the exchange of knowledge and resources, to facilitate academic programs, and to support internationally-based faculty and staff, its students, as well as their international partners.

For more information or to view a list of current international agreements, please visit the OICD website: <http://www.uregina.ca/international>

### 5.3.2 International Agreement Approval Form

Any individual that is interested in engaging in international research is encouraged to contact OICD to discuss their proposal.

Proposals may result in the signing of an international agreement. OICD has a variety of templates that can be used in the development of a proposed agreement. A template for the University of Regina - International Agreement Approval Form is available for print from the OICD website: [http://www.uregina.ca/international/Approval\\_form2.shtml](http://www.uregina.ca/international/Approval_form2.shtml)

This approval form must be signed by the individual's respective Department Head or Director and the appropriate Dean to acknowledge their approval of the agreement and to ensure that all implications and requirements have been fulfilled.

The completed form must be forwarded to OICD prior to an agreement being signed. All international agreements are signed by the President of the University of Regina.



For more information, please visit the OICD website or contact OICD for assistance.

#### 5.4 International Projects

The University of Regina engages in a number of on-going international projects that include, but are not limited to, Asia, Africa, Europe, Latin America and North America. A list of current international projects is available on the OICD website: <http://www.uregina.ca/international>.

Individuals interested in engaging in an international project are encouraged to contact OICD to discuss their interests and needs. OICD will help coordinate international projects and will also work with faculty to review and prepare project proposals.

For further information, please visit the OICD website or contact OICD for assistance.

#### 5.5 Visiting Scholars

The purpose of the Visiting Scholar Program is to provide academic and professional development opportunities for international scholars that are mutually beneficial to the scholar, their home institution, and the University of Regina. The intent of the Visiting Scholar Program is also to contribute to the international mission of the University of Regina through the exchange of research, scholarship and education.

Visiting scholars may be initiated through a variety of methods:

- Host individual - provides supporting documentation;
- International scholar - provides letter or request and other appropriate documentation;
- Sponsoring international institution or organization; and
- Annual nomination by partner organizations via OICD.

Interested parties are encouraged to provide the complete the Visiting Scholar Application Form (<http://www.uregina.ca/international/vsapplicationform.shtml>) and provide appropriate documentation to OICD to initiate the approval of a visiting scholar.

Appropriate documentation consists of the following:

- A current curriculum vitae;
- A recent photograph;
- Purpose and outcome of visit;
- Confirmation of internal or external funding;
- Two letters of recommendation;
- Letter of approval from the respective Department Head, Dean or Director; and
- Name of internal contact person.

The Visiting Scholar Program is administered by OICD, in consultation with the academic units, and appointments are made by the Vice-President (Research and International).

For information on responsibilities, reporting requirements and other applicable information, please visit the OICD website:

<http://www.uregina.ca/international/visiting%20scholar%20program.shtml>

For information on previous and past Visiting Scholars, please visit the following URLs:  
[http://www.uregina.ca/international/Visiting%20Scholars/visiting\\_scholars\\_current.shtml](http://www.uregina.ca/international/Visiting%20Scholars/visiting_scholars_current.shtml) and  
[http://www.uregina.ca/international/Visiting%20Scholars/visiting\\_scholars\\_past1.shtml](http://www.uregina.ca/international/Visiting%20Scholars/visiting_scholars_past1.shtml)

## 6 RESEARCH COMPLIANCE

### 6.1 Research Ethics

The University requires that all research conducted by its members conforms to the highest ethical standards. These standards are defined by the "Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans". All research that involves living human subjects requires review and approval by the University of Regina Research Ethics Board prior to its commencement.

For information on the "Tri-Council Policy Statement - Ethical Conduct for Research Involving Humans", please see:

<http://www.pre.ethics.gc.ca/english/policystatement/policystatement.cfm> and the "Tri-Council MOU - Schedule 2: Ethics Review of Research Involving Humans":  
[http://www.nserc.gc.ca/institution/mou\\_sch2\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch2_e.htm)

#### 6.1.1 Research Ethics Board (REB)

The Research Ethics Board (REB) consists of fifteen appointed members and ten elected members. These members include:

1. At least two members that have broad expertise in the research methods or areas addressed by the REB;
2. At least one member with knowledge in ethics;
3. At least one member with knowledge in biomedical research; and
4. At least five members that are recruited from the community and have no affiliation with the institution.

The REB Chair is nominated by the REB for a one year term. The term of the Chair is renewable.

All other REB members are appointed by the Vice-President (Research and International) through nominated recommendations of the REB sub-committee. REB members serve a four year term, unless otherwise agreed (i.e., between the member and the nominating structure) or until a member resigns.

Student members may also be appointed to the REB. The term for student members may be shorter than the four year term.

To view the current list of REB members or to contact the Chair of the REB, please visit the following URL: <http://www.uregina.ca/research/REB/main.shtml>

To view the REB - Terms of Reference, please see:

<http://www.uregina.ca/research/REB/Terms%20of%20Reference%202006.doc>

#### 6.1.2 Research Ethics Policies

To view policies pertaining to the Research Ethics Board, and review processes and terms of reference, please refer to the following URL:

<http://www.uregina.ca/research/REB/policies.shtml>

### 6.1.3 Processes and Forms

All projects that involve human participants are required to obtain approval from the Research Ethics Board prior to the commencement of research.

#### 6.1.3.1 Minimum Risk Research

The “Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans” describes minimal risk research as follows: “...if potential [participants] can reasonably be expected to regard the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the [participant] in those aspects of his or her everyday life that relate to the research, then the research can be regarded as within the range of minimal risk.”

<http://pre.ethics.gc.ca/english/policystatement/policystatement.cfm>

#### Process:

##### a) Initial Review

The REB application review process takes approximately three to four weeks to complete.

1. Individuals must complete the appropriate ethics form(s) and include all related documentation (i.e., information letters, consent documents, interview questions or questionnaires) as appropriate. Forms, templates and instructions are available for download on the Office of Research Services website: <http://www.uregina.ca/research/REB/forms.shtml>

Individuals must submit the completed application and related materials to the Office of Research Services. The applicant may choose to submit the document through two methods:

- Hard copy: if the applicant chooses to submit the document via hard copy, three copies (i.e., one typed original and two photocopies) must be sent to the Office of Research Services for review and approval.
  - Electronic: if the applicant chooses to submit electronically, one electronic copy must be sent to [research.ethics@uregina.ca](mailto:research.ethics@uregina.ca) with a subsequent original hardcopy (with signatures) forwarded to the Office of Research Services. The application will not be considered until the original hard copy is received in the Office of Research Services.
2. The received application is recorded and assigned an application number by the Office of Research Services.
  3. The application is then forwarded to two REB members for review. Reviewers are selected on the basis of availability and expertise, and will assess the application as per the eight Tri-Council Policy principles:
    1. Respect for Human Dignity (Absolute Principle);
    2. Respect for Free and Informed Consent (Absolute Principle);
    3. Respect for Vulnerable Persons (Absolute Principle);

4. Respect for Privacy and Confidentiality (Absolute Principle);
  5. Respect for Justice and Inclusiveness (Absolute Principle);
  6. Balancing Harms and Benefits (Relative Principle);
  7. Minimizing Harm (Relative Principle); and
  8. Maximizing Benefit (Relative Principle).
4. The two reviewers select one of four options (i.e., acceptable, minor revisions required, major revisions required, and unacceptable) and provide written comments to the Chair of the REB. The Chair reviews the provided reviewer comments and communicates the approval and/or recommendations to the applicant(s) in writing.
  5. After the initial response, any comments or questions from the applicant, are reviewed by the REB Chair (normally within 1-2 days).

For more information on the process of minimum risk research, please see the following URL:

<http://www.uregina.ca/research/REB/Review%20Process.shtml>

b) Revisions (i.e., assessment of minor or major revisions required)

If the Chair of the REB requests revisions to an applicant's initial ethics application, the applicant must submit a memo to the Chair to address the comments of the REB. The Chair will review the memo and will determine if the changes satisfy the REB concerns.

If the applicant's changes are satisfactory, the applicant will receive an approval form from the Chair of the REB.

If the applicant's changes are not satisfactory, the Chair will contact the applicant and discuss the concerns and/or issues related to the proposal.

c) Re-application (i.e., assessment of unacceptable)

If the Chair of the REB requests that the applicant re-apply for ethical clearance, the applicant must reconsider their procedures. The applicant is strongly encouraged to address the previously received comments from the REB to re-develop their initial application.

Once the application is re-submitted, the application is processed as a new application (see above).

### 6.1.3.2 Above Minimum Risk Research

The "Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans" defines above minimal risk research as any "...research [that] warrants a higher degree of scrutiny and greater provision for the protection of the interests of prospective [participants]."

<http://pre.ethics.gc.ca/english/policystatement/policystatement.cfm>

**Process:**

a) Initial Review

The REB application review process takes approximately four to six weeks to complete.

1. Follow steps 1 - 2 as outlined in Section 6.1.3.1
3. The application is then forwarded to two scholars for review. Scholars are selected on the basis of their expertise and normally include one internal and one external reviewer. The scholars will assess the application as per the eight Tri-Council Policy principles (see above).
4. The scholarly reviewers select one of four options (i.e., acceptable, minor revisions required, major revisions required, and unacceptable) and provide written comments to the Chair of the REB. The Chair will review the provided reviewer comments and will present the information to the REB. The REB decides on the status of the application and the Chair will communicate the approval and/or recommendations to the applicant(s) in writing.
5. After the initial response, any comments or questions from the applicant, are reviewed by the REB Chair (normally within 1-2 days).

For more information on the process of above minimum risk research, please see the following URL:

<http://www.uregina.ca/research/REB/Review%20Process.shtml>

b) Revisions

The same process for minimum risk revisions applies to above minimum risk applications.

c) Re-application

The same process for a minimum risk re-application applies to above minimum risk applications.

#### **6.1.4 Ethics Appeals Committee**

The Ethics Appeals Committee is an independent standing committee.

The goal of the Appeals Committee is to reach an agreement between the applicant and the REB when a decision is not agreed upon.

The Appeals Committee is guided by principles of natural and procedural justice. Such principles include providing a reasonable opportunity to be heard by both the applicant making the appeal and the REB whose decision is being appealed. Such an opportunity should allow both parties to give an explanation of the reasons for or against the decision and also provide an opportunity for rebuttal.

The Appeals Committee will provide written grounds for its decision.

For more information on the Appeals Committee and their Terms of Reference, please see the following URL: <http://www.uregina.ca/research/REB/appealscomm.shtml>

### 6.1.5 Annual Renewal

Applicants who previously received approval from the REB are asked to submit a completed Annual Research Status Report ([http://www.uregina.ca/research/REB/annual\\_renewal\\_form.doc](http://www.uregina.ca/research/REB/annual_renewal_form.doc)).

This completed report must be submitted to the Office of Research Services no later than one month prior to their original ethical clearance anniversary. This form must be submitted every twelve months to maintain ethical clearance.

Failure to submit the report will automatically revoke a researcher's ethical approval.

Applicants who conduct research on a project for longer than five years must submit a new ethics application to the Office of Research Services to re-affirm their ethical clearance.

For more information, please visit the Office of Research Services website or contact the Senior Research Officer.

## 6.2 Guidelines for Health Research Involving Aboriginal People

The Canadian Institutes of Health Research (CIHR) have released Guidelines for Health Research Involving Aboriginal People (<http://www.cihr-irsc.gc.ca/e/29134.html>)

These Guidelines have been prepared by the Ethics Office of the CIHR, in conjunction with its Institute of Aboriginal Peoples' Health, to assist researchers and institutions in carrying out ethical and culturally competent research involving Aboriginal people. The intent is to promote health through research that is in keeping with Aboriginal values and traditions. The Guidelines will assist in developing research partnerships that will facilitate and encourage mutually beneficial and culturally competent research. The Guidelines will also promote ethics review that enables and facilitates rather than suppresses or obstructs research.

These Guidelines are applicable to researchers carrying out research to which CIHR has made a financial contribution. Researchers should note that these Guidelines are not regulations nor are they meant to be of general application. Rather, they are guidelines that should be followed by anyone who carries out research involving Aboriginal people in Canada if the research is funded by CIHR. The obligation on the researcher to abide by the Guidelines is contractual, i.e. it is voluntarily assumed by the researcher in return for the funding provided by CIHR.

As these guidelines primarily address the special considerations that arise when carrying out research involving Aboriginal people, researchers must also refer to, and comply with, other Tri-Council and CIHR policies, as well as any applicable legislation and, for those to whom it applies, the Canadian Charter of Rights and Freedoms. Other agencies of government may impose additional regulatory or other requirements.

Other sources of information may be found at the Interagency Advisory Panel on Research Ethics website (<http://pre.ethics.gc.ca/english/policystatement/section6.cfm>), CIHR -

Aboriginal Ethics Policy Development (<http://www.cihr-irsc.gc.ca/e/29339.html>) or by contacting the Department of Indigenous Studies at the First Nations University of Canada.

### 6.3 Animal Care

All animal care and use (research and teaching) must be reviewed and approved by an Animal Care Committee (i.e., President's Committee on Animal Care) prior to commencement. The Committee ensures that the study is ethical, that the animals are treated humanely and that the appropriate species and minimum number of animals are being used.

For further information, please see the "Tri-Council MOU - Schedule 3: Ethical Review of Research Involving Animals": [http://www.nserc.gc.ca/institution/mou\\_sch3\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch3_e.htm)

#### 6.3.1 President's Committee on Animal Care (PCAC)

Canadian law requires that an animal utilization protocol be approved by the PCAC **BEFORE** research or teaching projects involving living animals (vertebrates) are initiated. PCAC must review and approve all requests for the use of animals on the University of Regina campus.

For information on PCAC members and committee terms of reference, please see: [http://www.uregina.ca/research/Animal\\_Care/main.shtml](http://www.uregina.ca/research/Animal_Care/main.shtml)

#### 6.3.2 PCAC Animal Care Training Program

The PCAC has instituted an Animal Care Training Program. It is an online program using the WebCT course management application and created by the Canadian Council on Animal Care (CCAC). This training program **must** be completed by all researchers, students and technicians prior to using animals on campus.

