

2017 Research Orientation for New Faculty Hires

Research Integrity and Conflict of Interest

**Cameron Skinner, Associate professor
Department of Chemistry & Biochemistry
RIO**

Research Integrity

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

Research Integrity



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

Common pitfalls

- Authorship
- Publications
- Conflicts of interest

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/](http://www.startribune.com/ohio-sinkhole-swallows-car-driver-escapes-with-help-of-ladder/214214761/)

Research Misconduct

How to end up in hot water....

- Breaching other policies within research context
- Bad “research” behavior
 - COI
 - Plagiarism
 - Misused funds
 - Breach of research contracts
 - Fraudulent use of data
 - Etc.

Yep, we've got a Policy for that!

- Search “Policy” on Concordia’s main page
 - Policy on Intellectual Property ([VPRGS-9](#))
 - Policy for the Ethical Review of Research Involving Humans ([VPRGS-3](#)) & Animals ([VPRGS-13](#))
 - Policy on Conflicts of Interest in Research ([VPRGS-5](#))
 - Policy for the Responsible Conduct of Research ([VPRGS-12](#))

Questions? Unsure?

Contact the RIO:

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

CONCORDIA.CA

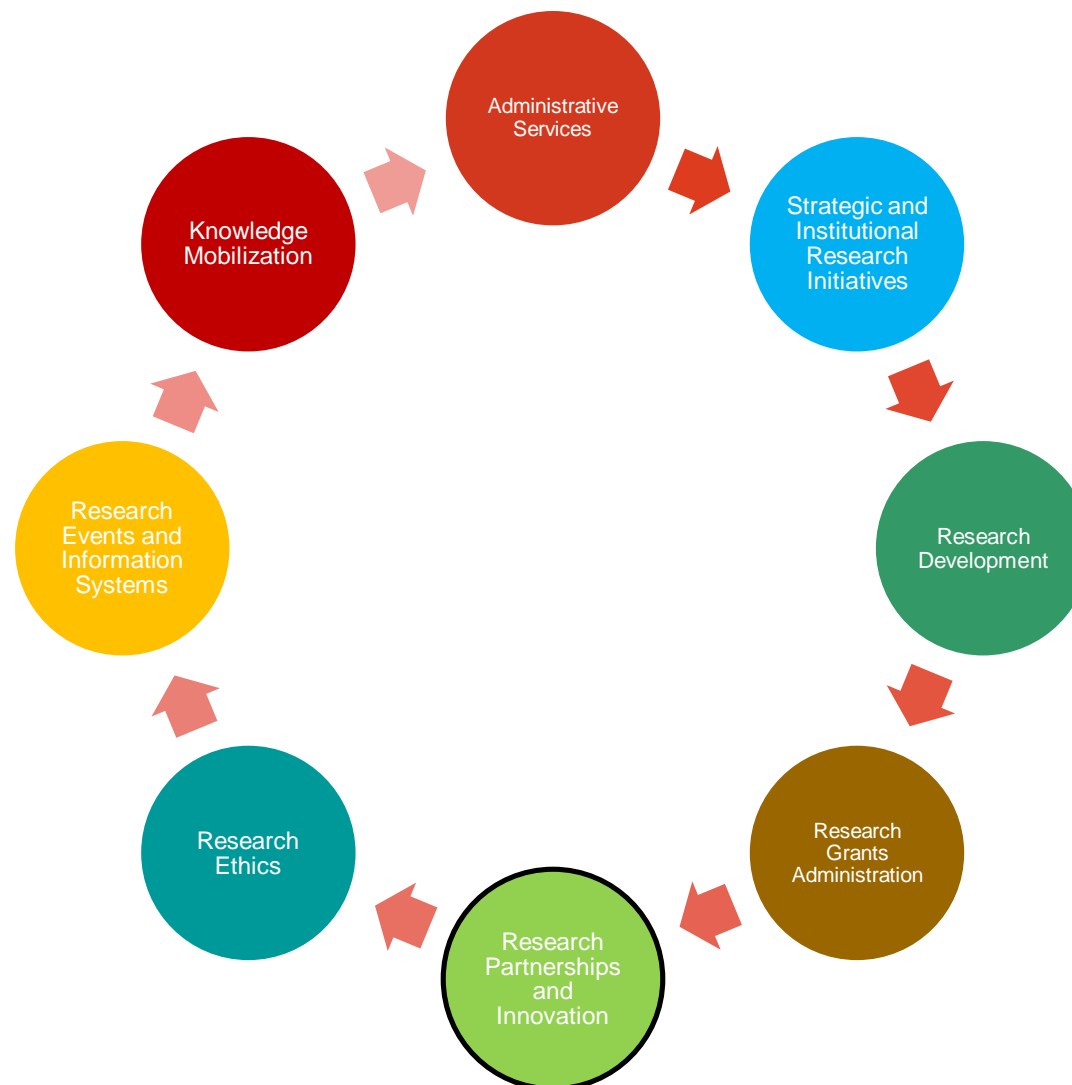


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Research Partnerships and Innovation

August 29, 2017

Research Support at Concordia



Services Provided by the RPI

Negotiate, draft and review all research-related agreements with public and/or private sponsors

Manage Concordia's research output intellectual property (IP) portfolio

Assist in identifying potential partners and developing relationships

Provide guidance regarding research agreements (MTAs, NDAs, R&D contracts etc.), IP, and technology transfer

