

OFFICE OF THE VICE PRESIDENT, RESEARCH AND GRADUATE STUDIES

Research Orientation for New Faculty Hires

August 30, 2016



International Relations





Rationale







Administrative Structure



Concordia

Concordia's Strategic Directions

To build a next generation university, we will...





Bold and vibrant, Concordia University will establish transformative cross-border alliances to inspire innovation and contribute to solving global challenges.

Our diverse community will continue to welcome the best ideas and talent, and our positive contributions will radiate out from Montreal into the world beyond.







Demonstrate research leadership in addressing global challenges

- Establish and lead global networks
- Double the number of cotutelles and international post-docs
- Launch, with a network of select institutions, international graduate classes, symposia and graduate student field schools at home and abroad
- Provide support to faculty in preparing international grant applications and hosting international conferences.





- Increase double degrees' programs and international field schools
- Provide immigration and logistical support for academic visitors and increase our intake of international researchers and interns
- Harmonize and streamline the academic exchange processes among faculties to foster the number of students going abroad
- re-evaluate our international student recruitment strategy in light of the overall international strategy and refocus it accordingly
- Develop with Concordia alumni and friends opportunities for international coop placements and internships





Implement global next generation initiatives

- Explore the feasibility of creating a foundation in Europe
- Establish a database on faculty members' international linkages
- Advance the use of technologies to connect our community internationally and attract international students
- Extend our know-how globally in specific areas such as District3, knowledgeOne, Fablabs, Continuing Education and Executive Programs
- Collaborate with federal and provincial governments and private partners to enhance the promotion and placement of Concordia Startups internationally.





- Launch a Concordia Global Leadership Network that involves faculty and students in developing world projects and hosting yearly forum on global challenges
- Harness Montreal's strength as a global hub in attracting and managing international organizations through the establishment of a think-tank on cities' globalization. The think tank will focus on urban globalization/ part of Urban Futures
- Work actively on enhancing our positioning in global rankings
- Globalize our continuing and executive education programs.





Research Integrity and Conflict of Interest



- Cameron Skinner, Associate professor
- Department of Chemistry and Biochemistry
- RIO







Research Integrity

- Public trust
 - Results
 - Funding
 - Research subjects (of mice and men...)
 - Training







Does this apply to me (my students)?

- All research at Concordia covered
- Includes all funded and unfunded work
- On campus and off campus
- Additional level of reporting & oversight when federally/provincially funded
- If bursary/assistantship originates with federal/provincial funding
- Thesis, and thesis work considered "research", if deposited then also considered academic



Yep, we've got a Policy for that!

- Search "Policy" on Concordia's main page
 - Policy on Intellectual Property (<u>VPRGS-9</u>)
 - Policy for the Ethical Review of Research Involving Humans (<u>VPRGS-3</u>) & Animals (<u>VPRGS-13</u>)
 - Policy on Conflicts of Interest in Research (<u>VPRGS-5</u>): COI
 - Policy for the Responsible Conduct of Research (<u>VPRGS-12</u>): RCR



Common pitials

Publica

Conflicts of i

Photo: LT. MATTHEW HERTZFELD, TOLEDO, OHIO FIRE AND RESCUE DEPARTMENT VIA AP FOUND AT HTTP://WWW.STARTRIBUNE.COM/OHIO-SINKHOLE-SWALLOWS-CAR-DRIVER-ESCAPES-WITH-HELP-OF-LADDER/214214761/

In



Authorship – credit where credit is due

- Varies amongst the disciplines Cries out for clarity
 - Supervisors have role in overseeing authorships
 - Sort this out before the paper is written/submitted
 - Who belongs? (first, middle, last, contributors, acknowledgements)



Authorship – credit where credit is due

- Basics need to be adhered to though:
 - Each author is responsible for the publication
 - Each author must contribute in a meaningful way
 - Each author must agree to the publication



Authorship – Well, we thought he was an author...



Retraction Watch

Tracking retractions as a window into the scientific process

Journal repels a paper on a magnetic material after authorship, funding issues

without comments

A paper on the properties of a magnetic material is being retracted after including an author without his permission, and omitting a funding source.

According to the note, the work was done in <u>Miao Yu</u>'s lab at Chongqing University in China; the authors then added Yu's name to <u>the paper</u> without his authorization, and neglected to list a relevant funding source.