The Animal Care Training Program includes twelve web-based modules covering the general core topics for all animal users and specific core topics for the Laboratory Animal / Teaching Stream of the CCAC Recommended Syllabus.

The WebCT site requires a login user ID and password which can be obtained from the Senior Research Officer in the Office of Research Services.

To log into the site, please see: <http://www.uregina.ca/webct>

In addition to the Animal Care Training Program, the Office of Research Services requires all researchers and research personnel to complete the Evidence of Practical Training Form. As per the recommendation of the CCAC, the Office of Research Services will track the practical training of all users attached to current Animal Utilization Protocols (AUP) (see Section 6.2.3).

#### 6.3.3 Processes and Forms

The Animal Utilization Protocols (AUP) forms are prerequisites for approval of animal related research. AUP forms **must** be completed and approved by the PCAC prior to the commencement of research or teaching.



Individuals must submit the completed form (i.e. one original hard copy and one electronic copy) and related materials to the Office of Research Services. Forms and instructions are available for download on the Office of Research Services website: [http://www.uregina.ca/research/Animal\\_Care/AUP.shtml](http://www.uregina.ca/research/Animal_Care/AUP.shtml)

AUP forms are reviewed in March and October. All individuals wishing to engage in animal-related research must submit their application prior to the upcoming semester to receive approval.

Failure to submit the application form may delay the approval of a research project.

For more information and/or to download the instructions, please see the Office of Research Services website: [http://www.uregina.ca/research/Animal\\_Care/AUP.shtml](http://www.uregina.ca/research/Animal_Care/AUP.shtml)

#### **6.3.4 Annual Renewal**

Applicants who previously received approval from the PCAC are asked to submit a completed Annual Review of Animal Utilization Proposal ([http://www.uregina.ca/research/Animal\\_Care/Annual\\_Review\\_Form-2007.doc](http://www.uregina.ca/research/Animal_Care/Annual_Review_Form-2007.doc)).

This completed report must be submitted annually to the Office of Research Services to maintain the approval of the AUP.

Failure to submit the proposal will automatically revoke the AUP approval.

Applicants that conduct research longer than four years must submit a new AUP application to the Office of Research Services to re-affirm their previous approval.

For more information, please visit the Office of Research Services website or contact the Senior Research Officer.

#### **6.4 Bio-safety and other Department of Health, Safety and Environment Information**

Please refer to Section 10 (forthcoming).

#### **6.5 Environmental Assessment (EA)**

For any research involving field work or research that could have an adverse affect on the environment, funding agencies will request clearance before the research can proceed. The Canadian Environmental Assessment Act (CEAA) obliges all federal departments and agencies, including the Tri-Councils, to review proposals for potential impacts on the environment. It recognizes the use of EA as an effective means of integrating environmental factors into planning and decision-making processes in a manner that promotes sustainable development. Therefore, any proposal submitted to a funding agency will be required, as part of the application, to include EA details if any of the research is to take place outside an office or laboratory.

Based on the CEAA Pre-Screening Checklist, the sponsor will determine whether a "screening" will be required in accordance with CEAA and will work with the Principal Investigator and the University to see that all necessary steps are taken and, if deemed appropriate, the research is approved.

Funding will only be released to a researcher once an environmental assessment has been conducted and approved.

For further information, please see the "Tri-Council MOU - Schedule 5: Environmental Assessment": [http://www.nserc.gc.ca/institution/mou\\_sch5\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch5_e.htm) and also the CEAA website: [http://www.ceaa-acee.gc.ca/index\\_e.htm](http://www.ceaa-acee.gc.ca/index_e.htm)

## 6.6 Other External Research Facilities

For any research funding whereby external facilities will be used, a letter from that external facility is required, prior to funds being released to a researcher. Examples of external facilities include, but are not limited to, the following:

- First Nations Band Council
- Regina Qu'Appelle Health Region (RQHR): [http://www.rqhealth.ca/programs/research/clinical\\_research.shtml](http://www.rqhealth.ca/programs/research/clinical_research.shtml)
- Regina School Board
- Saskatoon Health Region: [http://www.usask.ca/research/ethics\\_review/shr.php](http://www.usask.ca/research/ethics_review/shr.php)
- University of Saskatchewan: [http://www.usask.ca/research/ethics\\_review](http://www.usask.ca/research/ethics_review)

As well, if ethics approval is required, the external facility must review and approve all applications prior to the commencement of research. Once approval is in place, please contact the Office of Research Services office to release funding.

For further information, please contact the Senior Research Officer at the University of Regina.

## 6.7 Field Research Safety

The following Travel and Fieldwork Safety Policy provides information on procedures and related information that may affect the health and safety of employees or students. Please refer to the following URL for information:

<http://www.uregina.ca/presoff/vpadmin/policymanual/hr/2010570.shtml>

## 7 FINANCES

### 7.1 Financial Services and Supply Management Services

#### 7.1.1 Financial Services

Financial Services performs the following functions:

- All of the University's basic day-to-day accounting functions;
- Preparation of financial statements and reports;
- Analysis of financial information and preparation of reports;
- All insurance and risk management functions;
- Maintenance of the University's fixed assets;
- Cash flow projections and the management of the University's working capital;
- The administration of all research and special purpose accounts;
- The administration of over 600 trust and endowment accounts;
- Payment of all University scholarships and;
- Provision of reporting systems to faculty and staff.

For more information please see: <http://www.uregina.ca/fs>

#### 7.1.2 Supply Management Services

Supply Management Services has responsibility for the following functions and activities:

- Procurement service for goods and services required by the University
- Tendering (Competitive Bidding Process) and contract services \ maintenance
- Travel management (air, hotel, car rentals, CVA pool vehicles)
- Purchasing card and travel card programs
- Disposal program for all University owned assets
- Microsoft and Adobe Site License Programs
- Custom clearance of goods purchased outside Canada
- APEA and personal computer purchases
- Consultative procurement services - discussions of product / service requirements

For more information please see: <http://www.uregina.ca/sms/index.shtml>

### 7.2 University's Account Structure

#### 7.2.1. Fund, Organization, Account, Program, Activity, Location (FOAPAL)

FOAPAL is the account structure used by the University's finance system. There are six parts to the account structure, but not all are used:

**Fund:** uniquely identifies each project. All research funds are five or six digits long and the number begins with the number two (e.g., 20021, 24541 or 252058).

**Organization:** identifies the faculty or department who manages the fund. For a researcher, this code will generally indicate the home faculty or department, but it could also indicate a research centre or institute. The organization code is a four digit number.

**Account:** describes the expense or revenue being charged or deposited to the fund. The account code will vary for each transaction against the fund. Account codes are four digit numbers. A list of commonly used accounts may be found at:  
[http://www.uregina.ca/fs/documents/common\\_accounts.pdf](http://www.uregina.ca/fs/documents/common_accounts.pdf)

**Program:** although this code is a required part of the FOAPAL, the University does not use it. Fund managers generally do not need to give the program code when charging expenses to a fund.

**Activity:** this code is used by some faculties or departments to group transactions. Please ask the Faculty Administrator or Department Head if activity codes should be used.

**Location:** this code is not used by the University.

### 7.2.2 Research Funds

Research funds are the record-keeping mechanism used to track revenues and expenditures related to research grants or contracts. Research funds are created upon the approval of the Office of Research Services and adhere to fixed terms. All research fund balances are carried to the next fiscal year and residual funds are handled as per the grant or contract. Research funds are terminated upon the completion of research or when funding has ceased.

All money received by researchers through donations, grants, contracts, or other sources must be deposited by Financial Services.

There are additional types of funds besides research funds. A description can be found at:  
<http://www.uregina.ca/fs/documents/COA/fundDefinitions.pdf>

### 7.3 Opening a Research Fund

The Office of Research Services must approve the creation of every research fund. It is the responsibility of the Office of Research Services to ensure that the terms and conditions of each fund conform to University Policies and Guidelines:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/index.shtml>

The Office of Research Services must also approve any renewals or extensions of existing research funds.

Unless approved by the Vice-President (Research and International), only faculty members (including emeriti and adjunct professors), professional research personnel and continuing staff members may administer research funds. An exception is for CIHR doctoral award recipients, where CIHR policy states the "awardee" must be in charge of the research allowance. Otherwise, students requiring funds may only have accounts created in the name of their supervisor and the supervisor must agree to take full responsibility of the fund on behalf of the student.

Award notices from CIHR, NSERC and SSHRC are normally sent to the Principal Investigator, the Office of Research Services and Financial Services. Practices of other granting bodies vary and

a copy of the award notification, if sent only to the Principal Investigator, should be forwarded to the Office of Research Services. The opening of a research fund prior to receipt of an award letter requires special permission from the Director of the Office of Research Services or their designate.

The Office of Research Services ensures all grants and contracts meet the required ethics approval, animal care review, or other necessary approvals.

If the University agrees to the conditions of the grant / contract, a memo will be issued to Financial Services to open a fund in the name of the Principal Investigator. Once Financial Services has created this fund, the Principal Investigator will receive a confirmation of the new fund via email from Financial Services. The email will contain the fund and organization codes needed to charged expenses to a FOAPAL.

## **7.4 Administering a Research Fund**

### **7.4.1 Responsibilities of the Fund Manager**

Every research fund will have one person named as the fund manager. When there is a group of researchers responsible for a project, one person must be named as the fund manager. This is usually the Principal Investigator.

The fund manager must notify the Office of Research Services of any changes in academic status and/or changes in project responsibility. The Office of Research Services shall inform Financial Services of all status changes. Fund managers are responsible for all of the transactions to research funds in their name, and are obligated to review them on a timely basis. Any errors, including the absence of expected transactions, are to be reported to Financial Services for correction.

Fund managers may be held personally liable for overspending their research funds. Please see Section 7.4.4 below for more information about overspending.

### **7.4.2 Checking the Fund Balance / Examining Transactions**

Principal Investigators can view all transactions posted to their FOAPAL by using the FAST (Financial Administration Support Tool) Reporting System.

To obtain the balance of a research account, please see:  
<http://newt.cc.uregina.ca/fast/>

For directions on how to use FAST please see:  
<http://www.uregina.ca/fs/fast/research.shtml>

### **7.4.3 Eligibility of Transactions**

It is the responsibility of the fund manager to ensure each expense is eligible according to the granting or contracting agency regulations. Each expense must also be allowable under University policy.

Federal regulations for CIHR, NSERC and SSHRC grants can be found at:  
[http://www.nserc.gc.ca/professors\\_e.asp?nav=profnav&lbi=f3](http://www.nserc.gc.ca/professors_e.asp?nav=profnav&lbi=f3)

#### 7.4.4 Overspending

As a general rule, overspending is not allowed. It is permitted in the following two situations:

- 1) For multi-year grants, fund managers may overspend to a maximum of 10% of next year's installment.
- 2) For contracts, fund managers may overspend to a maximum of the sum of the next two invoices due from the sponsor.

Exceptions to the above rules may be granted with approval from the respective Dean, Vice-President (Research and International), and Financial Services.

Fund managers may be held personally liable for overspending their funds.

Please see the following policy for details about overspent funds:

<http://www.uregina.ca/presoff/vpadmin/policymanual/research/1402515.shtml>

### 7.5 Charging Expenses to a Research Fund

#### 7.5.1 Collecting Revenue and Invoicing

All research revenue must be deposited by Financial Services into the research fund. If an individual receives a cheque directly from the research sponsor, forward it to Financial Services.

If the research sponsor requires an invoice to release payment, contact Financial Services. Financial Services will issue an official University of Regina invoice and will send the fund manager a copy of the invoice. Do NOT create any personal invoices.

#### 7.5.2 Methods of Charging Expenses

The following methods are ways that expenses may be charged to a research funds. The type of expenditure (see Section 7.5.3) often dictates which method should or can be used.

- 1) Requisition / Purchase Order / Invoice: a requisition must be prepared by the respective Department of Faculty for all expenses over \$2,000. Prior to the requisition stage, consideration must be given to the required process for securing any goods and/or services that may need to comply too the Tendering Policy managed through Supply Management Services.
- 2) Direct pay invoice: certain types of expenses do not need a requisition and purchase order. To pay these expenses, write the FOAPAL number on the invoice and sign the invoice. Forward the original invoice to Accounts Payable in Financial Services and the invoice will be paid. This method works for: subscriptions, memberships, translations, courier charges, Aramark Food Services, University Club, Custom and Duty Charges, registration fees, and any invoice below \$100.
- 3) Reimbursement claim: are completed when an individual has paid for expenses, with their own money, and would like to be repaid by the University. Typically, reimbursement claim forms are used for travel expenses. Faculty members cannot use

a reimbursement claim to purchase equipment over \$2,000 or computer equipment over \$500. The Reimbursement claims form can be found at:  
<http://www.uregina.ca/fs/forms.shtml>

4) Purchase card (Pcard): through Supply Management Services, a University of Regina employee may request a purchase card to charge expenses. The purchase card or Pcard is used like a regular credit card with a maximum transaction limit of \$2,000.00 (which includes applicable taxes) and a default monthly limit of \$10,000.00. Each month Pcard users must review their charges and attach all original receipts to their statement. Each charge must identify which FOAPAL should be charged. The statement and original receipts must be forwarded to Accounts Payable for payment. Additional information about the Pcard may be found at:  
<http://www.uregina.ca/sms/pcardpol.shtml>

5) Internal stores: goods and services can be purchased at any of the internal stores on campus by simply giving a FOAPAL. The stores include Bookstore, Printing Services, Science Stores, Engineering Workshop, Facilities Management, and Computing Services Stores.

6) Petty Cash: if an individual has a small expense (under \$50), they can ask their Faculty or Department to reimburse them from the petty cash fund. The Faculty will also require a FOAPAL to charge the expense.

### 7.5.3 Types of Expenses

It is the responsibility of the fund manager to ensure each expense is eligible according to the granting or contracting agency regulations. Each expense must also be allowable under University policy.