Assist in partnership project funding proposal development and review



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

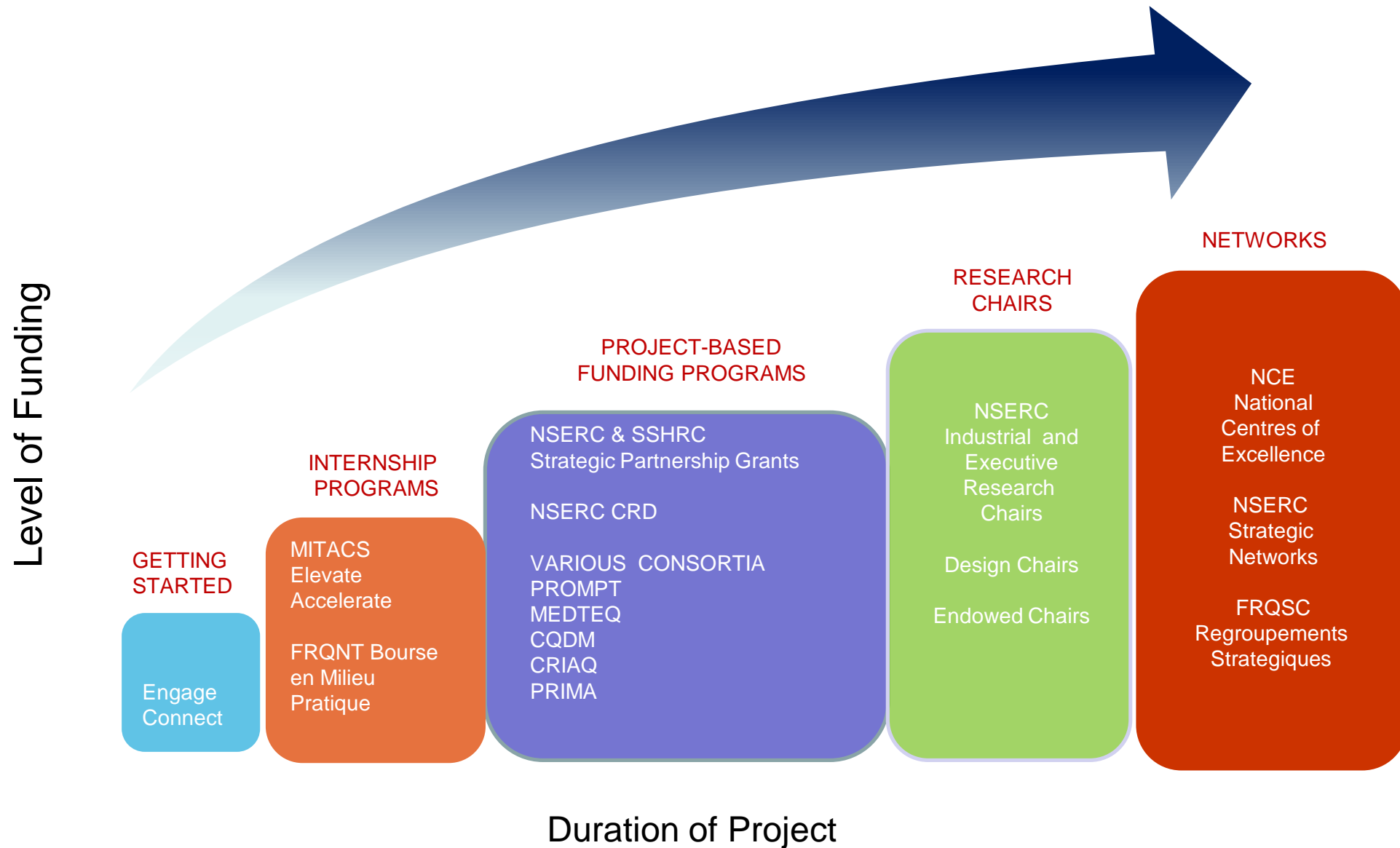
Open Houses

Lab/Company Visits

