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## **1. Research at NSAC**

### **A. General Policy**

It is the policy of NSAC that, subject to the performance of his/her prescribed academic responsibilities, to legislative restraints, and to specific Government of Nova Scotia and NSAC policies, a faculty member is free in the pursuit of research and in the publication of results. As part of their obligation to society in general, NSAC expects faculty members to communicate and publish the results of their research.

Some research discoveries may have commercial value, which may be more beneficial to the public at large if their use is limited or controlled by physical or legal means. In these cases, researchers are expected to disseminate the intellectual property in a manner that benefits both the researcher and the University, and according to current policy.

### **B. Research Administration**

The President is responsible for ensuring that NSAC meets its mission regarding research and for representing NSAC's research interests in the national and international community.

The Vice-President Academic (VP Academic) works with the Vice President Research, Extension and Outreach (VP REO) and with Department Heads to create a supportive environment for research. The VP Academic assists to create new research faculty positions and is responsible for considering the role of graduate students within research at the University.

The Vice-President Administration (VP Administration) has the responsibility for ensuring that corporate responsibilities of the University are met in terms of legal, financial and various liability considerations and this responsibility is discharged in matters related to research in consultation with the VP REO and Manager of Research & Graduate Studies (Manager RGS).

The VP REO is responsible for the development of research policy for recommendation to the President. The VP REO facilitates research proposal development and negotiation, and ensures that proposals are in accordance with NSAC policy. The VP REO is also responsible for technology transfer and the commercialization of intellectual property through the supervision of the activities of the Industry Liaison Officer (ILO).

The ILO is responsible for negotiating and developing contractual agreements with industry (e.g. companies, producer organizations, etc.) and developing partnerships with industry as well as for technology transfer and the commercialization of intellectual property.

Financial Services is responsible for monitoring and approving all expenditures on research accounts, assisting researchers with managing research project budgets, and the preparation of all invoices, financial reports and claims to funding sponsors.

The Manager RGS is responsible for reviewing and negotiating government contractual agreements and for overseeing pre-award and post-award research administration. This

includes the processing of research account requests, project extensions, budget change requests and contractual amendments.

The Department Head is responsible for evaluating research performance of faculty and fostering a supportive environment for research. The Department Head administers the use of departmental physical and human resources for research and monitors the research activities within their departments according to NSAC policies.

The Principal Investigator is responsible for the technical and financial management of the research with the financial management being subject to audit. In the case of contractual research, the Principal Investigator must conduct and manage the project within the constraints imposed by the corporate responsibility of NSAC to a sponsor. The Principal Investigator is also responsible for the dissemination of research results and technology transfer.

**2. Grants and Contracts**

**A. Research Responsibilities**

A research grant or contract is issued to NSAC. As an employee of NSAC, the researcher is listed as the Principal Investigator. The signature of NSAC Administration is required on all grants and contracts because it removes any direct liability from the researcher and places it with NSAC. While NSAC accepts liability responsibilities, researchers need to be aware of the administrative responsibility they undertake as Principal Investigator for a research project. While many of the administrative services of NSAC are available for assistance, ultimately it is the researcher who is responsible for the administration of his/her contract or grant. This includes supervision of personnel, compliance with NSAC and agency policies, financial decisions, and responsibility for meeting the terms and conditions of the grant or contract.

The Research & Graduate Studies Office (RGS Office) carries out the administration of NSAC grants and contracts. **Faculty members do not have the authority to make contractual commitments on behalf of NSAC, or of themselves as employees of NSAC.**

**B. Types of Contracts/Agreements**

<b>Grants</b>	<b>Contracts</b>
Financial support for an individual, or group of individuals, conducting research in a particular subject area or field without any formal detailed stipulations as to the direction of such research.	Contract research includes any research project or program entered into by NSAC and the contracting agency that is not a grant.
Granting agencies typically develop a memorandum of understanding with NSAC.	The conditions are typically arranged through a contract, memorandum of understanding, or other agreement enforceable by law under specific stipulations and conditions.

Grants	Contracts
<p>In general:</p> <ul style="list-style-type: none"> <li>• objectives are defined in a general fashion,</li> <li>• there are often no stipulations as to deliverables, and researchers may use funds in the manner he/she feels is most appropriate to advance the research,</li> <li>• sponsor has no claim on intellectual property,</li> <li>• there are no restrictions on publication,</li> <li>• there is no specific transfer of results to the sponsor, however the sponsor usually receives a final report stating the results.</li> </ul>	<p>Contracts often:</p> <ul style="list-style-type: none"> <li>• outline the scope and nature of research,</li> <li>• set the time periods for the activity,</li> <li>• define the deliverables,</li> <li>• establish ownership of the intellectual property, and patent rights and licensing agreements,</li> <li>• provide for confidentiality of information supplied and created,</li> <li>• establish consideration for acceptance and/or termination,</li> <li>• limit liability of the participants,</li> <li>• have budget approvals and payment schedules.</li> </ul>
<p>Payment is generally made to NSAC in advance of expenditures.</p>	<p>Payment is often made to NSAC on a reimbursement for expenditures basis.</p>

### C. Characteristics of a Contract

- Legally binding agreement to provide financial support to investigators to conduct and complete research or a service under specific terms and conditions. The contracting party may be private industry, a government agency or other non-profit entity.
- Generally, the statement of work cannot be changed by the investigator(s) without the consent of the sponsoring entity and NSAC.
- Funds must be spent as outlined in the budget.
- There are specific deliverables (e.g. interim and/or final reports, research milestones, software creation, CD-ROM creation, test results, etc.).
- Ownership of equipment bought with funds usually resides with NSAC as opposed to the sponsor.