Federal regulations for CIHR, NSERC and SSHRC grants can be found at:  
[http://www.nserc.gc.ca/professors\\_e.asp?nav=profnav&lbi=f3](http://www.nserc.gc.ca/professors_e.asp?nav=profnav&lbi=f3)

- Several types of expenditures are dealt with other sections of this manual.  
**Renovations** - see section 8;
- **Equipment Purchases** - see section 9;
- **Chemicals** - see section 10;
- **Salary and Wages** - see section 11; and
- **Travel** - see section 12.

Several other types of expenditures have special rules or hidden costs that individuals should be aware of:

- **Custom and duty charges:** purchases of goods from outside of Canada may also initiate customs or duty charges.
- **Self-assessment of GST:** the University is required to self-assess GST on any goods purchased outside of Canada.
- **Self-assessment of PST:** the University is required to self-assess PST on any goods purchased outside of Saskatchewan.
- **Food:** food for all functions on campus must be purchased through Food Services.

- **Animals:** any purchases of animals must be approved by the Animal Care Committee (see Section 6).
- **Payroll benefits:** when a person on a wage or salary is hired, the University must contribute to the Canadian Pension Plan and Employment Insurance (on top of what is deducted from the employee's pay cheque). These contributions will be charged to their fund.
- **Research participants:** Financial Services should be contacted if an individual is planning to give research participants money or a small gift for participating in a survey (see also Section 11).

#### 7.5.4 GST Rebate

The University receives a 67% rebate from the Federal Government on all GST paid on expenses. This rebate will automatically be deposited to the recipients' fund at the same time the expense is processed.

In certain situations the rebate percentage may change. For example, if an individual is hosting a conference, the associated FOAPAL may have a 100% rebate. For more information, please contact Financial Services about GST Rebates.

### 7.6 Transferring Funds

A transfer of funds normally occurs when a Principal Investigator (PI) or lead researcher, in direct receipt of research funds, transfers some or all of those funds to another institution to facilitate research collaboration between the fund holder and the co-researchers.

For more information, please contact the Office of Research Services or download the "Tri-Council MOU - Schedule 9: Transfer of Funds from a Primary Institution to a Secondary Institution": [http://www.nserc.gc.ca/institution/mou\\_sch9\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch9_e.htm)

#### 7.6.1 Internal Transfers (within the University of Regina)

If an individual is a PI on a research grant and would like to transfer funds to a co-investigator(s) at the University of Regina, the following procedure applies:

1. Contact the Office of Research Services to discuss details of the transfer. Required information will include: project title, start and end date for transfer of funds, co-investigator(s) name, amount to be transferred, and financial reporting details.
2. The Office of Research Services provides the PI with a sub-grant agreement letter for verification.
3. The Office of Research Services signs two original copies and submits to the co-investigator for signature.
4. The co-investigator and their Department Head / Dean sign the transfer letters and return one to the Office of Research Services.
5. The Office of Research Services sends a copy of signed letter to PI and to Financial Services. A file is created for the co-investigator and a memo is sent to Financial Services to create a new FOAPAL and release payment from the PI's account.
6. For multi-year projects an annual renewal letter must be sent (follow steps above).



### **7.6.2 External Transfers (from the University of Regina to another Institution)**

If an individual is the Principal Investigator (PI) on a research grant and would like to transfer funds to a co-investigator(s) outside of the University of Regina, the following procedure applies:

1. Follow steps 1 - 2 as outlined in section 7.6.1
2. The Office of Research Services signs on behalf of the University and forwards letters to the Office of Research Services office at the co-investigator's institution.
3. The co-investigator and their institution's designate sign transfer letters and return one to the University of Regina.
4. The Office of Research Services sends a copy of signed letter to PI and to Financial Services. A memo is sent to Financial Services to release payment from the PI's account.
5. For multi-year projects an annual renewal letter must be sent (follow steps above).

### **7.6.3 From another Institution to the University of Regina (co-investigator)**

If an individual is a co-investigator on a grant and the Principal Investigator (PI) based at another institution would like to transfer funds to the University, the following procedure applies:

1. Co-investigator (at University of Regina) contacts the Office of Research Services to notify of pending transfer.
2. The Office of Research Services is contacted once the PI's institution initiates a transfer agreement (dependant on institution's policy and funding agency requirements).
3. In most cases, the co-investigator signs letter and submits to the Office of Research Services.
4. The Office of Research Services signs on behalf of the University and forwards one signed copy back to the PI's institution.
5. PI's institution issues a cheque to the Office of Research Services at the University of Regina on behalf of the co-investigator.
6. Once the cheque is received, a new account will be authorized from the Office of Research Services (see Section 7.3). The co-investigator will receive a confirmation of new account notification via campus mail from Financial Services.
7. For multi-year projects an annual renewal letter must be sent (follow steps above).

### **7.6.4 From another institution to the University of Regina (new researcher)**

If an individual is transferring to the University of Regina from another institution, there are a number of items that are required before arrangements can be made to transfer the grant funding. For each project, the University requires the following procedure:

- Contact the Office of Research Services to discuss details of the transfer. Required information will include:
  - Documentation from the sponsoring agency approving the transfer of funds to the University of Regina and indicating the terms and conditions of the award.
  - A copy of the original proposal which is limited to the front page, signature page (if different from the front page), summary or abstract of research

- proposal, all budget pages including justification and any documents relating to matching funds or collaborations.
- o Appropriate University signatures on the original proposal; PI, Department Head and the Dean's Office (where applicable). Please note these signatures may appear on a separate page.
- For any Tri-Council funding, the transfer of funds will follow the guidelines outlined in the "Transferring Grant(s) to an Eligible Canadian Institution":  
[http://www.nserc.ca/professors\\_e.asp?nav=profnav&lbi=f5](http://www.nserc.ca/professors_e.asp?nav=profnav&lbi=f5)

Fund will be authorized as per Opening of a Research Fund (see Section 7.3)

## 7.7 Closing of Research Funds

The closing of a Research Fund typically occurs when:

- The project has been completed;
- The Research Fund is at a zero balance and no further installments are expected;
- The term of the grant (end date) has passed; and/or
- The grant has been terminated.

When any of the above occurs, the Principal Investigator must notify the Office of Research Services.

The Office of Research Services will ensure that all of the terms and conditions have been met and will undertake any procedures required for termination.

The Principal Investigator, in consultation with Financial Services and/or the Office of Research Services, will ensure that all financial transactions associated with the project are appropriately recorded prior to the closing of the Fund. Upon termination, any remaining balance will be treated as per the terms and conditions of the grant or contract and the Research Fund will be closed.

## 7.8 Financial Reporting

Most research grants and contracts require that the University submit regular financial statements and reports to show how the grant or contract was spent. If an individual receives a request directly from a research sponsor, they should contact Financial Services.

Financial Services will prepare any required financial statements and will ensure it meets Generally Accepted Accounting Principles, which means any revenues and expenses are properly reported and will stand up to any subsequent audit by the research sponsor.

Financial Services will ensure any statement prepared is approved by the researcher before it is submitted to the sponsor.

For more information on financial reporting, please refer to the "Tri-Council MOU - Schedule 1: Financial Management": [http://www.nserc.gc.ca/institution/mou\\_sch1\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch1_e.htm)

## 7.9 Audits

### 7.9.1 External Audits

The University is increasingly visited by a wide variety of auditors and financial monitoring teams to financially review selected research projects.

These visits have two main objectives:

- To ensure that agency rules are being followed and that funds are being used properly (i.e. according to the budget and eligible expenses);
- To ensure that the financial transactions included in the agencies' financial records based on our information are sound.

Researchers with projects selected for audit should contact the Office of Research Services and Financial Services immediately.

The Office of Research Services will provide auditors with requested files; Financial Services will prepare all requested financial documentation for the visiting auditors. However, the visiting auditor may still wish to interview researchers directly.

**Tips for interviews:**

- Keep in mind the objectives of the auditors;
- Answer all questions as accurately and as succinctly as possible;
- Don't provide extra details. Audits are usually undertaken in compressed timescales so do not waste the auditor's time.

If an audit is conducted and expenditures have been recognized as ineligible, the Principal Investigators will be held responsible for covering these costs from other sources. Questions relating to the audit of research funds should be addressed to the Office of Research Services or to Financial Services.

### 7.9.2 Internal Tri-Council Audits

As a result from a Tri-Council audit (i.e. NSERC, SSHRC and CIHR), Financial Services has begun to conduct a monthly sample audit on all Tri-Council grants. A fund manager may be contacted by Financial Services if there is question about the eligibility of a transaction. It is the fund managers' responsibility to ensure all transactions posted to a fund not only meet the University's regulations, but the research sponsors as well. Tri-Council regulations can be found at:

[http://www.nserc.ca/professors\\_e.asp?nav=profnav&lbi=toc\\_fin](http://www.nserc.ca/professors_e.asp?nav=profnav&lbi=toc_fin)

## 8 FACILITIES

### 8.1 General Information

#### 8.1.1 Facilities Management:

##### **Mission Statement**

Facilities Management is responsible for the design, construction, maintenance and operation of the physical assets of the University of Regina in a cost-effective and service-oriented manner in support of the academic goals of the University.

##### **Basic Policy**

Any and all changes or additions to the physical facilities of the University are to be coordinated and executed under the direction and responsibility of Facilities Management.

For more information, please see: <http://www.uregina.ca/physplnt>

### 8.2 Planning, Design and Construction

The Planning, Design and Construction (PDC) unit within Facilities Management is responsible for three main activities:

1. The planning, design, and construction of new facilities and additions or renovations to existing facilities. These projects fall into the categories of operating and capital projects based on the funding source. Operating projects are building modifications brought forward by faculties and departments to meet operational needs of the unit and are typically paid for by the unit. Capital projects are typically funded centrally and involve additions, infrastructure upgrades, new buildings, and major renovations. Facilities Management project management staff is responsible for the selection and management of external design consultants (architectural, engineering, interior design, and specialist consultants), coordination and collaboration with internal design and operations resources, and selection and management of contractors to complete all work on buildings and assets of the University.
2. The development and implementation of consistent and sustainable design standards that provide a safe, comfortable and productive learning environment to optimize life cycle costs and maximize sustainability through the efficient use of resources and reduction of the environmental impact of the facilities and related operations. In addition, the PDC group maintains "As-Built" record drawings and maintenance manuals, and Space Inventory data for all University physical assets (buildings and infrastructure).
3. The development and maintenance of the Campus Master Plan, development and management of the Department's annual and five year rolling capital programs and capital budget submissions, and leading and managing the University's space allocation process.

In addition to planning, design and construction services associated with operating and capital projects, PDC will assist the faculties and departments with furniture layouts and installations, signage, space information, building, and site information.

For more information, please see: <http://www.uregina.ca/phyplnt>

### 8.2.1 What is a project?

A project consists of the following characteristics:

- Performed by people;
- Constrained by limited resources;
- It is temporary;
- Planned, executed, and controlled;
- Produces a unique product or service.

For more information, please contact Facilities Management staff or visit their website:  
<http://www.uregina.ca/phypInt>

### 8.2.2 Space Allocation

Space requests are made directly to the Manager of Planning. The planning team collaborates with the client to review goals and objectives, and create scenarios that optimize space efficiency, consolidation, and budget. One or more of these scenarios are presented to the Senior Leadership Team (SLT) for review and feedback. After review and possible enhancement of the proposed scenario(s), the proposal is presented to the Space Allocation Committee (SAC) for a final decision.

The following principles are used as a guideline in administering space allocation:

1. All space is owned by the University and assigned for a definite or indefinite period of time to academic or administrative units.
2. The University has the sole responsibility to allocate space.
3. Space must be allocated equitably among users.
4. Space must be used effectively.
5. The Facilities Management Department collects data on requirements, determines the needs, assesses competing interests, builds consensus where possible, and provides a recommendation on the allocation of space.

### 8.2.3 Simplified Sequence of Design and Construction

The sequence of the design and construction of operating capital projects provided below give a brief description of the step-by-step process. Individuals seeking additional information are encouraged to contact Facilities Management.

Operating Capital Project Sequence:

- Project request from Faculty/Department to the Manager of Planning.
- Assignment of Project Manager.
- Creation of Project Statement, defining preliminary scope, schedule and budget. - Client approval.
- Design development, budget and schedule estimates - Client approval.
- Working drawings, specifications, and tender documentation - Client approval.
- Tender and award - Client approval.
- Construction.
- Substantial Completion and Occupancy.
- Total Completion.

### 8.3 Construction Tenders

#### Construction and Renovation Projects

Facilities Management initiates and manages all new construction and renovation projects. This includes the selection, contracting, and management of all external design consultants, general contractors, sub-contractors and suppliers.

The Facilities Management Project Manager will determine the purchasing format for both design and construction services to best suit the nature of the work, current market conditions, and the requirements and constraints of the Client.

The cost of projects that are deemed “chargeable” is recovered from the initiating Department. There are a number of project costs that faculties and departments must pay that are related to every project. These costs are actual expenses incurred in the design and delivery of the project. Examples of these costs are as follows:

1. **Construction Costs:** Construction costs include the labour, material, equipment, and contractor work required to complete the actual work. These costs typically originate from multiple sources:
  - a. External general contractor and trade contractors who have been contracted by Facilities Management to carry out work on the project. Invoices are received from these companies and are an integral part of the construction costs.
  - b. Facilities Management trades employees such as electricians, carpenters, plumbers, and other trades required to carry out work to complete the project, or to coordinate work with the contractors. Time and material usage is tracked and charged to the project at the rates described in the “In-house Resources” section: <http://www.uregina.ca/physInt/htmlservices.shtml#inhouse>
2. **Design Costs:** The cost of design work required to confirm client requirements and provide contract documents is a project expense. External design firms are normally contracted to provide these services and they bill Facilities Management for their time and disbursements. Each project will pay the actual costs of these services. When Facilities Management design staff provides design for chargeable projects, the costs of that service will be charged to the project. During the preliminary phases of projects, budgeting for design services will be based on an industry standard percentage as the most accurate form of estimating. For a typical interior renovation project the typical design expense is 12-15% of the total project cost. The amount ultimately billed to the Project will be the direct expense incurred (consultant and in-house designers) without any mark-up.
3. **Contingency:** Contingency funds are always included in projects and vary relative to the information available at the time of budgeting. In the preliminary stages of a project where little information is available the contingency will typically be 25% of design and construction costs. When working drawings are complete and the tender is being prepared the contingency is about 15%. Once all the work is tendered the construction contingency can be reduced to 3-5% of the known construction and design costs. The contingency amount is an estimate for budgeting purposes only. Only actual costs will be charged to the Project.
4. **Project Management and Costs:** Management of projects is required to ensure quality, schedule, and costs are in line with the objectives of the project and the client’s expectations. For all projects a Facilities Management Project Manager will

be assigned to lead the design and construction work. No fees are applied to projects to cover staff costs and disbursements.