Here's <u>the retraction note</u> for "Temperature-dependent dynamic mechanical properties of magnetorheological elastomers under magnetic field," published in the *Journal of Magnetism and Magnetic Materials*:

This article has been retracted at the request of the Editor-in-Chief as the authors have used Professor Miao Yu's name in the article without his authorization. Besides, the work presented in the



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Help us: Here's some of what we're working on How you can support Retraction Watch Meet the Retraction Watch staff About Adam Marcus

About Ivan Oransky

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Authorship – credit where credit is due

- Basics need to be adhered to though:
 - Each author is responsible for the publication
 - Each author must contribute in a meaningful way
 - Each author must agree to the publication
 - Do not neglect appropriate authors



Authorship – Don't freeze-out authors

Image: Second in the second

Retraction Watch

Tracking retractions as a window into the scientific process

Analyze this! Analytical Letters retracts chemistry paper for authorship misdirection

without comments

<u>Analytical Letters</u> has retracted a 2011 article by a chemistry researcher at Wright State University in Dayton, Ohio, who seems to have avoided giving credit where credit was due.

The article, "Conducting Polymer Matrix Poly(2,2'-bithiophene) Mercury Metal Incorporation," was written (so readers were told) by <u>Suzanne Lunsford</u>.

Here's how the retraction notice explains it:



We, the Editor and Publisher of *Analytical Letters*, are retracting the following article:

Suzanne Lunsford "Conducting Polymer Matrix Poly(2,2'-bithiophene) Mercury Metal Incorporation" *Analytical Letters*, **44**.4 (2011): 727-735 <u>http://dx.doi.org/10.1080/00032711003783143</u>

The author's institution, Wright State University, has conducted an investigation into the authorship of this article, and established that the claim of sole authorship is not justified. This constitutes a





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Help us: Here's some of what we're working on

<u>How you can support</u> <u>Retraction Watch</u>

<u>Meet the Retraction Watch</u> <u>staff</u>

About Adam Marcus

About Ivan Oransky

<u>The Center For Scientific</u> Integrity



Authorship – credit where credit is due

- Basics need to be adhered to though:
 - Each author is responsible for the publication
 - Each author must contribute in a meaningful way
 - Each author must agree to the publication
 - Do not neglect appropriate authors
 - No "guest/honorary" authors
 - Collaborators are not automatic authors!
 - Declining authorship
 - The Journals established criteria and certification



Publications: Open Access

- Tri-Council grant recipients are required to ensure publications arising from Agency-supported research are freely accessible within 12 months of publication.
- Recipients can do this through:
 - Online Repositories Spectrum
 - Journals
 - Pay to allow open access (eligible grant expense!)
 - Open Access

Modified Aug 26, 2016 from: http://www.science.gc.ca/default.asp?lang=En&n=F6765465-1



Publications: Open A¢¢e\$\$

- Proceed with caution not all Open Access journals are equal
- Some are (strictly) for profit with no real peer review despite claims
- And then there is...

Want to publish in Nature and Science – Easy!!

"Marsland Press, offers the opportunity to publish in a journal called <u>Nature and Science</u>." But, not exactly the same as publishing in Nature and Science.

Modified Aug 26, 2016 from: https://www.statnews.com/2015/11/19/fraudsters-academics-journals/

Concordia

Conflicts of Interest

- A conflict of interest may arise when activities or situations place an individual or institution in a real, potential or perceived conflict between the duties or responsibilities related to research, and personal, institutional or other interests.
- These interests include,
 - business, commercial or financial interests
 - the individual, their family members, friends, or their former, current or prospective professional associates.

Taken directly from Panel on Research Ethics: Aug 26/2016, http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/chapter7-chapitre7/



Conflict\$ of Intere\$t

- Real, potential or perceived financial conflicts of interest may affect any type of research.
- Ensure that financial considerations do not serve to diminish respect for the principles of scientific validity and transparency of research procedures.
- Financial incentives have the potential to distort researchers' judgment or the perception of their judgement and ethical integrity of research

Taken & modified from Panel on Research Ethics: Aug 26/2016, http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/chapter7-chapitre7/



Conflict\$ of Intere\$t

- Researchers need to disclose
 - all kinds of payment (financial or in-kind) by sponsors, commercial interests, and consultative or other relationships
 - any other relevant information that may affect the project (e.g., donation to an institution by a research sponsor)

Taken & modified from Panel on Research Ethics: Aug 26/2016, http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/chapter7-chapitre7/



Hiring "relatives" & Working with students

- Close working/personal relationships can produce COI
- Must be very sensitive to perceived COI
- Delicate situation but can often be managed
 - Relatives
 - Children
 - Brothers/sisters
 - Partners
 - Husband/Wife
 - Romantic



Conflicts of Interest: What to do?