### D. Types of Contracts and Main Features

#### Service Agreement

- Outside party requesting researcher(s) at NSAC to perform a service.
- Usually for analytical, testing or other services requiring new process or technology development.
- Rights to intellectual property (e.g. compound to be tested) remain with the sponsor.
- Standard NSAC overhead charges applied (minimum of 25% of the total value of the agreement).

#### Research Contract

- Outside party requesting NSAC to perform research. Research may be collaborative between a company and NSAC.
- Research outcomes/deliverables are addressed.

- Sponsor usually obtains certain rights to developed intellectual property according to the agreement (option or license). Government contracts often request assignment of rights to this intellectual property. This is of particular concern if the contract involves graduate or undergraduate students. Students should be informed by the principal investigator of the intellectual property provisions therein prior to participating in the project.
- Publication may be temporarily restricted within clearly defined limits (usually not to exceed 90 days) in order for NSAC and the sponsor to review the publication for sponsor confidential information and for patentable subject matter. This is of particular importance if a graduate or undergraduate student is involved as they must be free to publish their thesis and defend their results.
- Sponsor may provide proprietary data to investigators which is required to be kept confidential for a certain time period, subject to certain exceptions.
- Liability and indemnity of parties is usually defined.
- Standard NSAC overhead charges applied (minimum of 25% of the total value of the agreement). Please discuss overhead issues with the RGS Office prior to submitting any research proposals.

#### Confidentiality Agreement (Non-Disclosure Agreement; Secrecy Agreement)

- An agreement to transfer confidential information between the parties.
- Specifies terms by which confidential information is to be transferred.
- May include testing procedures, formulae, test data, know-how, software, business information, trade secrets, etc.
- Important to distinguish between information provided by the sponsor and information which arises from NSAC-performed research, as the results of research must be publishable.
- Should include exemptions where information is already known by recipient, information is required to be disclosed by law, administrative or court order, etc.
- If a researcher is going to have discussions with a third party (i.e. a company or a researcher at another institution) regarding confidential information, a **Confidential Disclosure Agreement (CDA)** or **Non-Disclosure Agreement** is required to maintain the confidentiality of that information.
- For legal reasons, CDA's must be reviewed and signed by authorized personnel at NSAC. Please contact the RGS Office to have a CDA prepared or signed.

#### Material Transfer Agreement Request

- A Material Transfer Agreement (MTA) is used to facilitate the transfer of proprietary research materials between a university investigator and an external organization such as a company, a non-profit organization, or another university. Researchers requiring an MTA must complete the MTA request form, available at <http://nsac.ca/research/liaison/forms.asp>, to begin the process of obtaining an MTA. Completed forms are to be submitted to the Industry Liaison Officer.

#### Signing of Contracts and Agreements

- Individual faculty members including Department Heads are NOT authorized to sign service agreements, research agreements, confidentiality agreements, etc.

- All contractual agreements must be reviewed and processed through the RGS Office. The Nova Scotia Department of Justice provides legal counsel and assistance to NSAC. The time needed to process contracts can take several weeks.
- Work on a project or performance of a service should not begin prior to the researcher receiving approval from the RGS Office indicating all the parties have signed a final contract.

### **3. Applying for Research Funds**

#### **A. Developing an Application or Proposal**

Writing a grant application proposal can seem more complicated than the research it hopes to support. Before beginning, the researcher should ensure that the proposal addresses or meets the specific objectives or mandate of the agency and program to which the application is being made.

Every situation is different for each funding source. Check agency requirements and deadlines carefully.

Some possible steps might include:

- Registration: researcher submits a letter of intent, registration, etc.
- Application: researcher develops a full proposal or completes the funding agency application. This potentially includes project scope, budget (check agency guidelines for eligible expenditures), and requirements of agency/sponsor.
- Review: all national applications are subject to internal NSAC review and researchers are encouraged to submit all proposals for review to the RGS Office. If suitable expertise cannot be found on campus, external reviewers will be solicited. The review process is intended to increase the success rate of NSAC researchers and ensure that proposals are well prepared, complete and professional when they are received by our peers in the research community. The review process takes at least a week and researchers will need additional time to make revisions.
- Signatures: researcher must get all applicable signatures before the VP REO will submit the application to the agency. Applicable signatures include (obtain in order):
  - Principal Investigator (PI)
  - Collaborators (NSAC and/or external)
  - Department Head
  - VP REO
  - Sponsors
- Submission: the researcher submits the application/proposal to the VP REO at least five business days before the agency deadline (Note: this does not apply to institutional proposals). All institutional proposals (e.g. CFI, AIF) as well as proposals to federal funding agencies (e.g. NSERC, SSHRC, CIHR, CFI, Canada Research Chairs) must be submitted to the VP REO by published deadlines communicated by the RGS Office or in the absence of published deadlines, at least one month before the agency deadline. The VP REO reviews and signs the application/proposal and returns it to the researchers. The VP REO cannot sign the application/proposal without all applicable signatures outlined above.
- Researchers submit the application/proposal (some exceptions) to the agency or sponsor. In some exceptions, the RGS Office will make the submission.