### 8.3.1 Construction Tendering Policy

The construction and maintenance of facilities are defined in the Construction Tendering Policy:

<http://www.uregina.ca/presoff/vpadmin/policymanual/purchasing/4020.html>

### 8.3.2 Construction Contractor - Health and Safety Policy

All construction work at the University of Regina must be in compliance with the *Occupational Health and Safety Act and Regulations* and University of Regina policies, procedures and requirements. To ensure contractors work in a safe manner and meet the requirements, the University has developed the following guidelines:

[http://www.uregina.ca/hr/OH&S/Policies\\_Programs/Construction\\_Contractor\\_Health\\_Safety\\_Policy.htm](http://www.uregina.ca/hr/OH&S/Policies_Programs/Construction_Contractor_Health_Safety_Policy.htm)

## 8.4 Use of Facilities / Departing Researchers

Please refer to Sections 2.14 and Section 7.7

## 8.5 Ownership of Facilities

The ownership of equipment and facilities purchased with Tri-Council grant funds adhere to the guidelines set out in the "Tri-Council MOU - Schedule 12: Ownership of Equipment and Facilities": [http://www.nserc.gc.ca/institution/mou\\_sch12\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch12_e.htm)

## **9 EQUIPMENT: PURCHASE AND USE**

### **9.1 Purchase of University Equipment**

#### **9.1.1 Purchasing Policy**

The purpose of this policy is to promote the University of Regina's accountability for its use of public funds in the acquisition of goods and services within the University's objectives and mission statement; to establish guidelines which all University departments must adhere to for the acquisition of goods and services; and to outline the role, responsibility and commitment of Supply Management Services in assisting University faculties and departments to acquire value-added, appropriate, institutional quality goods and services that meet immediate and long-term needs for the best overall value with minimum impact on the environment.

To view the Purchasing Policy, please see:

<http://www.uregina.ca/presoff/vpadmin/policymanual/purchasing/4001.html>

#### **9.1.2 Tendering (Competitive Bidding Process) Policy**

It is the policy of the University to acquire needed goods and services in such a manner as to obtain maximum value for each dollar disbursed, subject to the terms and conditions set forth by the University, its donors, grantors, and government agencies. The University is committed to a fair and open competitive tendering policy for all interested, qualified suppliers. This objective will be achieved by the use of informal and formal tender documentation obtained and executed by Supply Management Services, which is authorized to enter into contracts, agreements and purchase orders that bind the University to the terms thereof, for goods and services, and to conduct this process in a publicly accountable manner. The policy also provides staff and faculty with guidelines to receive competitive pricing and best overall value in a manner that meets current legislation, and is in accordance with the resolutions of the University and its Board of Governors.

To view the Tendering Policy, please see:

<http://www.uregina.ca/presoff/vpadmin/policymanual/purchasing/4005.html>

#### **9.1.3 Policy Regarding Equipment Lease versus Buy**

To view the University of Regina policy on Equipment Lease versus Buy, please see:

<http://www.uregina.ca/presoff/vpadmin/policymanual/purchasing/4011.html>

#### **9.1.4 CFI Purchasing Procedure**

To view the University of Regina's CFI Purchasing Procedures please see:

<http://www.uregina.ca/sms/cfipro.shtml>



### 9.1.5 Purchase of Computers for Personal Use

The University allows employees to borrow money against future payroll to purchase computers for personal use. Computers purchased under this program are the property of the employee. For more information please see the following policy:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/301510.shtml>

### 9.1.6 Purchase of Computers from Accountable Professional Expense Account (APEA)

The University allows employees with APEA funds to borrow against future APEA installments to purchase computers. Computers purchased under this program remain the property of the University.

For more information please see the following policy:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/301505.shtml>

## 9.2 University Contracts

Supply Management Services develop and maintain a number of contracts that impact the University, and its operation. To view the most common and generally used contracts, please consult the Supply Management Services website and select contracts from the left hand menu:  
<http://www.uregina.ca/sms>

For any other contract or contract related questions please contact Supply Management Services for clarification.

## 9.3 Use of University Equipment

### 9.3.1 The Fixed Asset Database

The University has created a fixed asset database to track certain pieces of equipment to conform to Canadian accounting standards. The database is maintained by Financial Services. Financial Services currently tracks the following types of assets:

- Computer and audio-visual equipment greater than \$500;
- Other equipment (including furniture, lab equipment, general equipment, musical instruments, and vehicles) greater than \$2,000; and
- Software greater than \$10,000.

All assets in the fixed asset database are given a barcode sticker with a unique number to identify the asset. Some examples of barcodes are A006911 or A053789.

Some computers and monitors are given a barcode in a different format (i.e., EV06216 or EV01789) that indicate they are part of Information Services Evergreen program.

Financial Services conducts regular asset counts to ensure the database remains accurate. Faculties and departments are counted on a three year rotation, meaning each University asset is counted once every three years.

### 9.3.2 New Assets

All assets purchased with University money (including general operating, APEA's, research grants or contracts, trust or capital) are the property of the University. (<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/3075.shtml>)

If the assets are above the value thresholds listed above, the asset must be included in the fixed asset database. Financial Services will contact users to collect information about the asset and provide a barcode to place on the asset. To submit the necessary information, please download the following web form: [http://www.uregina.ca/fs/fixed\\_assets/fixed\\_asset\\_form.html](http://www.uregina.ca/fs/fixed_assets/fixed_asset_form.html)

### 9.3.3 Location or User Changes

If the location of an asset changes or the asset manager is no longer responsible for the asset, the new asset manager must submit the changes to Financial Services. They can use the following web form to submit the necessary information: [http://www.uregina.ca/fs/fixed\\_assets/fixed\\_asset\\_form.html](http://www.uregina.ca/fs/fixed_assets/fixed_asset_form.html)

If an asset will be taken off of the University Campus, the asset manager should complete the Declaration Regarding Use of University Property Off Campus Form and submit it to Financial Services. The form can be found at: <http://www.uregina.ca/presoff/vpadmin/policymanual/declaration-egt.html>

The policy governing location changes can be found at: <http://www.uregina.ca/presoff/vpadmin/policymanual/fs/307008.html>

### 9.3.4 Disposal of Assets

If an individual wishes to dispose of an asset, they must submit the asset information to Supply Management Services. Supply Management Services may post the asset on the salvage list. The procedure is outlined on the following webpage: <http://www.uregina.ca/sms/salvprod.shtml>

Individuals can submit assets to the salvage list using the following form: <http://www.uregina.ca/sms/salvapp.shtml>

If an individual is leaving the University, they have the option of purchasing assets that have used during their employment at fair-market value subject to the necessary approvals. Otherwise, all assets in that individuals' possession must be returned to the University. The procedures are outlined in the following policy: <http://www.uregina.ca/presoff/vpadmin/policymanual/hr/209010.shtml>

If an individual is transferring to a new University, they may take the assets purchased with Tri-Council grants (i.e., NSERC, SSHRC or CIHR) with them. One exception is assets purchased with NSERC equipment grants (i.e., Research Tools and Instruments), which must remain the property of the University of Regina.

The policies governing asset disposal can be found at the following URLs: <http://www.uregina.ca/presoff/vpadmin/policymanual/fs/307006.html>  
<http://www.uregina.ca/presoff/vpadmin/policymanual/hr/209010.shtml>

### 9.3.5 Insurance

#### University Property - Insurance

According to Article 23.7.2 from the *URFA Collective Agreement 2005-2008*:

“If there is no negligence on the part of the academic staff member, a member shall not be held responsible for damage to University property which occurs while the member is using that property, when carrying out her/his normal University duties.”

[http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)

The following policy provides a summary of the insurance coverage at the University of Regina: <http://www.uregina.ca/presoff/vpadmin/policymanual/fs/302005.html>

### 9.4 Ownership of Equipment

The ownership of equipment and facilities purchased with Tri-Council grant funds adhere to the guidelines set out in the “Tri-Council MOU - Schedule 12: Ownership of Equipment and Facilities”: [http://www.nserc.gc.ca/institution/mou\\_sch12\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch12_e.htm)

### 9.5 Computers

#### 9.5.1 Use of Computers

The University Policy Governing the Use of Campus Computing, Network and Other Information Resource Facilities can be found at:

<http://www.uregina.ca/presoff/vpadmin/policymanual/compserv/15010.html>

#### 9.5.2 Computing Resources

##### 9.5.2.1 Overview of Services

The major services provided by Information Services fall under the following categories:

- i. Network Services: for network and internet access:  
<http://www.uregina.ca/compserv/network>
- ii. Communication services
- iii. Administrative and instructional server support
- iv. PC Equipment Provisioning, Evergreen Policy. See:  
[http://www.uregina.ca/presoff/vpadmin/policymanual/compserv/Evergreen%20Procedures%20251006\\_.pdf](http://www.uregina.ca/presoff/vpadmin/policymanual/compserv/Evergreen%20Procedures%20251006_.pdf)
- v. Research computing support

When issues in these categories need to be addressed, individuals can contact departmental or faculty support staff who will contact Information Services or one can use a browser (e.g., Firefox, Internet Explorer) to access the IT Support Centre web page, <http://www.uregina.ca/compserv/ITSC>. The web

page provides links to various computer-related services. One of these is an online form which can be used to request repair/assistance/action for an IT issue; the submission, referred to as a ticket, will be passed on to the appropriate person to address the issue.

### 9.5.2.2 Computing Services User Manual

Besides the IT Support Centre web page, Computing Services also has a comprehensive User Manual at:

<http://www.uregina.ca/compserv/support/userman.shtml>

### 9.5.2.3 Computing Resource Usage

For some, a desktop computer provided through the Evergreen process will be capable of providing all the computing resources needed for their research. However, others will require more. Where this demand may have a significant impact on the university's computing resources, please inform the department's or faculty's programmer/analyst or the Research Server Support Manager in Information Services. The goal is to determine the impact of the computing activity at the intended location and any accommodations needed.

Any costs incurred due to the installation of computing and networking equipment, aside from the Evergreen program, will have to be covered by research grants or contracts.

Normally researchers do not pay for computing time unless external suppliers are utilized.

### 9.5.3 Software:

#### 1. Product Pricing:

To obtain a price on Microsoft Software Products or other computer software, please contact Supply Management Services or visit the following URL:

<http://www.uregina.ca/sms>

#### 2. Installation request:

To request the purchase or installation of Microsoft Software Products, University of Regina personnel are required to complete the Microsoft Site License Request Form. This form is available at the following URL:

<http://www.uregina.ca/sms/msreqfrm.shtml>

#### 3. Computer Support :

To request computer support, activate the designated Groupwise account or subscribe to the University Campus Email Lists, please visit the following URL:

<http://www.uregina.ca/compserv/ITSC>

## 9.6 Limitation of Liability with respect to Non University Owned Data

The University of Regina provides access to computing, network and information resource facilities to faculty, staff and students to facilitate their work at the University. Each individual bears the responsibility of ensuring a current offsite backup exists for all non University owned data that they have stored or use within the University of Regina computing, network and information resource facilities.

Individuals are now made aware of the University of Regina's limitation of liability with respect to non University owned data.

With respect to non University owned data (personally owned data, records or communications), users by using the University's computing, network or other information resource facilities or services including but not limited to computers, servers, and related storage devices (The Services) acknowledge and agree that neither the University of Regina nor any of the University's governors, officers, employees, faculty members or representatives will be liable for any special, indirect, consequential, incidental, punitive or exemplary damages, or damages (including but not limited to damages for loss of profits or savings, loss or corruption of data, loss of use of data or a service, or loss of records) in connection with the user's use of The Services whether arising out of contract, tort or other basis.

Should the user not agree with this stated limitation of liability the user is required to immediately discontinue use of The Services for non University owned data. The user is further required to immediately remove all non University owned data, records, and communications from The Services.

For more information, please refer to the following University of Regina Policy:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/compserv/15015.shtml>

## 12 TRAVEL

### 12.1 Authorization for Travel

A Travel Authorization Request Form must be approved and received in Financial Services before any travel is to occur. The complete form signifies that the travel and any applicable amount of funding have been approved by your respective Department Head, Dean or Director. The complete form also covers the traveler under the University of Regina's Travel Insurance (see Section 12.5.3)

Please contact your Department Head, Dean or Director to receive information on internal submission deadline dates and/or approval protocol. The travel authorization regulations and form can be found at:

<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30050502.shtml>

### 12.2 University Corporate Travel Agent

The use of the corporate travel agent - Marlin Travel - Percy Hunt Travel Group Inc. - is preferred. For those who require assistance for domestic, trans-border and international bookings, Supply Management Services encourage and endorse the use of the preferred agency that represent the best overall value to the institute for travel arrangements through a travel agency.

As with any contractual arrangement, the terms of this relationship are periodically reviewed.

For information on the University Corporate Travel Agent, please see:

<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30050501.shtml> or

<http://www.uregina.ca/sms/travel.shtml>

### 12.3 Allowable Travel Expenses

#### 12.3.1 Travel Expense Regulations

Please refer to the following links for the rules of travel expenses. The reimbursement rates and rules are changed often, so they are not listed in this manual.

For information on general travel expenses, please review the Travel - Allowable Expenses Policy:

<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30051001.shtml>

For information on general travel personal automobile expenses, please review the Automobile Expenses/Mileage Rate Policy:

<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30051002.shtml>

#### 12.3.2 Granting Agency Regulations

When claiming travel expenses against a research grant, you need to ensure the expenses meet the University of Regina policies, but also the regulations of the granting agency. One should consult your respective funding agency website to determine eligible and ineligible expenses prior to submission of reimbursement claims to Financial Services.