- Failure to disclose and manage conflicts may impede the informed and autonomous choices of individuals.
- So declare it!!
 - Ask beforehand not a case of "forgiveness is easier than permission"
 - Use the "Conflict of Interest Disclosure Form" available on the "Policy by Theme" page or contact OOR or the RIO.
 - Many COI's can be managed (see <u>VPRGS-5</u>)

Taken & modified from Panel on Research Ethics: Aug 26/2016, http://www.pre.ethics.gc.ca/eng/policy-politique/initiatives/tcps2-eptc2/chapter7-chapitre7/



Research Misconduct- How did we get here?

- Breaching other policies within research context
- Bad "research" behavior
 - COI
 - Plagiarism
 - Misused funds
 - Breach of research contracts
 - Fraudulent use of data
 - Etc.
- VPRGS-12 investigation/sanction



Who does the RCR Policy apply to?

- All researchers carrying-out research at Concordia
 - Faculty members funded or unfunded
 - Graduate students
 - Includes thesis research work
 - Undergrads carrying out thesis research
 - Visiting scholars
 - Post-doctoral researchers
 - Research Assistants



Research misconduct investigations at Concordia

- Complaint
 - Receive a complaint externally, student, Journal, Subject etc.
 - Uncover a problem Administrative complaint (Chair, AREC/HREC, Funds etc.)
 - May deal with any aspect related to research
 - Goes to VPRGS and triggers VPRGS-12 Policy & Procedures



Research misconduct investigations at Concordia

- Inquiry
 - Two Designated Investigators (DI's) usually Dean + senior administrator
 - Fact-finding, brief (60 days)
 - Operates in a Collective Agreement framework for unionized Respondents
 - Reports to VPRGS
 - May need to report to funding organization
 - Can dismiss, uphold or send to Investigation


Research misconduct investigations at Concordia

- Investigation
 - Panel of 3, or more, senior members with appropriate expertise
 - Will have a member from another university
 - Will investigate the allegations more thoroughly, 60 days
 - Can dismiss or uphold
 - Makes recommendations regarding sanctions
 - Report to VPRGS and funding agency if needed
 - Appeals process



Research misconduct investigations at Concordia

- Concordia sanctions include, but not limited to,
 - a verbal warning
 - special monitoring of future research
 - a letter in employment file
 - withdrawal of specific privileges
 - removal of specific responsibilities
 - suspension or expulsion
 - Termination
- Additional sanctions could be imposed by funding agencies (banning from applying, review committee)



Public disclosure of Research Misconduct

- Announced in 2015: Coming to Canada for Tri-Council funded work (NSERC, CIHR, SSHRC)
- Probably provincial agencies will follow
- Disclosure for NIH funded work common in US via ORI



What's Behind Research Misconduct?

- Motivations towards Misconduct
 - Prestige and acknowledgement

"Science fetishizes the published paper as the ultimate marker of individual productivity. And it doubles down on that bias with a concept called "impact factor" — how likely the studies in a given journal are to be referenced by subsequent articles." (ADAM MARCUS and IVAN ORANSKY)

- Scholarly gain
 - Fast-track to \$\$\$/grants/students
 - Tenure
- I need
 - To get out of here/graduate
 - "Help" my supervisor
- Carelessness
- Conflicts of interest

Modified from NYTimes, 2015, accessed Aug26, 2016:

http://www.nytimes.com/2015/05/23/opinion/whats-behind-big-science-frauds.html?_r=



Concordia

Spotting "Red Flags"

"Scientific scandals come in all shapes and sizes and can result from the actions of lab members at any level"

- Lack of transparency
 - Access to the raw data
 - Convoluted data work-up
 - Only person "capable" of analysis
- Suspicious lab practices
 - Secretive, can't be reproduced, exceptional "talent"
- "Revolutionary" findings
 - Too good to be true? Run independent validation
- Misleading statistics
- Small lies, big lies

 Taken & modified, Aug 2016, from: http://www.the-scientist.com/?articles.view

 /articleNo/44582/title/Scientific-Misconduct--Red-Flags/

See any "Red Flags"?

Seeing Red?