Teaching & co-teaching

Match-making Events

Evolution of R&D Relationships and Programs



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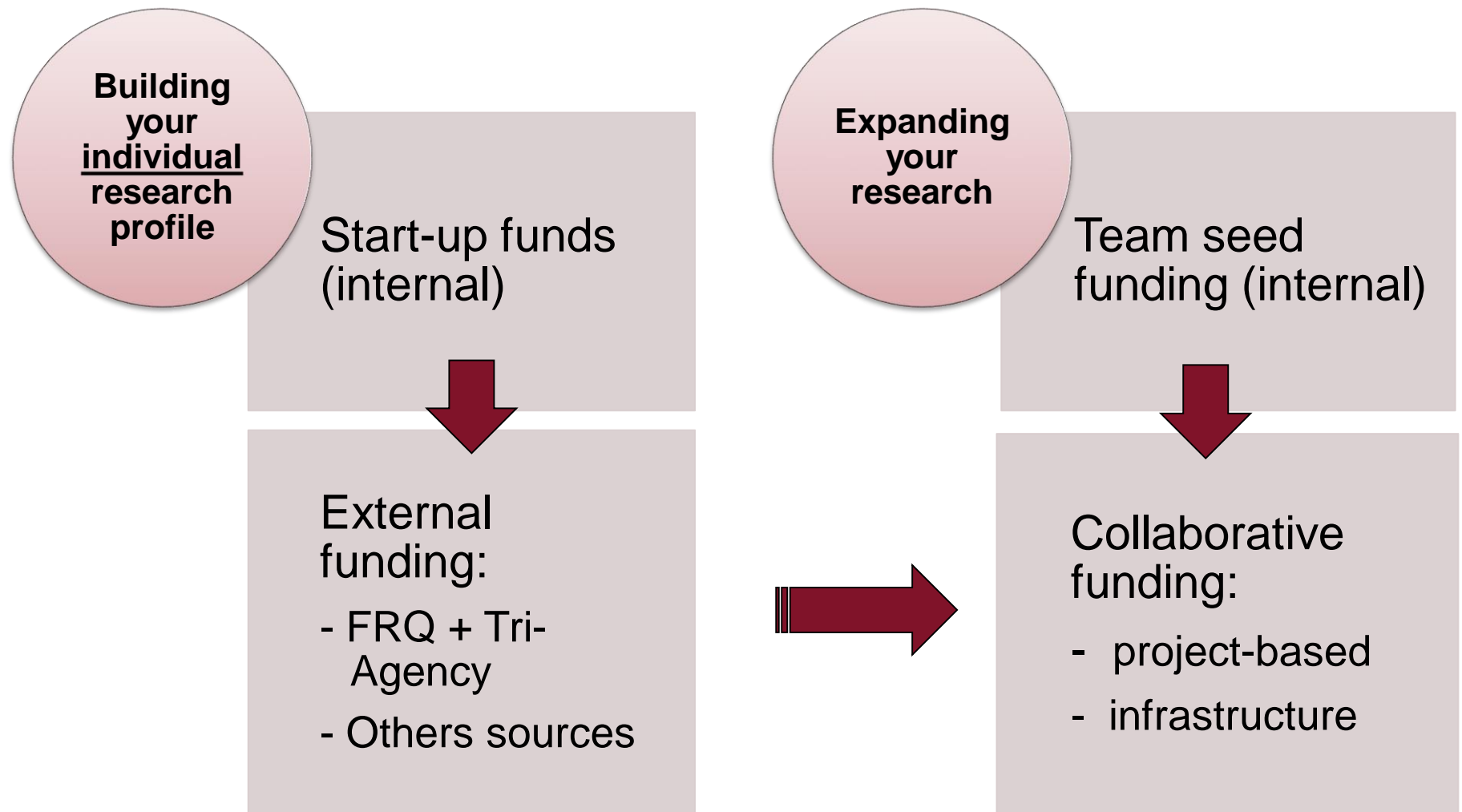
Research Development