### Institutional Projects

Researchers who are developing or participating in institutional, multi-institutional, network, centre or large (e.g. over \$50,000) proposals are asked to communicate their intent to apply and discuss the development of their initiative with the RGS Office three months prior to the submission deadline or at the conceptualization stage. The development of such proposals must be a coordinated effort between researchers and NSAC Administration.

### Institutional Research Proposals

Institutional Research proposals are those proposals that are large interdisciplinary proposals or those whereby the institution is the applicant or proponent (e.g., CFI, AIF). They are proposals that describe projects, programs, and initiatives that will have an impact on NSAC's physical, human and financial resources. Institutional research proposals must be examined within a broad context and must consider internal and external factors, impacts and consequences. It is important for senior administration and NSAC service units to be aware of institutional research proposals in their initial stages to allow for planning and an analysis of the proposal's impact both internally and externally. Any researcher(s) or research group intending to submit an institutional research proposal or a major initiative must adhere to the procedure outlined below. An institutional research proposal or major initiative is defined as:

- An infrastructure proposal to the Canada Foundation for Innovation (excluding the Leaders Opportunity Fund);
- An Atlantic Innovation Fund (through ACOA) proposal with NSAC recognized as the applicant;
- NSERC Strategic Grant proposals;
- A network proposal where NSAC is the lead institution;
- Any proposal with a budget of total project costs (cash plus in-kind) valued at over \$1.0 million; and
- Any major initiative proposal (as defined above) submitted through a collaborating industry, producer organization, university or institution that will be sub-contracted back to NSAC.

#### Procedure:

- i) Initial contact with the RGS Office must be made to notify of the intention to submit a letter of intent/proposal.
- ii) The early stage proposal must be communicated to the NSAC Academic Planning Committee (APC) or Academic Department Heads, where they will meet to discuss:
  - Teaching relief
  - Overhead considerations
  - Infrastructure issues
  - Human resource issues
  - Potential for collaboration within NSAC
  - Links to Department's strategic plans

- iii) The VP REO will present the proposal to Senior Administration for institutional approval. This is anticipated to take place well before the submission deadline (e.g. early in the letter of intent stage). Presentation of the proposal will serve to inform senior administration of research initiatives that have high impact potential for the institution. Senior administration will discuss and provide feedback on the following issues:
- Overhead considerations (indirect costs of research)
  - Direct costs of research such as general office supplies, financial management, project management, equipment user fees, etc.
  - Institutional support (in-kind and cash)
  - Impact of initiative on NSAC's reputation, human resources, etc.
  - Links to NSAC's Strategic Plans

Through this process, administration's support for the initiative will be ascertained. Researchers may also request specific support from administration for the initiative (e.g., technical support, in-kind contributions, etc.) This process will help to ensure that the institution is supportive of all large proposals that are submitted to funding sponsors. Researchers are advised to allow sufficient time for proposal writing, the internal review process, and the above procedure, and to make any corrections necessary before final submission to the funding agency. Submission will be arranged through the RGS Office. Please contact the Manager of RGS to discuss this process.

## **B. Preparing a Budget**

Here are some points to remember when you prepare your budget:

- Check the agency website/publications for eligible expenditures.
- Include only items that are covered by the grant under eligible expenditures.
- Where possible, use actual amounts. Please ensure estimates are reasonable.
- Use correct rates for stipends, salaries and benefits. These can be obtained through the RGS Office.
- Read the policy on indirect costs and be sure to include the appropriate amount in the budget. It is expected that indirect costs (e.g. overhead/administrative charges) will be included at the maximum rate allowable under the funding sponsor's guidelines. If indirect costs (e.g. 25% overhead) are not an eligible expense under the funding sponsor's guidelines, be sure to show it as an "ineligible" project cost on a separate line item. Only if the funding agency will not pay overhead or indirect costs can it be shown as an in-kind contribution provided by NSAC. Please discuss this item with the RGS Office as there may be other means in the budget to recover indirect costs.
- If providing or receiving services, please check to see if GST/HST must be added/charged.
- Check with the appropriate unit for the current rates if animals are required for research.
- Equipment over a certain amount requires tenders. Coordinate the purchase of large equipment with Financial Services (e.g. tendering fees, brokerage fees, etc. may apply).
- Use current government rates for travel and per diem expenses.
- Do not forget the little things, like basic supplies - if they are eligible expenses. Things like printing, paper, pens and notebooks add up.
- For shipping or receiving specimens or supplies, do not forget to include postage and courier charges.