- Learn as much as possible
- What potential explanations could account for the discrepancies?
- Protect yourself written record of your observations
- Approach your colleague with care
- Escalate the issue
 - Notify Chair/VPRGS/RIO
 - Avoid personal conflict

Taken & modified, Aug 2016, from: <u>http://www.the-scientist.com/?articles.view</u> /articleNo/44582/title/Scientific-Misconduct--Red-Flags/

Questions? Unsure? Contact the RIO



Contact coordinates

- Cameron Skinner
- Loyola Campus SP 275-27
- x3341
- RIO@Concordia.ca



Industry Partnerships



Research Support at Concordia





Services Provided by the RPI





Why Collaborate with Industry?

- R&D collaborations between university and industry are a key driver of innovation and the nation's economy
- Governments recognizing the importance of these collaborations have developed and expanded a variety of partnership funding programs
- Some of the many benefits to companies include: intellectual and financial leveraging, opportunity to participate in the training of HQP, access to specialized infrastructure and expertise
- **Benefits** to Universities include:
 - 1. Opportunities to work on applied, cutting-edge, research topics
 - 2. Access to broader spectrum of **research funding** opportunities
 - 3. Students have the opportunity to work with, and learn from, industry experts
 - 4. Organizational reputational growth through long-term relationships with strategic R&D partners



Relationship Building

A few tools to get started in building relationships with industrial partners are:

Seminars & invited talks
Open Houses
Lab/Company Visits
Teaching & co-teaching
Match-making Events





Evolution of R&D Relationships and Programs



Duration of Project



CONTACT US:





Research Development and Facilitation



Research Development Unit

Our objectives	It's really all about
Proactively deliver information and support services to assist faculty in the acquisition of funded research	Expert navigation of agency guidelines and procedures
Increase the quality of research grant applications submitted from the University	Proposal review and troubleshooting
Strive to optimize success rates in grant competitions and other research-related opportunities	Timely strategy of grant applications



Research Development Unit





Research Development Unit

Facilitation & Development - TO BE COMPLETED UP TO 1 WEEK PRIOR TO DEADLINE				
Grant presentation & readability		Research methodologies & proposed analysis		
Research objectives & questions		Addresses agency's evaluation criteria		
Literature review		Proposed budget & justification		
Impact & knowledge mobilization				
Feedback & Review				
Communicated directly with the applicant in person / over the phone				
Provided applicant with written report/email summarizing feedback				
Written comments and or electronic track changes have been inserted directly into the proposal				
Have offered a follow up review of the final version				
Additional comments:				



Research Facilitators at Your Service



Arts & Science (Natural Sciences & Health): Lynn Roy (interim), x4452

Arts & Science (Social Sciences & Humanities): <u>Michele Kaplan</u>, x2071

Engineering & Computer Science: Lauren Segall, x3263

Fine Arts: Lyse Larose, x5632

John Molson School of Business: Arlene Segal, x2388





Pre-Award

The process of completing and submitting a grant application.

Key Points

- University (OOR) Review of a Grant Application
 Internal Deadlines
 Indirect Costs
- Feedback
- Signature and Submission of a Grant Application







Post-Award

The process following the announcement of an award and how the research project is managed.

Key Points

- Agency Decisions
 - Communication of Results
- Compliance
- Account Set-Up
- Management of the Award
 - Budget changes and revisions
 - Leaves and Extensions



Unit contacts:

Andrea Rodney, Manager

Andrea.Rodney@concordia.ca 514-848-2424 ext.4887

Kristina Copestake, Administrator, Research Grants

Kristina.Copestake@concordia.ca 514-848-2424 ext. 4886

Nancy Lulic, Assistant, Research Grants

Nancy.Lulic@concordia.ca 514-848-2424 ext. 4888



Restricted Funds



RESTRICTED FUNDS

Our mandate:

- To provide financial management and control on behalf of external stakeholders:
 - Governmental agencies
 - ${\rm \circ}$ Private industries and donors
- As well as an infrastructure to facilitate the management of the funds to our internal stakeholders:
 - \circ Researchers
 - Financial managers and administrators



SERVICES WE PROVIDE

- Provide your new fund number and the necessary information to get you started to use your grant.
- Clarify questions on the eligibility of expenses on your research grants.
- Create invoices and all the financial reports required by your funding agency.
- Assist you in your budgetary needs and any other questions related to the life cycle of your grant.



Contact us with your questions

 For more information please contact your financial officer(details provided in your package).

Thank you!

 Angela Luciano, Project Accountant Manager, Restricted Funds: <u>angela.luciano@concordia.ca</u>.