Regulations for the Tri-Councils (i.e., CIHR, NSERC, and SSHRC) can be found at:  
[http://www.nserc.ca/professors\\_e.asp?nav=profnav&lbi=toc\\_fin](http://www.nserc.ca/professors_e.asp?nav=profnav&lbi=toc_fin)

### 12.3.3 Receipts Required

Receipts substantiate claims for reimbursement and provide documentation for procurement card purchases. All original receipts are required to ensure expenses have been incurred.

For more information on receipts, please review the Receipts Required to be Maintained Policy:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30051003.shtml>

## 12.4 Payment of Travel Expenses

### 12.4.1 Purchase Card

Travel expenses may be charged to your individual purchase card as you would any other expense. All rules about purchase cards still apply. Preference is given to the use of the Corporate Travel Card (see Section 12.4.2) for travel and travel related expenses, as it provides liability and insurance benefits not offered by way of the Pcard.

Information about Pcards can be found at:  
<http://www.uregina.ca/purchasing/pcardpol.shtml>

### 12.4.2 Corporate Travel Card

The University of Regina has an agreement with the Bank of Montreal, which provides a BMO Mastercard Corporate card to members of the University who travel on University business.

For more information about the insurance and liability benefits:  
<http://www.uregina.ca/sms/bmoben.shtml>

For more information about the corporate travel card:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30051004.shtml>

### 12.4.3 Reimbursement Claims

Most travel expenses are paid by the individual and the University later reimburses the individual by means of a reimbursement claim.

Reimbursement claim forms can be found at: <http://www.uregina.ca/fs/forms.shtml>

The complete form must include all original receipts and affiliated materials, and have approval from the Department Head, Dean or Director.

No individual is allowed to approve their own Reimbursement Claim Form. Claims are to be approved by the Department Head, Dean or Director who approved the Travel Authorization Request Form. Directors of research centres / institutes must forward all

reimbursement claim forms to the Office of the Vice-President (Research and International) for approval.

Reimbursement may be paid in the form of a cheque, direct deposit (see Section 12.5) or cash (when claim is less than \$75.00). To sign up for direct deposit fill out the Direct Deposit Authorization Form found at: <http://www.uregina.ca/fs/forms.shtml>

Individuals signed up for Direct Deposit, that do not select the cash or cheque option, will have their reimbursement provided via Direct Deposit. Direct Deposits will be run every Wednesday at 3:00 p.m. and will be present in the respective bank account on Friday morning.

#### **12.4.4 Travel advances**

Travel Advances (cash advances) are not normally provided. Only upon the recommendation of the appropriate Dean or Director, where unusual circumstances exist, a cash advance may be granted. Such a cash advance is to be requested through the Travel Authorization Request Form (see Section 12.1) and the approved form must be in Financial Services the Friday prior to the Friday the advance cheque is required.

To review the University - Travel Advances Policy, please see:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30050503.shtml>

### **12.5 Other University Travel Policies**

#### **12.5.1 Foreign Exchange Rates**

The exchange rate to be used is one that is reasonable in the circumstances, and should normally be substantiated by a bank slip or credit card statement, which indicates the cost of the foreign currency.

For more information, please review the policy on foreign exchange:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30051005.shtml>

#### **12.5.2 Travel Risk Reduction Policy**

If you are a member of the Senior Administration, please review the following policy about reducing the risk of travel and/or exposure to a catastrophic loss:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30050506.shtml>

#### **12.5.3 Travel Insurance and Out of Country Medical Coverage**

Travel insurance and out of country medical coverage is provided by the University no cost to the traveler when traveling on University business. The insurance is based on the departure and arrival dates listed on the Travel Authorization Request Form (<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30050502.shtml>)

University Insurance Coverage:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/fs/302005.html>

Extended Health Benefits:



<http://www.uregina.ca/hr/Benefits/Ac-Extended%20Health%20Benefits.pdf>

#### 12.5.4 Frequent Flyer Program

To view the policy on Frequent Flyer Programs and its use at the University, see: <http://www.uregina.ca/presoff/vpadmin/policymanual/fs/30050505.shtml>

#### 12.6 Traveler Safety

Whether traveling within Canada or abroad, University members must take every precaution to ensure their safety and the safety of their colleagues.

Prior to traveling abroad, University of Regina faculty and staff are strongly encouraged to consult the Department of Foreign Affairs and International Trade Canada website ([http://www.voyage.gc.ca/consular\\_home-en.asp](http://www.voyage.gc.ca/consular_home-en.asp)). This website features information that may be of particular interest to members traveling abroad, such as:

- Travel reports and warnings: <http://www.voyage.gc.ca/dest/ctry/reportpage-en.asp>
- Global issues: <http://www.voyage.gc.ca/main/sos/ci/all-en.asp>
- Country profiles: <http://www.voyage.gc.ca/dest/ctry/profiles-en.asp>

#### Registration

Individuals traveling to high-risk areas and/or residing in a foreign country for longer than three months are strongly encouraged to submit a registration form to the Department of Foreign Affairs and International Trade Canada (<http://www.voyage.gc.ca/main/sos/rocapage-en.asp>). This service is provided to ensure that travelers could be contacted and/or assisted in the event of an emergency in a foreign country (e.g., natural disaster or civil unrest) or a family emergency at home.

According to the Department of Foreign Affairs and International Trade Canada website, registration is voluntary. Personal information provided on the registration form is used in accordance with the *Privacy Act* (<http://laws.justice.gc.ca/en/P-21/index.html>). Under the *Privacy Act*, personal information may be disclosed in certain cases—for instance, where disclosure would clearly benefit the client, where the public interest clearly outweighs any invasion of privacy, or pursuant to a court order.

**Should a traveler decide not to register, it is strongly advised that the following arrangements are completed prior to departure:**

- Leave a detailed travel itinerary and contact details with family or friends in Canada;
- Provide family or friends with the telephone number of the Emergency Operations Centre (<http://www.voyage.gc.ca/main/sos/emergencies-en.asp>); and
- Carry the phone numbers for the Canadian government offices in the countries travelers plan to visit.

For more information on travel safety, please consult the Department of Foreign Affairs and International Trade Canada website or download the following documents:

- *Bon Voyage, But...* [http://www.voyage.gc.ca/main/pubs/bon\\_voyage\\_but-en.asp](http://www.voyage.gc.ca/main/pubs/bon_voyage_but-en.asp)
- *Dual Citizenship*: [http://www.voyage.gc.ca/main/pubs/dual\\_citizenship-en.asp](http://www.voyage.gc.ca/main/pubs/dual_citizenship-en.asp)
- *Her Own Way*: [http://www.voyage.gc.ca/main/pubs/her\\_own\\_way-en.asp](http://www.voyage.gc.ca/main/pubs/her_own_way-en.asp)

- *Traveler's Checklist*: <http://www.voyage.gc.ca/main/before/checklist-en.asp>
- *Working Abroad*: [http://www.voyage.gc.ca/main/pubs/working\\_abroad-en.asp](http://www.voyage.gc.ca/main/pubs/working_abroad-en.asp)

## 13 LIBRARY RESOURCES

### 13.1 General Information

The University of Regina campus has a number of libraries to assist researchers, such as: the Dr. John Archer Library, Campion College Library, First Nations University of Canada Library, and Luther College Library. All of the libraries are administratively independent of each other but their collections and services are intended to be complementary. The Dr. John Archer Library, the main library of the University of Regina, provides centralized service for the online catalogue, access to electronic resources, and interlibrary loans for the smaller federated college libraries.

#### 13.1.1 Dr. John Archer Library (<http://www.uregina.ca/library>)

The main library for the University of Regina is the Dr. John Archer Library, a six-storey facility with monograph and journal collections of over 2.6 million items. The Archer Library holds over a million books, pamphlets and journals, approximately 600,000 government publications, over a million items in microform, as well as a growing collection of recordings and materials in other media. The library subscribes to over 12,000 electronic journals and databases, providing University of Regina researchers access to the world's scholarship from campus or remotely anywhere in the world.

The University Archives collection consists of over 1,500 linear metres of records in various formats, the personal papers of many key figures of the province and the nation, and over 15,000 photographs. The collection focuses on journalism, visual arts, and Saskatchewan literature.

The Library provides seating for nearly 800 readers, including over a hundred computer workstations with full office productivity software on the main floor commons and another lab with 30 computers.

The annual expenditure on the library collection is over \$3 million, with approximately two-thirds of the acquisitions budget being allocated to journals and electronic resources.

The Archer Library is an active participant in the CRKN (Canadian Research Knowledge Network), COPPUL (Council of Prairie and Pacific University Libraries), CARL (Canadian Association of Research Libraries), and a number of other associations which provide access to library resources across Canada and the world through interlibrary loans and other resource sharing agreements. University of Regina researchers can obtain a COPPUL borrowing card which enables them to access the collections and services at university libraries across Canada.

The Archer Library employs 70 staff, including approximately 20 librarians and archivists, to assist researchers with pre- and post-award research and administration. Librarians and other staff facilitate access to the necessary tools to locate and use print and online resources effectively and they provide one-on-one assistance to researchers, including providing assistance with editing and grant writing as requested.

For more information please see: <http://www.uregina.ca/library/research>

### **13.1.2 Campion College Library (<http://www.campioncollege.ca/index.php?id=31>)**

Campion College Library's books and periodicals are selected to provide material for courses offered by the College and with a view to complement the Archer Library collection. The collection of over 50,000 items is strongest in the areas of religious studies and theology, philosophy and English literature. Other areas of interest include Canadian history, medieval history, psychology, and film studies. Two special collections deserve mention: Jesuitica, which includes Jesuit history and biography, and a collection of materials on women and religion.

### **13.1.3 First Nations University of Canada Library (<http://www.firstnationsuniversity.ca/default.aspx?page=37>)**

The First Nations University of Canada Library maintains a collection of over 60,000 items, including monographs, periodicals, First Nations newspapers, microform, audio-visual materials and kits. The collection supports the courses offered by the First Nations University of Canada and academic research. The focus of the collection is the Indigenous Peoples of the North, South and Central America; areas of strength include Indigenous Studies, Communications, Business and Administration, Education, Fine Arts, Science, Health, and Alcohol and Substance Abuse.

### **13.1.4 Luther College Library (<http://www.luthercollege.edu/default.aspx?DN=3493,172,1,Documents>)**

The Luther College Library collection includes nearly 15,000 titles on a variety of subject areas, primarily art history, biology, literature, geography, history, musicology, philosophy, psychology, religious studies, and sociology. The religious studies collection includes substantial information about Martin Luther and the Lutheran Church, Islam and its history, and the debate between religion and science. Other areas of the collection's focus include western Canadian poetry, witchcraft and magic in early modern Europe, and technology and its impact on society. Luther College Library also houses a number of current periodicals, audiovisual materials and an additional 500 reference titles, including a collection of academic writing and research resources for both students and faculty.

### **13.1.5 Geography Map Library (<http://www.uregina.ca/arts/geography/map-lib.htm>)**

The Department of Geography Map Library is the largest collection of cartographic material in Saskatchewan. The collection consists of a comprehensive collection of maps, atlases, cart-bibliographies, periodicals, air photos, and other reference materials.

The Map Library is extensively used for research, seminars, and teaching purposes by the faculty, students and researchers from various departments of the University. As the centre for cartographic information, it also provides reference and consultation services to other educational institutions, government departments, business community, and the public in general.

## **13.2 Library Policies**

Library policies are intended to support and clarify the services of the University of Regina libraries. While the four campus libraries are administratively independent of each other, the

libraries coordinate policies on major services. For a listing of policies, visit the Dr. John Archer Library's policy page: <http://www.uregina.ca/library/about/policies>

### 13.3 Limitation of Liability with respect to Non University Owned Data Policy

To view the policy on the limitation of liability with respect to non-University owned data, please see: <http://www.uregina.ca/presoff/vpadmin/policymanual/compserv/15015.shtml>

### 13.4 High Impact Journals

The Archer Library subscribes to the Journal Citation Reports (JCR), a comprehensive and unique resource that allows researchers to evaluate and compare journals using citation data drawn from over 7,500 scholarly and technical journals from more than 3,300 publishers in over 60 countries. It is the only source of citation data on journals, and includes virtually all areas of science, technology, and social sciences. JCR can show researchers the most frequently cited journals in a field, the highest impact journals in a field, and the largest journals in a field. Citation and article counts are important indicators of how frequently current researchers are using individual journals. By tabulating and aggregating citation and article counts, JCR offers a unique perspective for journal evaluation and comparison.

To locate Journal Citation Reports, follow these step-by-step instructions:

- 1) Log onto the University of Regina - Library Homepage (<http://www.uregina.ca/library>);
- 2) Select E-Resources from the left hand menu and select "Find Databases";
- 3) Enter the word "Journal" into the "Find Databases by Title" text box;
- 4) Click Browse;
- 4) The search will bring up two sources:
  - Journal Citation Reports Science
  - Journal Citation Reports Social Sciences
- 5) Select the option that best fits the desired research area. Please note a pop-up window will take users out of the Library site;
- 7) Under the "Select a Database" tab, select the "Journal Citation Reports" link;
- 8) Select an option from the following three choices and click submit;
- 9) Searched items can be sorted by (i.e., impact factor, title). Please note that any journal titles can be selected to provide additional information (i.e., publisher, 10 year comparison of entries).

### 13.5 Campus Digital Archive

The University of Regina's Campus Digital Archive (<http://dspace.cc.uregina.ca/dspace>) is an open access archive for University of Regina research, publications, and supporting materials in digital form. It is a service provided free of charge to the campus community by the Dr. John Archer Library. Granting agencies such as CIHR have begun to adopt policies that require grant recipients to make every effort to ensure that their peer-reviewed publications are freely accessible through the publisher's website or an online repository as soon as possible, and in

any event within six months of publication (see section 4.9.1 of the *CIHR Policy on Access to Research Outputs*: <http://www.cihr-irsc.gc.ca/e/34846.html>) The University of Regina's Campus Digital Archive is an approved mechanism by which grant recipients can comply with funding agency requirements for sharing the results of sponsored research.

For more information, please contact the University Librarian.