August 29, 2017

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 by the University	Proposal review and troubleshooting
Strive to optimize success rates in grant competitions and other research-related opportunities	Timely strategy of grant applications

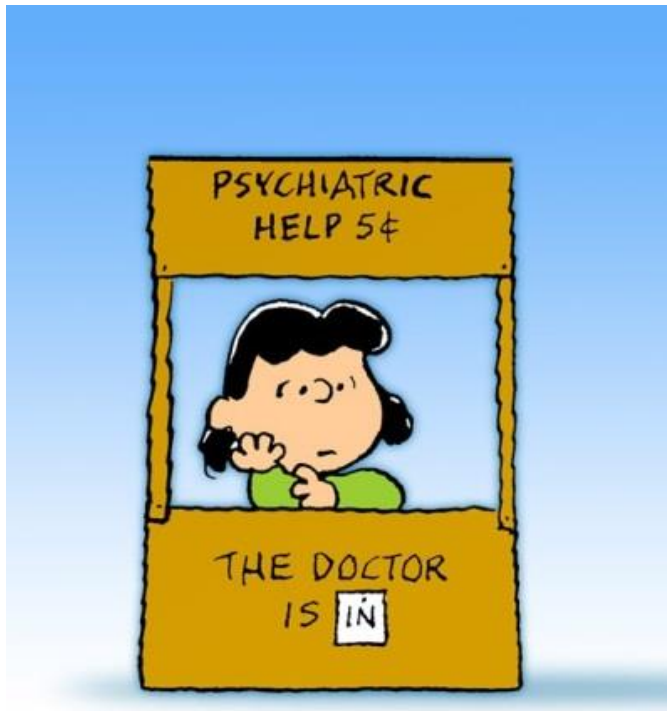
Research Development Unit



Research Development Unit

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

Advisors at Your Service



Arts & Science (Natural Sciences & Health):

[Maya Cerda](#), x5001

Arts & Science (Social Sciences & Humanities):

[Michele Kaplan](#), x2071

Engineering & Computer Science:

[Lauren Segall](#), x3263

Fine Arts:

[Lyse Larose](#), x5632

John Molson School of Business:

[Arlene Segal](#), x2388

PERFORM Centre:

[Lynn Roy](#), x4452

Research Grants Administration

August 29, 2017

Grants Administration

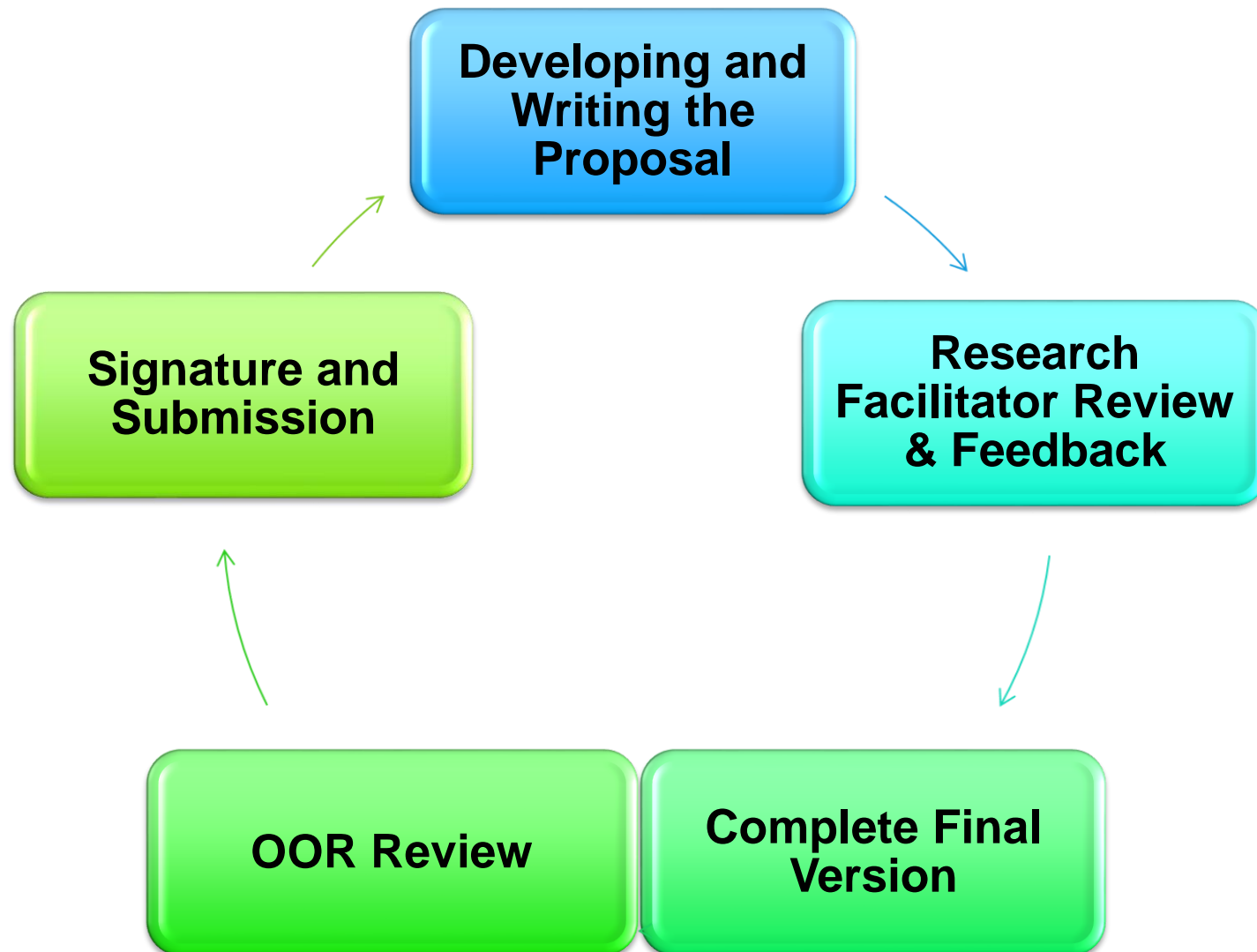
Pre-Award

The process of completing and submitting a grant application to a funding body/sponsor.

Key Points

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

Grant Submission Cycle



Grants Administration

Post-Award

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

Key Points

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

Resources for researchers

To support research and creation that continues to define Concordia as a next-generation university, the Office of Research offers many services to respond to the evolving needs of faculty members.



Research Development



Grants Administration



Grants Administration

A few of the key services provided by the Grants Administration unit include:

- administrative review of grant applications and
- pre- and post award grants management, including assisting with meeting progress report requirements, understanding the next installment exercise of certain agencies, requesting a deferral of installments or grant extensions.

All proposals submitted by University faculty members are reviewed by Office of Research staff to ensure adherence to internal and external policies and procedures. Certain aspects of the application process need significant lead time before the agency deadline, such as preparation of an online curriculum vitae or translation requirements. More details on the application process and important deadlines are available on our website, or contact your faculty research facilitator or another member of the Office of Research staff team for further information.

Research Development

Grants Administration

Partnerships and Innovation

Ethics

Funding opportunities ▾

Workshops and information sessions ▾

Institutional policies and guidelines

ConRAD



Process

Forms

F.A.Q.

us a question

Research ASSIST-U

Grant application submission process

- The Grants Administration unit provides an administrative review of the grant application and will send the faculty member comments and suggestions via e-mail.
- Using the comments and suggestions, the faculty member will prepare the final version of the application and all necessary copies (including one extra copy for the Office of Research). The final package (and copies) should be submitted to the OOR at least two working days before the agency deadline, to ensure that the last signature and approval from the Associate Vice-President, Strategy and Operations can be obtained.
- The grant application is then submitted, either electronically or by courier.