Accounts Payable



Accounts Payable Processes

Payment of invoices

Related to Purchase Orders/Blankets

Direct payments

- Reimbursement of Expenses
- Corporate Cards
- Pcards
- Foreign Currency Payments
- Travel
- Restricted Funds



Accounts Payable Contacts

Payment of Invoices

- Invoices on POs Vendors A-L: Ida Garzone, Ida.Garzone@concordia.ca or x4923
- Invoices on POs Vendors M-Z: Wendy Ridders, <u>Wendy.Ridders@concordia.ca</u> or x4944
- o Direct pay Invoices: Margaret.Schuster@concordia.ca or x4941

Reimbursement of Expenses

- Expense Reports over 500\$: Mary Melnyk, Mary.Melnyk@concordia.ca or x4921
- Expense Reports 500\$ and under: Katherine Scribner, Katherine.Scribner@concordia.ca or x4341
- Corporate Card: cindy Warren: <u>Cindy.Warren@concordia.ca</u> or x4946
- Pcard: Frederick Clayman, <u>Frederick.Clayman@concordia.ca</u>, x4763
- Foreign Currency Payments: Frederick Clayman, Frederick.Clayman@concordia.ca, x4763



Accounts Payable Contacts

- Travel Agencies: Katherine Scribner, <u>Katherine.Scribner@concordia.ca</u> or x4341
 - o Norko International Travel
 - Uniglobe Voyages Lexus
 - Voyages Groupe Ideal
 - * See Cspace for Travel Agency contact information
- Travel (Hotels, rental Cars, Airfare, Train, Other): Mary Melnyk, Mary.Melnyk@concordia.ca or x4921
- Other Inquiries:
 - o Margaret Schuster, Margaret.Schuster@concordia.ca or x4941
 - Cspace page (Services \rightarrow Financial)



Business Process Office



Business Process Office (BPO) - Overview

 The Business Process Office (BPO) is responsible for coordinating business process initiatives, including process development and identification of potential opportunities and efficiencies. It is also responsible for supporting Financial Services in all system related operations including; administration, implementation, maintenance, security, training and upgrades.

 Other responsibilities also include; support for banking services and compliance, projects and, to act as a primary liaison between Financial Services and other service units.





Business Process Office (BPO) - Services

- Access to Financial Systems (Banner and Millennium)
 - Financial Reports
 - Purchasing Card
 - Web Requisitions
- Financial System User Training
- Banking Services Support and Compliance
- Business Process Analysis




Business Process Office (BPO) - Contacts

- fisadmin@concordia.ca or <u>help@concordia.ca</u>
- Paul Sarenas Business Process Manager (x4982)
- Riccardo Campopiano Systems Analyst (x4945)
- Renee Cohen Process and Policies Analyst (x4929)
- Liliane Law FIS Support Analyst (x4922)



Hiring Research Personnel (TRAC-RA and CARE)



Research Orientation for New Faculty Hires Employee and Labour Relations, Human Resources

	TRAC - RA	CARE - RA	CARE - PT	Note
Name	Teaching and Research Assistants at Concordia – Research Assistants	Concordia Association of Research Employees – Research Associates and Assistants	Concordia Association of Research Employees – Professionals and Technicians	
Position Titles	-Student Research Assistant	-Research Associate -Research Assistant	-Support Professional -Support Technical	See appropriate HR Form, Hyperlink at page 7

Research Orientation for New Faculty Hires Employee and Labour Relations, Human Resources

	TRAC - RA	CARE - RA	CARE - PT	Note
Definitions	Student RA employed by CU	(Non-Student) Research Associates and Assistants employed by CU, not covered by another bargaining unit.	Professionals and Techs. employed by CU, paid from research funds, not covered by another bargaining unit.	As per Labour Board
HR Form	Employment Contract for Student RA (TRAC) 2016-2017	Notice of Hire, (Non-student) Research grant employee.	Notice of Hire, (Non-student) Research grant employee.	See Hyperlinks at page 7

Personnel file

- While we acknowledge the time investment, the collection of information is essential to build the personnel file.
- Hiring will only be processed upon completion / gathering of the necessary information on the notice of hire.



Personnel file

Principal investigators, or their delegate, will be responsible to ensure that the following information / documentation is made available to Human Resources:

- Notice of hire duly completed;
- Copy of employee's résumé;
- Copy of relevant diplomas and certifications;
- Copy of work permit and permanent resident visa.



Personnel file

The notice of hire is essential to the processing of your new employee through human resources and payroll. It contains critical information, such as:

- Employee's bio data;
- Social Insurance number;
- Employee's category (as per upcoming negotiated definitions);
- Employee's contact info.