### 13.6 Statistics Canada Regional Research Data Centre

The University of Regina has entered into a partnership with the University of Saskatchewan to participate in the creation of a Statistics Canada Regional Research Data Centre: <https://library.usask.ca/data/rdc>

The proposed Research Data Centres will be the first in Saskatchewan. The Research Data Centres program is an initiative of Statistics Canada in partnership with the Social Sciences and Humanities Research Council (SSHRC) and university consortia to help build Canada's social research capacity in support of the research community by providing greater access to Statistics Canada Data sets. Research Data Centre's provide researchers with access to statistical data, microdata from population and household surveys in a secure university setting.

Currently the RDC network consists of fourteen Research Data Centres, six branch Research Data Centres and the Federal Research Data Centre in Ottawa. The centres are staffed by Statistics Canada employees. They are operated under the provisions of the Statistics Act in accordance with the confidentiality rules and are accessible only to researchers with approved projects who have been sworn in under the Statistics Act as 'deemed employees.' The University of Saskatchewan will appoint an academic director for the Research Data Centres and will develop operational policies in accordance with the applicable objectives, rules and standards of the Governing Agencies. A Management Committee will be established for the Research Data Centres. The Associate University Librarian for Collection Services and Assessment has been appointed to serve as the University of Regina's representative on the management committee.

Please consult the following URL for the information about the Research Data Centres access application process - <http://www.statcan.ca/english/rdc/application.htm>

## 14 CANADA FOUNDATION FOR INNOVATION (CFI)

### 14.1 General Information

#### 14.1.1 Canada Foundation for Innovation (CFI)

CFI is an independent corporation created by the Government of Canada to fund research infrastructure. CFI's mandate is to strengthen the capacity of Canadian universities, colleges, research hospitals, and non-profit research institutions to carry out world-class research and technology development that benefits Canadians.

For more information, please see: <http://www.innovation.ca/about/index.cfm>

#### 14.1.2 University of Regina - CRC/CFI Strategic Research Plan (2006-2010)

For information on the CRC/CFI Strategic Research Plan (2006-2010), please refer to Section 15 or download the document from the following URL:

<http://www.uregina.ca/presoff/vpresearch/documents/index.shtml>

#### 14.1.3 University of Regina - CFI Allocation Criteria

The University of Regina criteria for CFI allocations are outlined in the following URL:

<http://www.uregina.ca/presoff/vpresearch/documents/index.shtml>

#### 14.1.4 Institutional CFI Liaison

The institutional CFI Liaison at the University of Regina is the Senior Research Officer in the Office of Research Services. The CFI Liaison is responsible for acting as a first point-of-contact for CFI, assisting with internal processes, facilitating applications and providing required reports to the CFI.

For more information, please contact the Senior Research Officer at the following coordinates:

<http://www.uregina.ca/research/Contact%20Us/contacts.shtml>

### 14.2 Program Information

To learn about CFI policies and programs, funds, eligibility, application processes, assessment, and critical dates, please see: <http://www.innovation.ca/programs/index.cfm>

### 14.3 Developing an Application

#### 14.3.1 Leading Edge Fund (LEF) and New Initiative Fund Competition (NIF)

According to the CFI website, the key role outlined for the CFI in the Government of Canada's Science and Technology Strategy, the Leading Edge (LEF) and New Initiative Funds (NIF) competition seeks innovative and transformative infrastructure projects covering the full spectrum of research and development activities and all disciplines that will lead to breakthroughs and to advantages for Canadians.

More information on the LEF and the NIF are available on the CFI website:  
<http://www.innovation.ca/programs/index.cfm?websiteid=521>

### 14.3.2 Leaders Opportunity Fund (LOF)

The LOF is designed to help universities attract and retain the very best of today's and tomorrow's researchers and it offers the universities the opportunity to acquire infrastructure for leading research faculty to undertake cutting edge research and create competitive packages of research support-infrastructure, direct research costs and operating funds. The University of Regina has an allocation of \$2,833,000 for 1998-2010.

It is intended to serve the infrastructure needs of individual faculty, or groups of up to three faculty members where there is a need to share infrastructure. The LOF is not intended to serve the infrastructure needs of larger groups, centres, departments or institutions.

More information on the fund is available on the CFI website:  
<http://www.innovation.ca/programs/index.cfm?websiteid=393>

#### Call for Proposals - Expression of Interest

The Office of the Vice-President (Research and International) distributes a call for CFI proposals to adjudicate an expression of interest to the CFI - Leaders Opportunity Fund. The process for accessing the LOF funding involves the University submitting requests for infrastructure funding for one or more full-time faculty with the purpose of either attracting or retaining faculty in priority areas as identified in the University of Regina's Strategic Research Plan for the Canada Research Chair and Canada Foundation for Innovation:

<http://www.uregina.ca/presoff/vpresearch/documents/2006-2010CRCStrategySummary.pdf>

#### Eligibility

Candidates must:

- hold a full-time academic appointment;
- be recognized leaders in their field of research, or show promise of becoming research leaders;
- must be engaged in, or embarking on, an innovative research program for which the infrastructure is essential and which will provide an enriched research training environment;
- if previously supported through the LOF, New Opportunities Fund or Canada Research Chairs - Infrastructure Fund, candidates must justify the nature of the subsequent award. Requested funds are not to simply continue funding existing research.

In addition to meeting general CFI eligibility requirements, infrastructure items for LOF candidates must be:

- Essential for the research program of the candidate(s); and/or



- Purchased or received as an in-kind contribution no more than six months before the date of submission of the application.

### Internal Submission

Eligible researchers must submit one of the following, in electronic and paper format, to the Office of Research Services no later than 4:30 p.m. on the date specified:

1. A completed two-page application form available on the Office of Research Services website: <http://www.uregina.ca/research/Forms/CFI%20initial%20appl.doc> The application form must include the following:
  - The nature of the infrastructure needed;
  - The research to be supported by it;
  - Address how the research being contemplated "fits" with the University of Regina Strategic Research Plan; and
  - Address the criteria developed by the President's Research Committee for the adjudication process below.
2. A *curriculum vitae*/personal data form from the appropriate federal council (e.g., SSHRC, NSERC or CIHR).
3. A fully executed Signature Form available on the Office of Research Services website: [http://www.uregina.ca/research/Forms/Signature\\_Form08.doc](http://www.uregina.ca/research/Forms/Signature_Form08.doc)

### Adjudication of Expression of Interest Proposals

The President's Research Committee (PRC) conducts an independent assessment of the strength of the research proposal in light of the University of Regina's Strategic Research Plan and fit with the CFI mandate for innovative, cutting edge research. Normally the CFI will not accept proposals with total costs in excess of \$1 million under the LOF.

The following criteria has been developed by the PRC to be used in the adjudication process:

- A justified case is made, with a clear link in the application between the budget needs and the proposed research agenda.
- The budget request identifies any leverage potential (seed funding for additional matching funds).
- The research agenda and budget request demonstrate how it will support the areas identified in the UR Strategic Research Plan and the University of Regina - Research strategy.
- The request will identify how and by whom the proposed equipment/facilities or support funding provided to the chair could be used by other University of Regina researchers.
- The candidate will indicate how the proposal allows for equipment/facilities that can be shared with other researchers in the University.

The PRC convenes in May and November to consider all proposals for invitation to prepare a letter of intent to the LOF. Upcoming CFI deadlines for funding infrastructure are available on the CFI website: <http://www.innovation.ca>

#### 14.4 Financial Management and Reporting

In developing a CFI application, the applicant must involve Supply Management Services in developing the quotes for the equipment to be purchased. Information on this process can be found at: <http://www.uregina.ca/sms/cfipro.shtml>. If building renovations are to be a part of the project, Facilities Management will also need to be involved.

Once a CFI application has been awarded, the University must “finalize” the purchase arrangement. Only after the finalization has been complete will CFI begin to release the money. (Finalization means that all purchased orders have been issued, not that all the goods have been received). The finalization must be completed nine months following the date of the application.

To finalize the project, the principal investigator must work with Supply Management Services to request tenders and ultimately issue the purchase orders. Procedures for this process can be found at: <http://www.uregina.ca/sms/cfipro.shtml>

Financial Services completes the Finalization report. However, the principal investigator will assist with preparation to explain variances between the application and the purchase orders issued.

Annual financial statements, dated March 31, must be submitted by June 15 to CFI. Financial Services again prepares these reports, however assistance from the principal investigator is required to explain variances between the finalization report and the actual dollars spent.

#### 14.5 CFI Narrative Reporting

Annual Project Reports are required by the CFI for every project that it funds, for the five years following finalization of the award. These reports help to demonstrate the impact of investment in research infrastructure at Canadian institutions on such measures as the: attraction and retention of researchers; training of highly qualified personnel; advancing and transforming research; partnerships and collaborations; and social and economic benefits. In addition, the reports provide information on such issues as the implementation status of various infrastructure projects, operations and maintenance and the useful life of the infrastructure.

Institutional Reports address the impact of CFI investments on the institution’s ability to implement its strategic research plans in areas such as building innovation capacity, promoting partnerships and generating benefits for Canada. The Institutional Reports also document the institution’s related communication activities. Institutional reports are anticipated to become increasingly useful for overall outcome assessment of infrastructure investments at given Canadian institutions in the coming years.

Each year an analysis of all the Project Reports is published on the CFI web site, along with all the Institutional Reports submitted. Previous years’ reports may be viewed at <http://www.innovation.ca/evaluation/index.cfm>

For more information on CFI reporting or to find reporting deadline dates, please see: [http://www.innovation.ca/cfionline/2007/2007\\_inst\\_instructions\\_e.pdf](http://www.innovation.ca/cfionline/2007/2007_inst_instructions_e.pdf)

For all other inquiries, please contact the Senior Research Officer in the Office of Research Services.

## 14.6 Other Information

**CFI Evaluation:** the following link provides information on the evaluation of CFI programs, institutional reports and analyses of investments and outcomes and, briefs to the House of Commons / Senate Committees: <http://www.innovation.ca/evaluation/index.cfm>

**CFI Funded Projects:** the following link provides information on projects funded by the CFI: <http://www.innovation.ca/projects/index.cfm>

**CFI Publications:** the following link provides a list of publications and annual reports for download: <http://www.innovation.ca/publications/index.cfm>

## 15 CANADA RESEARCH CHAIRS (CRC)

### 15.1 General Information

#### 15.1.1 Canada Research Chairs

The Canada Research Chairs Program stands at the centre of a national strategy to make Canada one of the world's top five countries for research and development.

In 2000, the Government of Canada created a new permanent program to establish 2000 research professorships—Canada Research Chairs—in universities across the country by 2008. The Canada Research Chairs Program invests \$300 million a year to attract and retain some of the world's most accomplished and promising minds.

Chairholders advance the frontiers of knowledge in their fields, not only through their own work, but also by teaching and supervising students.

For more information, please see: <http://www.chairs.gc.ca>

#### 15.1.2 University of Regina - CRC/CFI Strategic Research Plan (2006-2010)

In accordance with the Canada Research Chairs Program objectives, the overall intent of our research plan is to augment research capacity to foster research excellence in select areas and develop world-class centres of research excellence.

To download the University of Regina - CRC/CFI Strategic Research Plan, please see: <http://www.uregina.ca/presoff/vpresearch/documents/index.shtml>

#### 15.1.3 University of Regina - CFI Allocation Criteria

The University of Regina criteria for CFI allocations are outlined in the following URL: <http://www.uregina.ca/presoff/vpresearch/documents/index.shtml>

For additional information, please refer to Section 14.

#### 15.1.4 University of Regina - Research Chairs

The duties of a research chair are defined in Article 14.7 of the *URFA Collective Agreement 2005-2008*: [http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)

#### 15.1.5 Memorandum of Agreement on Research Chairs at the University of Regina

The *Memorandum of Agreement* between the University of Regina and the University of Regina Faculty Association concerns the terms and conditions governing the positions of, appointments to, and employment of incumbents of Research Chairs at the University of Regina.

For more information, please download the *Memorandum of Agreement*: [http://www.uregina.ca/hr/memorandum\\_of\\_agreement\\_on\\_resea.htm](http://www.uregina.ca/hr/memorandum_of_agreement_on_resea.htm)

## 15.2 Program Information

### 15.2.1 Canada Research Chairs:

For information on the Canada Research Chair program, please see:  
[http://www.chairs.gc.ca/web/program/index\\_e.asp](http://www.chairs.gc.ca/web/program/index_e.asp)

### 15.2.2 Canada Foundation for Innovation

Canada Research Chairholders are eligible for infrastructure support from the CFI to help acquire state-of-the-art equipment essential to their work.

For more information on the CFI, please refer to Section 14 or see:  
<http://www.innovation.ca/programs/index.cfm?websiteid=84>

## 15.3 Preparing a Nomination

The Canada Research Chairs Program offers eligible Canadian degree-granting institutions the opportunity to nominate outstanding researchers for senior professorships in areas that will further the institution's overall research priorities and enable them to maximize their contributions as centres of research and research training.

For information on degree-granting institutions, please see:  
[http://www.chairs.gc.ca/web/program/eligibility\\_e.asp](http://www.chairs.gc.ca/web/program/eligibility_e.asp)

For information on nominations, please see:  
[http://www.chairs.gc.ca/web/program/nominate\\_e.asp](http://www.chairs.gc.ca/web/program/nominate_e.asp)

## 15.4 Administering a Nomination

To view how a Canada Research Chair nomination is administered by the Government of Canada - Canada Research Chair Program, please see:  
[http://www.chairs.gc.ca/web/program/administer\\_e.asp](http://www.chairs.gc.ca/web/program/administer_e.asp)

## 15.5 Renewing a Nomination

To view how a Canada Research Chair is renewed by the Government of Canada - Canada Research Chair Program, please see: [http://www.chairs.gc.ca/web/program/renew\\_e.asp](http://www.chairs.gc.ca/web/program/renew_e.asp)

## 15.6 Chair Profiles

To view a list of current Canada Research Chairholders and their research descriptions, please see: [http://www.chairs.gc.ca/web/chairholders/index\\_e.asp](http://www.chairs.gc.ca/web/chairholders/index_e.asp)

## 15.7 Other Information

CRC Review Process: the following link provides information on the peer review process for the Canada Research Chairs program: [http://www.chairs.gc.ca/web/peer\\_review/index\\_e.asp](http://www.chairs.gc.ca/web/peer_review/index_e.asp)

**CRC Program Statistics:** the following link provides statistical information on the CRC program:  
[http://www.chairs.gc.ca/web/about/statistics\\_e.asp](http://www.chairs.gc.ca/web/about/statistics_e.asp)

**CRC Publications:** the following link provides a list of CRC publications for download:  
[http://www.chairs.gc.ca/web/about/publications\\_e.asp](http://www.chairs.gc.ca/web/about/publications_e.asp)

## 16 COMMERCIALIZATION

### 16.1 General Information

#### 16.1.1.1 University-Industry Liaison Office

The University-Industry Liaison Office offers a full range of Intellectual Asset Protection and Commercialization Management Services for faculty members, students, and the University community.