- Large proposals for the creation of a Centre, network or multi-institutional project, may require administrative or financial assistance or project management to administer the project. In such cases, the salary of the project manager and/or administrative financial clerk must be included as a direct project cost.

Please contact the RGS Office early in the application stage for assistance.

### **C. Overhead (Indirect Costs)**

Research is an expensive venture. Maintenance of, and improvements to, today's research infrastructure requires reinvestment on a significant scale. To fund essential services ranging from heating, light, power, telephones and computer networking services for graduate students and research facilities to maintenance of physical plant infrastructure, mail distribution, waste management and recycling, and library support, NSAC assesses an indirect cost component on the direct, identifiable costs of a research project. The rates reflect the most directly observable costs of providing the services referred to above, and are set by policy, which is reviewed regularly. NSAC-based research is consistently less expensive for industry than comparable in-house research programs.

NSAC has determined that overhead will be charged on service agreements at a minimum rate of 25% of total project costs, excluding equipment. Overhead on research contracts will be 25% of total project costs, excluding equipment. These rates must be a component of all industry-sponsored contract research. Two exceptions are funding contributed directly by primary producers through non-profit producer organizations, and funding received through the Nova Scotia Technology Development Program. Researchers are reminded that equipment depreciation charges directly attributable to a research activity are considered direct costs, and need to be included in all research budgets.

Of the overhead collected from research projects, 10% will be administered by the RGS Office to facilitate high quality research activities at the university. Forty-five percent (45%) of overhead collected will be directed to research costs as determined by the VP Administration through management of the core university budget. The remaining 45% of the overhead collected is returned to the academic department of the Principal Investigator to address research needs as determined by the Department Head. In the case of Research Chairs reporting to senior administration, that 45% will be returned to the academic department where the Research Chair is housed.

Collection of indirect cost money must be consistent at NSAC. This will be advantageous to researchers as funding will then be available to be used to create a better environment for researchers and graduate students. Examples include improving the NSAC Library Collection related to newer areas of research at NSAC, bringing in international or national speakers for seminars, and providing funds for research related travel, books and publication costs. Other targets include providing teaching relief or other support for researchers writing grants, and start-up funds for new research.

## **D. Signatures**

### **What do signatures on the application mean?**

One copy of the application must bear the dated original signatures of the Principal Investigator, Co-Investigator(s), Department Head(s) and Dean(s) for each Co-Investigator (if applicable), and the VP REO (on behalf of NSAC). The VP REO is authorized to act as the President's designate in the signing of research applications.

All other signatures must be obtained before the VP REO can sign the application.

### **The Principal Investigator's signature means that he/she:**

- Agrees to abide by the Sponsor's and NSAC regulations governing awards.
- Will use the funds only for the purpose for which they are awarded.
- Identifies certification requirements for use of animals, human subjects and biohazardous materials, and agrees to abide by the Sponsor's and NSAC regulations regarding the same.
- Agrees to provide copies of certification approvals to the RGS Office prior to starting the project.
- Certifies that the information provided in the application is complete and accurate.
- Has included all the costs of the project in the budget including indirect costs where permitted by the agency.
- Has full understanding of the Sponsor's and NSAC policies with respect to graduate student rights, confidentiality provisions, conflict of interest/commitment, and treatment of Intellectual Property.
- Fully understands and accepts Sponsor's time lines, reporting obligations and other deliverables.

### **The signatures of the Co-investigators mean that they:**

- Also agree to the above.
- Agree that the Principal Investigator will administer the grant on behalf of the group.

### **The signature of the Department Head(s) certifies that:**

- The Investigator(s) meets the Sponsor's eligibility requirements.
- The Department Head is aware of the proposed project.
- Adequate space and other resources are available to carry out the research in a responsible manner according to NSAC policies (e.g. Intellectual Property, Conflict of Interest, etc.).
- The budget information has been reviewed to ensure that it is appropriate, realistic, and contains appropriate indirect costs where allowable.

### **The signature of the VP REO certifies that:**

- NSAC will release funds to the Investigator(s) once all conditions and necessary certification requirements have been met.
- NSAC will administer the funds on behalf of the Investigator(s) in full compliance with both Sponsor and NSAC terms and conditions.

## **E. Regulatory Requirements**

Human research ethics, biohazards and environmental safety, and animal welfare are extremely important issues that researchers must address within any research proposal. All types of research, funded or not funded, require review and certification by the appropriate authorities on campus before the project proceeds. This includes indicating whether you need certification or not.

Researchers are advised to review these three main elements when developing the funding application. Although the RGS Office does not administer these issues, the office must verify that you have certification (or do not require it) before releasing funds for the research. Prior to the release of funds, researchers must complete and sign the "Certification Requirements for Research" form.

### **Human Ethics**

Research that involves the use of human subjects must have approval from NSAC Research Ethics Board (REB). All research projects involving human subjects in the form of surveys, clinical research, taste tasting, etc, must be reviewed for ethical considerations and be approved before the research can begin. This includes faculty research, graduate and undergraduate student research and institutional surveys as well as undergraduate research surveys involving human subjects. All REB materials including submission deadlines, guidelines and procedures are available on NSAC web site at the following address: [nsac.ca/research/researchers/ethics.asp](http://nsac.ca/research/researchers/ethics.asp).