Research Orientation for New Faculty Hires Employment Contract for Student Research Assistant

Employment Contract for Student Research Assistant (TRAC) 2016-2017 Academic Year Only

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		16 to April 30, 2017 an								
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Research Orientation for New Faculty Hires Notice of Hire Research Grant Employee

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Please forward the original form to Payroli (FB-1130). Send a copy to the Dean's Office and retain a copy for your files

ast update. August 2016

PAY_Research_Grant_Hire_0612



Research Orientation for New Faculty Hires Need help or information on...

Subject	Contact
How to complete a notice of hire, change or termination form?	ann-marie.giglioneconcordia.ca
Benefits, RRSPs, Tuition.	benefits@concordia.ca
Pension	pension@concordia.ca
Payroll	payroll@concordia.ca
Staff ID Cards	Drop by S-FB-1130; for Non-Student Grant Contracts (non-TRAC) >=1yr. All other researchers a letter from the supervisor is required to authorize the card.
Labour Relations, CARE-RA & CARE PT	pierreclaude.bourke@concordia.ca
Labour Relations, TRAC-RA	Caroline.durand@concordia.ca



Research Orientation for New Faculty Hires Forms...

Form	Link
Notice of Hire / Notice of Change / Notice of termination	https://cspace.concordia.ca/services/hr/form s.html#research
TRAC-RA Collective Agreement	http://www.concordia.ca/hr/dept/employee- labour-relations/labour-agreements- collective-bargaining/trac-ra.html
Direct Deposit Form	https://cspace.concordia.ca/content/dam/co ncordia/services/hr/docs/payroll/direct- deposit-form-0911.pdf
Salary and Benefit Rates Table	https://cspace.concordia.ca/content/dam/cs pace/services/financial/docs/Benefit_Rates_ for_2016-2017.pdf



Environmental Health & Safety: Research Compliance Reviews PI Health & Safety Responsibilities



Environmental Health & Safety

Environmental Health & Safety supports the academic, research and operational activities of the University and promotes a safe, healthy and sustainable campus environment by managing and coordinating programs and services that minimize health, safety, environmental and regulatory risks.

- Prevention
- Industrial Hygiene
- Laboratory Safety
- Sustainability



eep it safe

Safety Programs - Research

- Biosafety
- Chemical Safety
 - Chemical Inventory
 - Nanomaterial Safety
 - Hazardous Waste Management
 - Transportation of Dangerous Goods
- Controlled Goods
- Controlled Substances
- Laboratory Safety Inspection
- Laser Safety
- Magnetic Field Safety
- Radiation Safety



Manuals:

- Lab Safety
- Biosafety
- Radiation Safety
- Laser Safety



Safety Rights & Responsibilities

- Everyone has a basic right and responsibility to themselves and others to work in an environment which is safe
- Everyone, no matter their position, is expected to take initiatives on health and safety issues and to work to solve problems and make continuous improvements in the workplace
- Safety is a shared responsibility (VPS-40)





Act Respecting Occupational Health and Safety (L.R.Q., c. S-2.1)

Employer & Supervisor Responsibilities

Employers or persons directing work must be able to demonstrate **DUE DILIGENCE** by taking the necessary measures to protect the health, safety and physical wellbeing of workers.





Canadian Criminal Code (R.S.C., 1985, c. C-46)

Supervisors are personally liable and can be held criminally responsible (negligent) with regards to the safety of employees, students and visitors.

10 prosecutions to date

"...a legal duty to take reasonable steps to prevent bodily harm ..."





Supervisor's Due Diligence

- Ensure that the workplace is safe
- Complying with all relevant legislation, regulations and government standards
- Complying with all University safety policies & procedures
- **Establishing** safe practices and working conditions
- Communicating hazard information and safe work practices
- Assessing and controlling risk and hazards in their areas
- Plus



Supervisor's Due Diligence

- Providing orientation to all staff and students
- Adequately supervising students working with or near hazardous materials
- Enforcing safe practices and compliance with internal policies and procedures.
- Supplying personal protective equipment and maintaining safety equipment
- **Correcting** any unsafe conditions or hazards
- **Reporting** all injuries and near-misses
- Leading by example