The University-Industry Liaison Office has experience in both academia and industry and will work with individuals to develop their Intellectual Property by creating commercial objectives, coordinating patents, developing commercialization strategies, and regularly reviewing the plan to monitor its progress. University-Industry Liaison Office services include: Intellectual Property and market assessments; patent registration (Canada, US and International); patent maintenance; trademarks; and copyrights. Individuals can also access professional and in-depth research databases through this office to assess both technology development opportunities and competitive threats.

For more information please see: <http://www.uregina.ca/uilo>

#### 16.1.2 Information Sessions

The University-Industry Liaison Office hosts a variety of educational events open to the technology community offering various information sessions throughout the year. It regularly invites guest experts to speak about technology transfer and intellectual property topics such as copyright, patents, licensing, start up companies and innovation support programs.

Notification of information sessions are circulated through the research listserv and on the University-Industry Liaison Office website. Sessions are free to all University of Regina faculty and staff members, Federated Colleges, the First Nations University of Canada, and industry. For a list of upcoming and archived sessions, please visit the University-Industry Liaison Office - Calendar of Events webpage: <http://www.uregina.ca/uilo>

#### 16.1.3 Presentations and Resources

The University-Industry Liaison Office provides research presentations and documents to all University personnel.

Presentations are available in Adobe Acrobat format (i.e., PDF) and can be downloaded from the following website:

[http://www.uregina.ca/uilo/calendar\\_of\\_events/presentations.shtml](http://www.uregina.ca/uilo/calendar_of_events/presentations.shtml)

### 16.2 Intellectual Property

#### 16.2.1 Definition and General Principles

The definition and general principles of Intellectual Property (IP) are defined in Article 29.1 of the Collective Agreement:

[http://www.uregina.ca/hr/Collective\\_Agreements/URFA/2005-2008\\_URFA\\_Contract.pdf](http://www.uregina.ca/hr/Collective_Agreements/URFA/2005-2008_URFA_Contract.pdf)

### **16.2.2 Intellectual Property Policy**

The University of Regina - Intellectual Property Policy defines a subset of Intellectual Property called "Traditional Academic Works;" these are works created by Academic Staff Members, encompassing teaching materials in any formation and all traditional forms of scholarly publication. For more information on this policy, please see the following URL:

<http://www.uregina.ca/presoff/vpadmin/policymanual/general/1095.shtml>

### **16.2.3 Protecting Intellectual Property**

Please contact the University-Industry Liaison Office or refer to Section 16.3

## **16.3 Types of Research Agreements**

The University-Industry Liaison Office will liaise with funding partners and industry sponsors on the individuals' behalf to expedite and facilitate successful agreements. Attention is paid to protection of Intellectual Property rights, confidentiality and publishing privileges. Agreements include, but are not limited to, the following:

Industry Sponsored Research Agreements;  
Non-Disclosure Agreements or Confidentiality Agreements;  
License Agreement; and  
Material Transfer Agreements.

For more information on research agreements, please contact the University-Industry Liaison Office.

## **16.4 Research Policies**

### **16.4.1 Overhead**

Overhead costs are those expenditures incurred by the University in the conduct of research which are not readily identifiable as specific expenditures. These include items such as space, heating, light, administrative services, insurance, libraries, and maintenance costs.

For more information, please refer to Section 3.8.

### **16.4.2 Research Ethics**

The University requires that all research conducted by its members conforms to the highest ethical standards. Any research using human participants or animals must obtain institutional approval from the Office of Research Services prior to the commencement of research.

For more information, please see Section 6.



## 16.5 For Researchers

### 16.5.1 Commercialization Procedures

Disclosure	↻	Evaluation	↻	Protection	↻	Marketing
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#### Disclosure

Any public disclosure may jeopardize patent protection. Public disclosure can take on many forms: posters, abstracts, scientific meetings, collaborations, informal discussions and emails can unknowingly lead to the disclosure of important information. Therefore the most important thing to do when an invention has occurred is to disclose the invention to the University-Industry Liaison Office before disclosing it to the public in any form.

Prompt disclosure to the University-Industry Liaison Office is vital for effective transfer of the technology to industry. Its staff will answer questions and clarify how the University-Industry Liaison Office can meet the needs of its clients. Forms and procedures are available from the University-Industry Liaison Office and on its website: <http://www.uregina.ca/uilo>

#### Evaluation

Please contact the University-Industry Liaison Office to make an appointment for an Intellectual Property Assessment to discuss the available technology and commercialization opportunities. An assessment includes:

- Search patent and literature databases to evaluate, together with the researcher, any prior art, patents or publications that may limit patentability or freedom to operate;
- Determine funding sources and roles of other institutions;
- Determine which aspects of the technology may have been publicly disclosed;
- Formulate a patent strategy;
- Identify potential for commercialization.

#### Protection

The University-Industry Liaison Office will evaluate the patentability and commercial potential of the technology. If a decision to file a patent is made it will work with the country's top patent agents to draft and prosecute patent applications and manage the patenting process to ensure the inventor achieves the greatest commercial opportunity. The inventor will be asked to supply detailed descriptions, drawing and figures to aid in this process. The UILO acts as a liaison between the patent agent and the inventor to ensure the inventor's best interest are met. In most cases the University-Industry Liaison Office will front all costs associated with Intellectual Property protection until the invention is commercialized and revenue is generated.

#### Marketing

When appropriate, the University-Industry Liaison Office will assist with identifying commercial partners and licensing opportunities to bring the invention to market. The University-Industry Liaison Office is committed to entrepreneurial efforts as part of its mission to bring technology to market for the benefit of society. The goal is to maximize return on innovation for our clients. The University-Industry Liaison Office, through their strategic alliance with SpringBoard West Innovations Inc., engages in proactive facilitation of start-up companies based on University of Regina technology.

## 16.5.2 Funding Opportunities

The University-Industry Liaison Office assists University of Regina faculty and staff members in locating internal and external funding opportunities in a variety of ways:

- Liaises with funding partners and industry sponsors on behalf of researchers to expedite and facilitate successful agreements;
- Provides information on upcoming external funding opportunities in the categories of research, prototype development, collaborative research, and business development;
- Conducts information sessions on funding opportunities / programs (see Section 16.1.2); and
- Organizes special communication events.

## 16.5.3 Awards

### 16.5.3.1 Award of Innovation

Administered through the University-Industry Liaison Office and sponsored by Innovation Place - Regina, the Award of Innovation rewards and promotes the efforts of researchers involved in the commercialization of their research.

A Call for Nominations is circulated campus-wide in December to notify interested applicants of the opportunity. The recipient is announced and the award is presented at the Regina Chamber of Commerce Paragon Awards in April.

Applications must be based on innovative or potentially commercializable technology from their research program / laboratory. Criteria include intellectual achievement, uniqueness and originality, stage of development and degree of commercialization, and the economic and social benefits to Saskatchewan or society in general. Award winners are selected by a committee.

Recipients of the Award of Innovation receive a monetary award, a trophy, and personal recognition on the Award of Innovation Wall.

For more information or to view previous recipients, please see:  
<http://www.uregina.ca/uilo/ica/awards.shtml>

To download a nomination form, please see:  
<http://www.uregina.ca/uilo/ica/awards.shtml>

### 16.5.3.2 NSERC Innovation Challenge

Awarded by the Natural Sciences and Engineering Research Council of Canada (NSERC) and the Canadian Science and Technology Growth Fund (CSTGF), the Innovation Challenge Award is "intended to encourage students doing graduate studies in the natural sciences, engineering or computer sciences to take a new look at their thesis work and identify, by written essay, what potential product or service could be implemented through application of their research results."

Each university in Canada is allowed to nominate two eligible candidates. The University-Industry Liaison Office acts as the nominating body for this award.

Entries are judged by a selection committee consisting of Canadians who are familiar with university research and judging the potential of innovative ideas.

The criteria used to judge entries will include presentation of the idea, enthusiasm of the student, novelty of the approach, realism, chance of success, and impact/value of the proposed product or service.

For more information, please see:

[http://www.nserc.gc.ca/award\\_e.asp?nav=ica&lbi=about](http://www.nserc.gc.ca/award_e.asp?nav=ica&lbi=about)

### 16.5.3.3 NSERC Synergy Awards

The Synergy Awards for Innovation showcase innovation and the benefits of pooling resources to make the most of Canadian ingenuity. The awards are judged on:

- Partnership;
- Effective use of resources;
- Tangible benefits; and
- For the Leo Derikx Award only: innovative model.

#### Award categories

Synergy Awards are offered in four categories:

- **Small and medium-sized companies:** a partnership with a single company of up to 500 employees.
- **Large companies:** a partnership with a single company of more than 500 employees.
- **Two or more companies:** a partnership with two or more companies of any size.
- **Leo Derikx Award:** an established innovative model of long-standing university-industry partnership in pre-competitive Research and Development (R&D) that has improved the general well-being of an industry.

For more information, please visit the NSERC website:

[http://www.nserc.gc.ca/award\\_e.asp?nav=synergy&lbi=about](http://www.nserc.gc.ca/award_e.asp?nav=synergy&lbi=about)

## 16.6 For Industry

### 16.6.1 Intellectual Property Policy

The University of Regina - Intellectual Property Policy defines a subset of Intellectual Property called "Traditional Academic Works;" these are works created by Academic Staff Members, encompassing teaching materials in any formation and all traditional forms of scholarly publication.

For more information on this policy, please see the following URL:

<http://www.uregina.ca/presoff/vpadmin/policymanual/general/1095.shtml>

### 16.6.2 Expertise

#### **Office of the Vice-President (Research and International)**

For information on research centres / institutes, research policies, research administrative departments and other related topics, please see:

<http://www.uregina.ca/presoff/vpresearch/index.shtml>

#### **Faculty of Arts - Research Expertise Database**

The Faculty of Arts maintains a searchable database of their faculty members, specifically designed for media relations or to find an expert in a specific field:

<http://www.arts.uregina.ca/experts>

For more information, please contact the University-Industry Liaison Office.

### 16.6.3 Licensing

For information on licensing, please contact the University-Industry Liaison Office.

## 16.7 Start-Up Companies / Spin-Off Companies

The University-Industry Liaison Office, together with SpringBoard West Innovations Inc. assists in the facilitation of start-up and spin-off companies. For more information, please contact the University-Industry Liaison Office.

## 16.8 SpringBoard West Innovations Inc.

SpringBoard West Innovations Inc. (SpringBoard) is a major element of the University's commercialization strategy. Formed in 2007, SpringBoard will become a model for transforming technology and entrepreneurial innovation into commercially viable products distributed both provincially and globally. In addition, many indirect outcomes are expected including: increased interaction among the University, business and the community; a more creative, innovative and entrepreneurial culture at the University and in the larger community; more applied research activity at the University; and increased economic development in the community and the province. The University-Industry Liaison Office works closely with SpringBoard to expand and develop its programming.

For more information, please visit: <http://www.springboardwest.ca>

## 16.9 Innovation Place - Regina

According to the Innovation Place website, Innovation Place - Regina was established in 2000 and is one of Canada's newest university related research parks. Innovation Place is home to 33 clients in five buildings, employing more than 1,000 people.

Located next to the University of Regina, the park features five buildings that host leading edge petroleum and environmental sciences research. The Terrace, the flagship building, was recognized for its excellence in environmental design.

For more information, please visit: <http://www.innovationplace.com>

## 17 COMMUNICATIONS

### 17.1 General Information

#### 17.1.1 Communications Team, External Relations

The Communications team (Communications) promotes the University of Regina as an institution engaged in scholarly work that is vital to the local, provincial, national and global communities.

Communications is committed to helping develop the University of Regina's reputation for scholarship and research excellence by informing the internal and external communities of our development as an institution of scholarly excellence and innovation. Communications provides service and expertise to the faculties, as well as other academic units including the Centre for Continuing Education (CCE), the Library, the Institut français, and the research centres / institutes.

Communications also provides support to the President's Office and the executive branches of the University, including the Vice-President (Academic), the Vice-President (Administration), Student Affairs, the Vice-President (Research and International), the University Secretary, and the Vice-President (External Relations).

Working with all of these groups, the Communications Office undertakes a variety of activities aimed at building the University's reputation in the community. These activities may include things such as news releases, public service announcements, special events, media co-ordination, speechwriting and University publications.

For more information please visit: <http://www.uregina.ca/commun/communications>

#### 17.1.2 Communications Portfolio System

Communications has developed a portfolio system to help serve faculty members' communications needs as efficiently as possible (i.e. news releases, help with media events, internal and external promotion of research). Under this system, specific Communications employees are the primary contacts for designated faculties as follows:

- Arts, Business Administration and CCE: (306) 585.5632
- Fine Arts, Social Work, Institut français and the Library: (306) 585.5156
- Education and Kinesiology and Health Studies: (306) 585.4683
- Engineering, Science and Graduate Studies and Research: (306) 585.5439

#### 17.1.3 Internal Promotion

Communications can help faculty members profile their research, teaching or public service within the University community through publications such as the *U of R Report* and the *Degrees* alumni magazine. Communications also manages the events calendar on the University of Regina homepage and oversees other aspects of the website.

After having consulted with any external agencies that might have restrictions or embargoes on communicating research publicly, University members are encouraged to contact the appropriate portfolio representative to discuss their internal communication options.