### **BioHazards**

Researchers, graduate students and instructors who are conducting, or propose to conduct, research involving biosafety hazards (e.g., infectious agents of animals including bacteria, viruses, prions, fungi and parasites; infectious agents of plants including bacteria, viruses, viroids and fungi; recombinant DNA, cell lines and microbial toxins) must adhere to the standards outlined in the Laboratory Biosafety Guidelines which can be obtained in electronic copy from Dr. Glenn Stratton, NSAC Biosafety Officer, Department of Environmental Sciences (Tel: 893-6609; E-mail: [gstratton@nsac.ca](mailto:gstratton@nsac.ca)) or from the Office of Biosafety, Population and Public Health Branch, Health Canada, Ottawa, Ontario, K1A 0L2 (Tel: 613-957-1779) (Fax: 613-941-0596) (Internet Address: [www.phac-aspc.gc.ca/ols-bsl/lbg-ldmbl/](http://www.phac-aspc.gc.ca/ols-bsl/lbg-ldmbl/) ).

Researchers must obtain certification from Dr. Glenn Stratton that the laboratory procedures being used comply with the safety precautions necessary for the level of containment required by the research. Researchers who are proposing to work with biosafety hazards are asked to contact Dr. Stratton for specific details regarding the approval process as certificates are customized for each research project. In an attempt to streamline the approval process, researchers may send their approved research proposal to Dr. Stratton for consideration. No additional forms are required.

Funds may be released to researchers only after the necessary certification has been received by the RGS Office. If, during the course of a grant, the research changes enough to require new or modified certification, the RGS Office must be informed promptly and the appropriate certification must be obtained and forwarded to the RGS Office.

Research must comply with federal, provincial and municipal requirements for disposal of hazardous materials, chemical and biological wastes and for their use in the workplace.

## **Radioactive Materials**

Researchers, graduate students and instructors planning to use radioactive materials must obtain permission and approval from the NSAC Radiation Safety Office. The Site Radiation Safety Officer is Anne LeLacheur, Department of Environmental Sciences (Tel: 893-6626; E-mail: [alelacheur@nsac.ca](mailto:alelacheur@nsac.ca)).

The following forms are available from the NSAC Radiation Safety Office:

- Application for Internal Permit for Acquisition and Use of Radioactive Materials
- Application for Internal Permit for use of Radioisotope Using Animals

All researchers, graduate students and staff, using radioactivity must provide proof of completion of a radiation use and safety training program to the NSAC Radiation Safety Office.

## **Animal Welfare**

The NSAC's Animal Care & Use Committee (ACUC) must approve research involving the use of animals. The two key functions of this committee are:

- i. to ensure that NSAC is in compliance with the Canadian Council on Animal Care (CCAC) with respect to standards and guidelines for the use of animals in research, teaching and testing; and
- ii. to monitor the numbers of animals used in research, teaching and testing according to purpose and level of invasiveness. This latter information is compiled with information from other institutions across the country by CCAC to provide accurate reports on the use of animals in research, teaching and testing.

Approval by the ACUC is **REQUIRED for ALL** animal use, on or off campus, in which NSAC faculty, staff or students are involved. Any teaching, research or testing use of animals requires an "Animal Care and Use Protocol" (Appendix A), signed by an authorized representative of the ACUC, prior to assignment of animals to the project. This is true even if the procedures are non-invasive (e.g., behavioral observations) or similar to routine management of the animals. All staff have the right to refuse to participate in animal use procedures not approved by ACUC. In addition, noncompliance with CCAC guidelines can result in withdrawal of funding across the campus by the national granting agencies. Electronic copies of the Protocol forms and further information are available on the ACUC website: [nsac.ca/pas/animalcare/](http://nsac.ca/pas/animalcare/).

## **F. Submitting an Application or Proposal**

Researchers are responsible for obtaining all required signatures and then submitting their own application/proposal to the agency or sponsor and providing a copy to the RGS Office.

### **Exceptions - E-Submissions**

In some instances, researchers send the electronic application to the RGS Office, who then acts as an agent to submit it to the sponsor (e.g. NSERC). In other instances, the researcher is responsible for his/her own e-submission. In cases where researchers will submit their own e-submissions, their proposals still require internal review and they must obtain all necessary signatures prior to submission. Please check the agency's requirements early.

## **Institutional Programs**

The VP REO submits all institutional program applications on behalf of the researcher (e.g. applications to CFI and AIF).

### **4. Receiving Research Funding**

#### **A. Notices of Award, Notices of Decision and Letters of Offer**

The Notice of Decision is the notice from the agency or sponsor to the researcher. In the case of the federal granting agencies (NSERC, SSHRC, CIHR), the notice of decision is sent to the RGS Office.