EHS Research Compliance Review

	cation forms by the PI (with	Enail Principal Investigator Telephone E-mail Department Project Title Project Location (Room, Building) EHS Approval Certificate Number	Dr. R Greene +1 (514) 848-2424 ext 1111 Largreene@concordia.ca My Department Project involving hazardous materials or equipment Concordia University Premises EHS-16-XXX
traini	cation of valid ng of PI and members	Dr. Greene has been issu According to the inform	d Safety has reviewed Dr. Greene Environmental Health & Safety Compliance. ed all the necessary internal permits. aution provided to EHS, we certify that the planned research project is in ersity internal safety policies and procedures and all government laws and Approved for use Rediation Permit: RP-RGR-15-0XX
<section-header></section-header>	<image/>	to carry out all procedures also assume full responsib	
Verification of internal & external permit requirements	Termental constraints and the second		^{1/1} rovided to the Office of Research uired for release of funds



Researcher Safety Orientation

One-on-One Orientation for PIs

- Review of relevant safety policies
- Internal & external permit requirements
- Safety training requirements





EHS Support



Safety Training

- Legislated and University imposed safety training provided by EHS
- Lab-specific training provided by Supervisors
- Supervisor's Training Reports (screenshot)

Support (documents & forms)

- Safety Orientation Checklist for Laboratories, Studios & Workshops (handout)
- Guidelines for Training Requirements (hand out)



Supervisor's Training Report

Supervisor's Safety & Compliance Training Report

Gasparrini, Pietro

Director, Environmental Health And Safety

Supervisor's Training History

13-Sep-13	13-Sep-16
26-Nov-14	N/A
26-Jul-12	26-Jul-15
24-Feb-16	N/A
04-Jun-14	04-Jun-17
23-Apr-15	N/A
31-Jul-12	31-Jul-15
18-Jul-13	18-Jul-14
04-Oct-13	N/A
	26-Nov-14 26-Jul-12 24-Feb-16 04-Jun-14 23-Apr-15 31-Jul-12 18-Jul-13

Staff/Student Training History

icchione, Lina	Staff		
Title (Subject)		Training Date	Valid Unti
Asbestos Safety Training (Asb	estos)	13-Sep-13	13-Sep-16
Fall Protection/Confined Space	es (Confined Space Safety)	26-Nov-14	N/A
Hazardous Waste Operations (Chemical Safety)	& Emergency Response (HAZWOPER)	05-Dec-11	05-Dec-14
Identification of Risks and Wo	rkplace Inspections (Orientation)	23-Apr-15	N/A
Lock-Out-Tag-Out (Control of	Hazardous Energy (LOTO))	30-Apr-15	N/A
Respiratoty Protection (3M) (Respiratory Protection)	26-Nov-14	N/A
WHMIS 1988 for Laboratory F	Personnel (Chemical Safety)	04-Apr-14	04-Apr-17
Working at Heights (Working	at Heights)	28-Jan-16	28-Jan-19
Workplace Harassment Work	shop (Orientation)	04-Oct-13	N/A



Questions?

Contact EHS

(514) 848-2424 ext. 4877

SGW Office 1455 de Maisonneuve W. GM-1000 Montreal, QC, H3G 1M8 Loyola Office 7141 Sherbrooke St. W. PS-201 Montreal, QC, H4B 1R6

www.concordia.ca/ehs

ehs@concordia.ca



Research Ethics



Overview

- Background
- Principles
- Scope
- Process
- Q&A



Background

Questionable medical research in the 20th century:

- Treatment withheld despite proven efficacy
- Continuing studies despite evidence of toxicity
- Administration of toxic substances to improve understanding of disease
- Experimental surgical techniques tested on healthy patients
- Infants exposed to high doses of x-rays for dubious purposes

Henry K. Beecher. Ethics and Clinical Research. *NEJM*. 1966; 274: 367 – 372.





Normative Texts

- Among the most important:
 - TCPS 2 Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans
 - Civil Code of Quebec
 - Professional codes of ethics





The Three Principles - TCPS2 (2010)

- Respect for persons
- Concern for welfare
- Justice



Respect for Persons

Respect for persons

- Typically framed as an issue of autonomy and of informed consent
- Special protections for individuals with reduced autonomy:
 - Children
 - · Mentally incapacitated adults
 - Prisoners
 - Employees
- Other considerations:
 - Relationship with the participant
 - Relationship with the community



Respect for Persons

Elements of informed consent

- An ongoing process
- Information
 - Such as the objective, risks, benefits, methods etc.
- Comprehension
 - How will participating affect me?
- Voluntariness
 - At a minimum, lack of coercion
- Articulation of a choice
 - Written consent forms most common.
 - Other means of obtaining and documenting consent may be appropriate. (See TCPS Art. 3.12)



Concern for Welfare

- Broad conception of harms and benefits
 - E.g. physical harm, but also psychological harm, risk to privacy, financial well-being
- Maximize benefits
 - To the participant
 - To society at large
- Minimize risks
- Reasonable risk-benefit ratio



Justice

- Minimally, justice requires fair subject selection
 - Not choosing subjects on a convenience basis
 - Inclusiveness in subject selection
- Other considerations
 - Access to the fruits of research
 - Research priorities





What research is subject to ethics review?