ConRAD Checklist

Connect with us



- [Research Grants Administration team](#)
- [Office of Research](#)

Process	Forms	F.A.Q.
		When do I get my research account (Banner Fund Number)?
		How long does it take to get an account opened?
		When will I know if I was funded?
		Can I get an extension on my funded grant?
		Who signs my grant application?
		How do I get this signature?
		How do I receive/transfer funds?
		What is the balance in my account?
		Who can help me with my grant application?
		When do I have to submit my grant application?
		What are indirect costs and do they have to be included in my grant application?
		How do I log into ConRAD?
		I can't access ConRAD. What do I do?
		How do I get added to the system?
		How do I upload documents into ConRAD?

Research Grants Processing Times 

ASK us a question

Research ASSIST-U



Connect with us



- Research Grants Administration team
- Office of Research

RGU Contacts

Nancy Lulic ext. 4888
Research Grants Assistant
Nancy.Lulic@concordia.ca

Basic grant questions (start and end dates, grace year period, agency reference numbers, deadline dates) and copies of award notices.

Shazma Abdulla ext. 4886
Administrator Research Grants
Shazma.Abdulla@concordia.ca

How to transfer funds from other institutions and transferring funds to partner universities. Extension and deferral requests to external granting agencies.

Andrea Rodney ext. 4887
Manager, Research Grants
Andrea.Rodney@concordia.ca

Questions with regards to internal OVPRGS programs and Indirect costs questions.

Research Orientation for New Faculty Hires

August 29, 2017

**Karen Gregg
Coordinator, Research Ethics**

Overview

- Why research ethics is required
- Where our guidelines come from
- Research that requires Ethics Review
- Exclusions
- How to submit for Ethics Approval
- The review process
- Ethics Team
- FAQ

Why Research Ethics is Required

- Academic freedom
- With freedom comes responsibility
- The role of the ethics unit
 - Ensure the compliance and ethical integrity of research
 - Ensure that research is conducted in accordance with applicable regulations

Ethics Guidelines

- Guidelines exist to protect participants
- Tri-Council Policy Statement (TCPS)
- The agencies (CIHR, NSERC, SSHRC)

Research Requiring Ethics Review

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.” (<http://pre.ethics.gc.ca/eng/policy-politique/interpretations/scope-portee/>)
- See the “Cheat Sheet”

Exclusions

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 of results does not generate identifiable information” (TCPS art. 2.4)

Process

The Summary Protocol Form (SPF):

- 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. biohazard, 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 oor.ethics@concordia.ca 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.

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 form/script
- Debriefing script
- List of resources to whom participants can be referred if necessary
- Letters of support from participating organizations

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

The Review Process

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

<http://www.concordia.ca/research/for-researchers/ethics.html>

Home / Research / Resources for researchers / Ethics

Ethics

Everything you need to know about the requirements for ethics compliance for research involving human subjects or animals. This section will also provide you with links to helpful guides, forms, tools and policies.

The role of the Research Ethics Unit (Office of Research) is to:

- Ensure the compliance and ethical integrity of all research done under the auspice of Concordia
- Ensure that all research is conducted in accordance with applicable regulations including international, federal and provincial law, as well as granting agency and Concordia policies.

Learn more about Concordia's ethics policy, our approval process, and download key forms related to research involving animals or humans.

Important new information

- Effective immediately, researchers are not required to submit a Scholarly Review Form for minimal risk research. Please see the Instructions section of the Scholarly Review Form for more information.
- All faculty ethics submissions are routed through Concordia's electronic ConRAD system. [ConRAD Ethics Submission Checklist](#)
- All student ethics submissions must be sent via email to oor.ethics@concordia

Research Development	f t in g+
Grants Administration	
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Funding opportunities ▾	
Workshops and information sessions ▾	
Institutional policies and guidelines	
ConRAD	

Ask us a question

Research ASSIST-U

Connect with us



- [Research Ethics team](#)
- [Office of Research](#)

Quick links

- 2nd edition of Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans (TCPS)
- Interagency Advisory Panel on Research Ethics Canadian Council on Animal Care (CCAC)

Ethics Team

Monica Toca ext. 2425

Manager, Research Ethics

Monica.toca@concordia.ca

Faculty research, complex inquiries

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Coordinator, Research Ethics

Karen.Gregg@concordia.ca

Student research

Andrew Khoury ext. 4395

Administrative Assistant

Basic inquiries, status updates

Brooke Allan ext. 7397

Administrative Assistant

Basic inquiries, status updates

Questions and student submissions: oor.ethics@concordia.ca

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