In the case of a sponsored research project, the sponsor usually sends the researcher a letter of offer or an agreement (contract). Often, the letter will list conditions that must be met before funding is released. If a researcher receives notification from the sponsor, a copy of the letter and the response (acceptance of the award) should be sent to the RGS Office to facilitate funding being released.

Verbal confirmation of a funding commitment, still requires a written letter of commitment, subcontract or contract with the sponsor/donor. Please arrange to meet with the Manager, RGS, to discuss the type of agreement appropriate.

There could be various reasons why a project/grant has not been set up even though notification of award has been received from an agency. Some of the reasons are: the RGS Office has no record of the project; the agreement has not been signed by all parties; ethics approval has not been met; signed certification requirement form has not been received by the RGS Office; agency has not released or has put a hold on the funding; and/or the start date is still in the future. If none of these scenarios apply, please contact the Manager RGS.

#### **B. Unsolicited Funding**

Sometimes researchers get funding with “no strings attached”. This type of funding, along with gifts and donations, is normally deposited into the researcher’s Trust Fund Account (see Section 4D).

#### **Special Cases**

If money is received to supplement an existing, ongoing project, send the cheque, with the cost centre number to which it should be deposited, to: Financial Services, Attn: Research Accountant, NSAC.

For any other case, including renewals, please contact the Manager RGS.

#### **C. If the Agency Sends the Researcher the Cheque**

Occasionally agencies or sponsors send the money directly to the researcher. If this happens, send the money **IMMEDIATELY** to: Financial Services, Attn: Research Accountant, NSAC.

## D. Authorizing and Setting up Accounts

The RGS Office always requires supporting documentation before authorization to establish a new account. A new account (Cost Centre) is then requested from the Financial Services Office. Generally, the institution recognizes two types of accounts: i) Trust Fund Accounts; ii) Research Project Accounts.

### i) Trust Fund Accounts

- Faculty member will complete and sign the Trust Fund Account Application Form. The faculty member will have his/her Department Head approve the form and submit to the Manager RGS.
- The Manager RGS will then initiate the process of opening a trust fund cost centre, with the approval of the VP REO and Financial Services.
- In the event that a faculty member is no longer employed by the Nova Scotia Agricultural College, and there are trust funds remaining unexpended and unencumbered, the funds will be utilized in support of NSAC academic endeavors at the discretion of the VP REO.

The complete Trust Fund Account Policy and applicable application forms can be found on line (<http://nsac.ca/finance/trust.asp>).

### ii) Research Project Accounts

Supporting documentation required by the RGS Office for Research Project Accounts includes information such as the researcher's name, start and end dates, the project title, funding source, funding amounts per fiscal year, etc. must be included.

You must submit the following documentation:

- Either: A letter from the Sponsor on company letterhead, signed by an official of the Sponsor, defining the terms of reference of the funding support, e.g., as an unencumbered grant for use for the research program (project title, researcher name) and any expectations for that funding (e.g., time lines); **OR** if the funding is not given as an unencumbered grant, a research agreement (grant, contract or service contract) defining the expectations and obligations of each party.
- Copy of the approved research proposal including scope of work and budget (including overhead - 25% for contracts).
- Signature page that clearly identifies the research title and sponsor. This page defines what the Principal Investigator is responsible for ensuring is in place and the items that the Department Head is approving by signing the document.
- Completed and signed NSAC Certification Requirements form and proof of approval of human ethics, animal care or biohazards, where applicable, or disclosure to our office that the research does not require certifications. The Principal Investigator is responsible for providing the copy of the letter of approval from the appropriate authority to the RGS Office.

These documents are required for all new projects, renewals and/or amendments to existing projects. Once the RGS Office is in receipt of this information, a request for a project account

can be made from the Financial Services Office to administer the funds received.

This information (for both types of accounts) will also be included in NSAC's research database. This database, which contains information on the project, objectives, impact, term, invoicing/claim and reporting requirements, funding sources and amounts expected per fiscal year, is used for reporting purposes to the federal and provincial governments, NSAC administration and Financial Services. It is also used to monitor reporting and financial claim deadlines. It is very important that all project information is housed in the database so that invoices/claims are not missed. Researchers may request a printout of their active and inactive accounts/project information from the RGS Office.

Researchers are responsible for knowing what the eligible expenditures are for each of their projects. Upon receiving notification from the RGS Office of their new Cost Centre (account number), researchers have access to their funds. At this point, researchers should review the terms and conditions, eligible expenditures, and other details of the project/grant, and contact the RGS Office if they have questions.

#### **E. Unsuccessful Application**

- Please notify the RGS Office so that the file on the application can be closed.
- Pay close attention to the feedback provided by the funding agency. Feedback may also be obtained from the RGS Office and the VP REO.

#### **5. Managing Research Accounts - Post Award**

##### **A. What are the Researcher's Responsibilities?**

- Review monthly financial information received from Financial Services and report any errors, omissions or changes immediately to the Research Accountant, Financial Services.
- Comply with terms and conditions of the project/grant
- Technical reporting to agency/sponsor

##### **B. What are Financial Services' Responsibilities?**

- Invoicing agency/sponsor and facilitating initial advance
- Financial reporting to agencies
- Ongoing invoicing (often depending on deliverables, such as technical reporting to sponsor)
- Financial Services manages funds for grants, contracts, etc. It is very important that the researcher maintain good communication with Financial Services throughout the project so that invoicing for the release of funds corresponds with the submission of reports and deliverables to the sponsor. A copy of all progress/interim reports and final reports to the sponsor are to be sent to the RGS Office to be submitted with the financial claim, and for maintenance of the research database and project file.