- Research: "an undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation." (TCPS2 p. 15)
- Participant: "those individuals whose data, or responses to interventions, stimuli or questions by the researcher, are relevant to answering the research question." (TCPS2 p. 16)
- Disciplined inquiry: "an inquiry that is conducted with the expectation that the method, results, and conclusions will be able to withstand the scrutiny of the relevant research community." (<u>http://pre.ethics.gc.ca/eng/policy-politique/interpretations/scope-portee/</u>)
- See the "Cheat Sheet"





Secondary use of information

 "REB review is not required for research that relies exclusively on secondary use of **anonymous** information... so long as the process of data linkage or recording or dissemination or results does not generate identifiable information" (TCPS art. 2.4)



Process

The <u>Summary Protocol</u> <u>Form (SPF):</u>

- Please use the most recent version
- Follow the instructions



SUMMARY PROTOCOL FORM (SPF)

Office of Research – Research Ethics Unit – GM 900 – 514-848-2424 ext. 7481 – oor.ethics@concordia.ca/www.concordia.ca/offices/oor.html

IMPORTANT INFORMATION FOR ALL RESEARCHERS

Please take note of the following before completing this form:

- You must not conduct research involving human participants until you have received your Certification of Ethical Acceptability for Research Involving Human Subjects (Certificate).
- In order to obtain your Certificate, your study must receive approval from the appropriate committee:
- Faculty research, and student research involving greater than minimal risk is reviewed by the University Human Research Ethics Committee (UHREC).
- Minimal risk student research is reviewed by the College of Ethics Reviewers (CER; formerly the "Disciplinary College"), except as stated below.
- Minimal risk student research conducted exclusively for pedagogical purposes is reviewed at the departmental level. Do not use this form for such research. Please use the Abbreviated Summary Protocol Form, available on the Office of Research (OOR) website referenced above, and consult with your academic department for review procedures.
- Research funding will not be released until your Certificate has been issued, and any other required certification (e.g. biohzard, radiation safety) has been obtained. For information about your research funding please consult:
- Faculty and staff: OOR
- Graduate students: School of Graduate Studies
- Undergraduate students: Financial Aid and Awards Office or the Faculty or Department
- Faculty members are encouraged to submit studies for ethics by uploading this form, as well as all supporting documentation, to ConRAD, which can be found in the MyConcordia portal.
- If necessary, faculty members may complete this form and submit it by e-mail to <u>oorethics@concordia.ca</u> along with all supporting documentation. Student researchers are asked to submit this form and all supporting documentation by e-mail, except for departmental review. Please note:
- Handwritten forms will not be accepted.
- Incomplete or omitted responses may result in delays.
- This form expands to accommodate your responses.
- Please allow the appropriate amount of time for your study to be reviewed:
- UHREC reviews greater than minimal risk research when it meets on the second Thursday of each month. You must submit your study 10 days before the meeting where it is to be reviewed. You will normally receive a response within one week of the meeting. Please confirm the deadline and date of the meeting with the staff of the Research Ethics Unit.

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SPF Version: September 2014



SPF Version: September 2014

Other supporting documentation

- Scholarly Review Form (only if you are conducting greater than minimal risk research)
- Recruitment materials to be used, such as advertisements or letters to participants
- Instruments to be used to gather data, such as questionnaires or interview guides
- Consent script
- Debriefing script
- List of resources to whom participants can be referred if necessary
- Letters of support from participating organizations
- Submit by e-mail: <u>oor.ethics@concordia.ca</u>



Research Ethics Boards (REB)

- "University Human Research Ethics Committee" (UHREC) at Concordia
- Mandate: "review the ethical acceptability of all research involving humans"
 - Independent of the researcher
 - Emphasis on protecting the rights and well-being of research participants



Initial review

- Triage based on risk level
- Delegated review
- Full committee review
- Possible outcomes:
 - Approved
 - Approved with comments / recommendations
 - Conditional Approval
 - Queries
 - Not approved



Contact Information

Initial review of faculty research, and general inquiries:

Monica Toca Interim Manager, Research Ethics monica.toca@concordia.ca 514-848-2424 ext. 2425

 Our website: http://www.concordia.ca/research/forresearchers/ethics.html#tab0





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