#### 17.1.4 External Promotion

Communications can help faculty members promote their work through the media locally, provincially, and in some cases, nationally. Options include general news releases, profiling in the Regina Leader-Post's UR Update page, proposals for targeted media, placement of op-ed pieces, and organizational and writing assistance with funded events. It is important to note that although they do not have dedicated funding for a number of activities including media events, advertising, and graphic production, Communications can provide advice or help manage the supplier contract.

After having consulted with any external agencies that might have restrictions or embargoes on communicating research publicly, University members are encouraged to contact the appropriate portfolio representative for assistance.

For more information, please see Section 17.2 or refer to the "Tri-Council MOU - Schedule 15: Public Communication": [http://www.nserc.gc.ca/institution/mou\\_sch15\\_e.htm](http://www.nserc.gc.ca/institution/mou_sch15_e.htm)

#### 17.2 Media Relations

Informing and facilitating all media - print, electronic, local, regional and national - is the responsibility of the Manager of External Communications, who will work with portfolio representatives to actively publicize University events directly to the media.

##### 17.2.1 News Conferences

A news conference may be held:

- For new programs or development projects;
- For significant research awards;
- For research results with significant public impact; and,
- To introduce senior University community members.

Contact (306) 585.4402 or the appropriate portfolio representative for further information.

##### 17.2.2 News Releases

A news release may be distributed:

- For University-wide events such as convocation, senior appointments, or creation of new facilities and institutes;
- For significant individual achievements such as major research grants;
- To invite the public to lecture series, conferences and building dedications;
- To announce partnerships with government or private agencies;
- To announce research results; and
- For official commentary on University-related legislative issues.

Contact (306) 585.4402 or the appropriate portfolio representative for further information.

### **17.2.3 Media Advisories and Public Service Announcements**

A media advisory will be generated for other on-campus events that might be of interest to the media.

Contact (306) 585.4402 or the appropriate portfolio representative for further information.

### **17.2.4 Media Experts**

Nearly every day, media outlets contact the University looking for a University of Regina expert to provide informed third-party commentary that will add depth to a news story. Sometimes they approach a faculty member directly, and sometimes they go through Communications. The University encourages faculty to provide comment in areas of their expertise, as this helps build the reputation of faculty members as well as the University as a whole.

When contacted with such a request - or if a good opportunity exists in the news cycle - Communications may approach a faculty member to see if he or she is able to provide comment.

For further information, contact the Manager of External Communications.

### **17.2.5 Institutional Spokesperson**

In addition to contacting faculty members for insight about subjects in an area of expertise, media may sometimes contact faculty to comment on behalf of the University with respect to other issues such as University policies. Please direct media requests requiring an institutional response from the University of Regina administration to the Manager of External Communications, who will arrange an interview with an institutional spokesperson.

### **17.2.6 Other Media Relations**

Aside from new conferences and public service announcements, other public forums take place at the University of Regina. A number of faculties support public research discussions to promote, facilitate and inform those outside the institution. Examples of these include, but are not limited to, the following: the Faculty of Arts - Coffee House Controversies and Philosophy Cafes, the Faculty of Science - Basterfield Lecture Series, and the Faculty of Social Work - Speaker Series.

For more information, please contact the respective Dean's Office or Communications.

### **17.2.7 Other Publications**

Communications also publishes and distributes other university publications and features such as the *U of R Report*, *Degrees Magazine*, and the University of Regina Update Page (Leader-Post).

Also, a number of the faculties produce in-house publications to promote research and research-related activities. Examples of this include, but are not limited to, the

following documents: Faculty of Arts - *Arts and Minds*, Faculty of Kinesiology - *REAP-R*, Faculty of Fine Arts - *Journal*, and the Faculty of Science - *Annual Report*.

University of Regina faculty and staff interested in promoting their research can either contact Communications at (306) 585.4402 or contact their respective Dean's Office. A publication may be chosen based on considerations of timing, the nature of the story, and desired audience.

### 17.2.8 Newspaper Advertisement Contract

The University of Regina has signed a contract with the Regina Leader-Post and the Saskatoon StarPhoenix.

For information on the newspaper contract agreement, please visit the following URL: <http://www.uregina.ca/sms/advert.shtml>

### 17.2.9 University Listservs

University listservs are one of the modes used to communicate information, via email, to University of Regina members.

University of Regina faculty and staff members are automatically subscribed to five compulsory listservs: President, Alerts, Systems, Deans and Directors, and Student.

Individuals have the option of subscribing and/or sending messages through any of the eleven elective University listservs: events, Human Resources, releases, classifieds, international, miscellaneous, research, training, University of Regina Faculty Association (URFA), Administrative, Professional and Technical Group (APT), and the Canadian Union of Public Employees (CUPE).

Individuals must manually subscribe and unsubscribe to the elective listservs to receive future messages.

**How to Subscribe to the University Listserv(s):** to subscribe to any of the elective listservs, simply login to <http://www.uregina.ca/emaillists/view.html> and check any of the associated boxes. Click the submit button to confirm subscription.

**How to Unsubscribe to the University Listserv(s):** to unsubscribe to any of the elective listservs, simply login to <http://www.uregina.ca/emaillists/view.html> and uncheck any of the associated boxes. Click the submit button to confirm subscription.

**How to Send Messages:** to circulate a message, please visit <http://www.uregina.ca/emaillists/archives.html> and select the desired listserv ("Send message to...").

**How to View Archived Messages:** to view previously circulated messages, please visit <http://www.uregina.ca/emaillists/archives.html> and select the desired listserv name.

### 17.2.10 University Calendars

The University maintains three calendar systems that include: the University Events Calendar, the Athletics Schedule and the Students' Union Event Calendar.



The calendars can be viewed via the Events section on: <http://www.uregina.ca>

### **University Events Calendar**

The University Events Calendar is maintained by the Office of Communications. The calendar is intended to publicize events and activities sponsored, hosted or co-hosted by the University of Regina, affiliated Federated Colleges and Employee Unions.

To add an event to the University Events Calendar, forward all respective information to the Office of Communications. Information can be submitted via hard copy, email or fax and must include the following: contact name and contact information, event title, description, location and time, parking information and other relevant content. **Events must be open to the general public to be listed.**

Please submit all information to:

Office of Communications  
North Residence, Room 210, University of Regina  
3737 Wascana Parkway  
Regina, SK S4S 0A2  
Phone: (306) 585.4402; Fax: (306) 585.4997  
E-mail: [communications@uregina.ca](mailto:communications@uregina.ca)

### **Students' Union Event Calendar**

The Students' Union Event Calendar is maintained by the Students' Union at the University of Regina and publicizes events hosted by the URSU.

For more information, please see:

<http://ursu.uregina.ca/online/calendar>

## **17.3 Visual Identity**

The Communications team is authorized to oversee the correct use of the University of Regina's visual identity. In 2002, the University revised its logo and developed visual identity standards to support its use. For full details on how to use the University's logo, including official Pantone colors, size, placement, and stationery guidelines, please download the Adobe Acrobat Format (i.e., PDF) version of the Visual Identity Standards Guide: [http://www.uregina.ca/news/files/UR\\_Visual\\_ID\\_Guide.pdf](http://www.uregina.ca/news/files/UR_Visual_ID_Guide.pdf)

### **17.3.1 University Logo**

The University of Regina logo can be used in three color options: black, dark green, and green and gold. To support correct use of the logo, it is available in a variety of graphic formats and platforms for each of the three color options. Please download the desired color option from the following website:

<http://www.uregina.ca/news/identity>

### 17.3.2 Power Point Templates

A University of Regina Power Point template is available to assist in the development of presentations and other communications activities. The template may be downloaded from the following website: <http://www.uregina.ca/news/identity>

## 17.4 Research Publications

The Offices of the Vice-President (Research and International) and the Office of Research Services produce various research publications to highlight research and showcase success and accomplishments. Below please see a comprehensive list of these documents.

### 17.4.1 Brochure

The research brochure recognizes the breadth and depth of University of Regina research activities and is intended to assist in the facilitation of further research and partnerships. The intended audience is primarily external and includes: other universities; government, community and industry partners; international partners and collaborators; and the media. To obtain a copy of the research brochure, please contact the Office of Research Services.

### 17.4.2 Fact Sheets

Thematic and discipline-specific fact sheets highlight research initiatives, successes and accomplishments at the University of Regina. For more information, please contact the Office of Research Services.

### 17.4.3 Thematic Research Listservs

University of Regina faculty and staff members can subscribe and unsubscribe to any of the five thematic research listservs: culture and heritage, health, energy and environment, informatics and, social justice.

**How to Subscribe to the Research Listserv(s):** to subscribe to any of the thematic listservs, simply connect to the following website <http://www.uregina.ca/research/Calendar/subscribe.shtml> and enter in a full name and email address. Check any of the selected boxes and click the subscribe button to confirm subscription.

**How to Unsubscribe to the Research Listserv(s):** to unsubscribe to any of the elective listservs, simply connect to the following website <http://www.uregina.ca/research/Calendar/subscribe.shtml> and enter in a full name and email address. Check any of the selected boxes and click the unsubscribe button to confirm subscription.

### 17.4.4 Statistics

The Grant Research Facilitator produces monthly, cumulative and annual research statistics on research funding received and awarded to the University of Regina.

Internal statistics may be obtained, upon request, from the Office of Research Services.

## 17.5 Acknowledgement of External Funds Received

Researchers should acknowledge the receipt of all funds. Funding agencies usually require the recipient to use a standardized sentence that adheres to their agency requirements. Information may be obtained from the funding agency website or by contacting the Office of Research Services.

## 17.6 Publishing Research

### 17.6.1 Canadian Plains Research Center - Publishing Division

The Canadian Plains Research Center (CPRC) Publishing Division is the only university press in the province of Saskatchewan. Specializing in the prairies, CPRC publishes ten to fifteen titles (scholarly and trade non-fiction) per year and has successfully published more than 185 titles since 1973.

For more information, please visit: <http://www.cprc.ca/publishing.php>

### 17.6.2 Publishing with CPRC

CPRC welcomes submissions of scholarly and trade manuscripts on topics relevant to the Canadian Plains region.

The following URL provides a brief summary of the publishing process of a successful document: <http://www.cprc.ca/publishingwithcprc.htm>

### 17.6.3 Publishing Flowchart

The following URL provides information on the preparation, production, and marketing of a published document: <http://www.cprc.ca/text/author%27s%20guide.PDF>

### 17.6.4 CPRC Publications Board

The following URL provides a list of individuals that are currently appointed to the CPRC Publications Board: <http://www.cprc.ca/publicationsboard.htm>

## 17.7 Publications Distribution Policy

The following URL provides information on the University of Regina policy governing distribution of publications on campus:  
<http://www.uregina.ca/presoff/vpadmin/policymanual/general/1055.shtml>

## GLOSSARY

APEA -	Accountable Professional Expense Account
APT -	Administrative, Professional and Technical Group
AUP -	Animal Utilization Protocols
BANNER -	Administrative software used by the University of Regina
CAH -	Centre on Aging and Health
CARL -	Canadian Association of Research Libraries
CCAC -	Canadian Council on Animal Care
CCE -	Centre for Continuing Education
CEAA -	Canadian Environmental Assessment Act
CFI -	Canada Foundation for Innovation
CIET -	Centre for International Education and Training
CIHR -	Canadian Institutes of Health Research
CIPJS -	Canadian Institute for Peace, Justice and Security
COPPUL -	Council of Prairie and Pacific University Libraries
CPRC -	Canadian Plains Research Center
CRC -	Canada Research Chairs
CRFM -	Centre canadien de recherche sur les francophonies en milieu minoritaire
CRKN -	Canadian Research Knowledge Network
CSC -	Centre for Sustainable Communities
CSEE -	Centre for Studies in Energy and Environment
CSTGF -	Canadian Science and Technology Growth Fund
CUPE -	Canadian Union of Public Employees
EA -	Environmental Assessment
FAST -	Financial Administration Support Tool
FGSR -	Faculty of Graduate Studies and Research
FOAPAL -	Fund, Organization, Account, Program, Activity, Location
GSA -	Graduate Students' Association
GST -	Goods and Service Tax
HRI -	Humanities Research Institute
ICP -	Indirect Cost Program
IOF -	Innovation Operating Fund

IP -	Intellectual Property
IPHRC -	Indigenous Peoples' Health Research Centre
ISF -	Innovation and Science Fund
ISOF -	International Strategic Opportunities Fund
ISSO -	International Student Success Office
IT -	Information Technology
LEF -	Leading Edge Fund
LOF -	Leaders Opportunity Fund
JCR	Journal Citation Report
MOU -	Memorandum of Understanding
NIF -	New Initiatives Fund
NSERC -	Natural Sciences and Engineering Research Council of Canada
OICD -	Office of International Cooperation and Development
ORS -	Office of Research Services
P3I -	Prairie Particle Physics Institute
PARC-UR -	Prairie Adaptation Research Collaborative
PCAC -	President's Committee on Animal Care
Pcard -	Purchasing Card (i.e., Mastercard)
PDC -	Planning, Design and Construction
PDF -	Portable Document Format
PI -	Principal Investigator
PRC -	President's Research Committee
PST -	Provincial Sales Tax
PTRC -	Petroleum Technology Research Centre
R&D -	Research and Development
REB -	Research Ethics Board
RFA -	Request for Applications
RFP -	Request for Proposals
RFQ -	Request for Quotations
RIET -	Research and International Executive Team
RQHR -	Regina Qu'Appelle Health Region
SAC -	Space Allocation Committee

SHRF -	Saskatchewan Health Research Foundation
SIDRU -	Saskatchewan Instructional Development and Research Unit
SIPP -	Saskatchewan Institute of Public Policy
SLT -	Senior Leadership Team
SMS -	Supply Management Services
SPHERU -	Saskatchewan Population Health and Evaluation Research Unit
SPR -	Social Policy Research Unit
SpringBoard -	SpringBoard West Innovations Inc.
SRG -	Standard Research Grant (SSHRC)
SRU -	Sample Research Unit
SSHRC -	Social Sciences and Humanities Research Council of Canada
TEL -	Technology Enhanced Learning
UILO -	University-Industry Liaison Office
URFA -	University of Regina Faculty Association
URL -	Uniform Resource Locator (Internet address)