##### **C. Account Management Terms and Definitions**

###### Cost Centre

A cost centre is an account (e.g. 440XXX or 441XXX) that is set up to manage the budget of a specific project.

### Budget Manager

A budget manager is the person who has been designated to have signing authority and budget management responsibilities for a cost centre (e.g. project account).

### Financial Statements

Financial Services sends out monthly statements of all cost centres to budget managers. These statements, that are e-mailed to researchers monthly, outline monthly expenditures. Year-to-date reports can be requested at any time from the Research Accountant, Financial Services.

### Invoicing

All invoicing for sponsored research projects/grants will be done by the Financial Services Office. An invoice will be set up as an amount due in the NSAC Accounts Receivable system. This means that invoices are credited to the researcher's project account (e.g. cost centre) prior to receiving payment from the sponsor. Please check with the Financial Services Office to ensure that invoices have been paid within 30 to 60 days. The amount of the invoice and the time line of when it should be sent are determined by the payment schedule set out by the original agreement.

### Overhead

Overhead or indirect costs are those project expenditures that are incurred in the conduct of research that are not readily or effectively traceable to specific expenses. They are real costs and must form part of the budget for a research project. Overhead is recovered through a percentage assessment on the direct or actual project expenditures.

### Overdraft

Researchers with multi-year projects who spend the current year's funding prior to the anniversary date of the project and wish to spend funding from the next year's allotment must apply through the Financial Services Office for an overdraft (advance on funding for the next year's awarded amount). The maximum amount of funding available for an advance will not exceed 25% of the total amount of the next year's award. The overdraft form is available from the Financial Services Office. A monthly budget forecast must accompany the overdraft form.

### Start Date

The actual date when funds can start being expended.

### End Date

End dates on the project/grant reflect the final completion date as stipulated in the Agreement. Ensure all expenses are posted to the project/grant prior to the end date. If it is anticipated that the project will not be completed prior to the end date, the agency has to be contacted - six months in advance for contracts, three months for grants - to authorize a new end date.

### Close the Project/Account

The account must have a zero balance to close. If the project is overspent or still has remaining funds, it is not possible for Financial Services to close the project/account. NSAC is unable to meet agency required financial obligations if the project/account is not closed. To prevent this situation, three to four months prior to the end date, the project/account should be reviewed. The researcher is to work in collaboration with the Financial Services Office to ensure all funds are spent in full and according to the agreement.

### Over-expenditure

Funds spent in excess of the authorized amount of the award. Example: Authorized award amount of \$30,000. Amount spent \$32,000. Over-expenditure equals \$2,000. **All over-expenditures are the responsibility of the Principal Investigator (researcher).** Principal Investigators (researchers and budget managers) are expected to manage their projects and accounts with a high degree of accountability and accuracy. If you need assistance in reading or interpreting financial reports or in budget forecasting, contact the Financial Services Office for assistance. The Principal Investigator is expected to clear (zero out) project accounts immediately following the end date of the project.

### Residual Funds

If research funds remain unexpended upon the completion of a research agreement and if the funding agreement permits and all funding obligations including the payment of contracted overhead have been met, the funds will be transferred to a Trust Fund Account under the jurisdiction of the researcher to be spent on research-related expenditures. See Trust Fund Policy for the complete list of eligible expenditures ([nsac.ca/finance/trust.asp](http://nsac.ca/finance/trust.asp)).

### Orphan Accounts

If research funds remain unexpended following permanent cessation of research activity by a faculty member, and if the funding agreement(s) permits, the funds will be utilized in support of NSAC research endeavors at the discretion of the VP REO.

## **D. Transfer of Funds**

Research grants are awarded to researchers through an institution that will administer the funds. When a researcher requests a transfer of funds from an NSAC account to another institution, the RGS Office requires the following information from the Principal Investigator:

- Granting Agency, Grant Number and Grant Title (from which grants are to be transferred)
- Name of Investigator (and the Institution) to whom funds are to be transferred
- Total funds to be currently transferred
- NSAC research project Account Number
- Details regarding the intended use of the funds (i.e., budget, any restrictions)
- Time period for the use of funds

Using this information, the RGS Office writes a Letter of Transfer to the institution to which the funds are to be transferred and asks if that institution is willing to administer the funds. This Letter requires an institutional signature from the person responsible for administering funds on

behalf of that institution. This is typically a VP Research, a Director of Research Grants, or a Manager of Research Accounting. The original Letter of Transfer is forwarded to the institution by the RGS Office. When the letter is signed, the receiving institution retains a photocopy and the original copy is returned for the RGS Office files. When the RGS Office receives the fully executed Letter of Transfer, the funds (in cheque form or via direct deposit) are forwarded to the institution.

## **E. Account Management Procedures**

All purchases through NSAC accounts (including research project accounts, Trust Fund Accounts, etc.) must be made in accordance with, and following the procedures of, the Nova Scotia Government as outlined by the Department of Transportation and Public Works - Procurement Branch, found at: <https://www.gov.ns.ca/tenders/policy/>.

The summary of purchasing guidelines for research accounts below is an attempt to simplify these guidelines for NSAC researchers. In the event of a discrepancy between the information in this manual and the procurement guidelines of the NS Government, the guidelines of the NS Government will prevail and supercede the information in the manual. Questions regarding procurement policy should be directed to the Financial Services Office.

### Purchases Less Than \$50

Petty cash can be used for cash transactions not exceeding \$50 in value (tax included), provided such transactions comply with the Nova Scotia Purchasing Agency regulations. Petty Cash expenses are not to be accumulated. Complete the Petty Cash Form found at [nsac.ca/finance/forms](https://nsac.ca/finance/forms) and bring to the Financial Services Office for signature and reimbursement. **Petty Cash must not be used to reimburse travel expenses.**

### Procurement Cards

Procurement Cards (credit cards) are available through Financial Services. Three specific cards are available and each has a specific use (i.e. fuel, travel or general) and rules pertaining to its use. For more information, contact the Financial Services Office.

### Use of Cheque Requests

Any instance where a Purchase Order, use of Petty Cash or Procurement Card will not work, it is then appropriate to use a cheque request. Examples of such instances are: receipts in excess of \$50, or accumulated receipts, payment of conference registration or membership fees, reimbursement of work related expenses incurred on a personal credit card. Please note that travel expenses must be reimbursed on a travel claim form. See [nsac.ca/finance/forms](https://nsac.ca/finance/forms) for the Cheque Request Form, to be completed and sent to Financial Services with applicable backup documentation (i.e. receipts, registration form, etc.).

### Use of Purchase Order Forms

Goods (lab and office supplies, research equipment, computer equipment and software, building supplies, etc.) and services (professional services such as hiring someone to do your web site, write your research proposal, design a building, lab services such as sending out samples to be analyzed, statistical services, etc.) **under \$1,000 (before tax)**, are to be

purchased on a Purchase Order (PO) Form, available in electronic form from the Financial Services Office (email: [finance@nsac.ca](mailto:finance@nsac.ca) or visit their web site at [nsac.ca/finance/forms](http://nsac.ca/finance/forms)). Submit to Financial Services as outlined below.

Goods and services **greater than \$1,000 (before tax)** are to be purchased on a PO with an attempt to obtain three quotes. Keep backup showing that three quotes were requested (e.g., copy of e-mail or fax request). Note on the PO form the name of the three suppliers who provided quotes. Submit electronically to Financial Services as outlined below. A PO number must be issued prior to the goods/services being ordered.

## OR

If three quotes are not an option, there are circumstances where alternate procurement can be used (i.e. sole supplier for a particular good). You can find the Alternate Procurement form on the Financial Services web site ([nsac.ca/finance/forms](http://nsac.ca/finance/forms)). Please complete the Alternate Procurement form, stating the reason why alternate procurement is necessary. Submit to [finance@nsac.ca](mailto:finance@nsac.ca) along with a PO request. Finance will have the purchase approved by Procurement before issuing a PO number.

The completed PO form is to be emailed to Financial Services ([finance@nsac.ca](mailto:finance@nsac.ca)). The Research Accountant will then verify that the expenses are eligible and that sufficient funds are available in the account. When this has been done, a PO number will be assigned and returned to the researcher. The researcher is then responsible for purchasing the goods or service. Once the goods or services are received, the researcher must sign off a copy of the PO and send it with all receipts or invoices to Financial Services. The signed off PO gives Financial Services permission to pay the invoice. A PO number needs to be issued prior to the goods and services being ordered.

## Government Tendering Guidelines

Goods over \$10,000 and services over \$10,000 must be requisitioned (sent to tender to solicit bids). The Financial Services Office can provide assistance with completing the procurement requisition form and can provide information on the requisition process. You may also visit their web site at [nsac.ca/finance/forms](http://nsac.ca/finance/forms) for complete details.

## Hiring of Contractors for Research

In order for contractors to be hired by NSAC, they must provide a safety plan. A form was prepared by Elaine Rector, Safety & Security Coordinator, and must be completed by anyone hired to provide service (e.g. cleaning, painting, IT cabling and wiring, construction, maintenance, security, and equipment operators, etc.) on campus. It is extremely important that all employees follow this policy when engaging contractors. The form is to be used as an "interim policy" until the Contractor Safety Policy has been approved, allowing NSAC to be in compliance with the NS Occupational Health & Safety (OH&S) Act. ***A service provider cannot be hired if they do not have a "safety plan" in place.***

**When seeking quotes for service work, a safety plan form must be included.** Inclusion of this form is intended to save time and effort for both the contractor and person seeking service, by eliminating contractors, from the beginning, who do not have such a safety plan in place.

Please note that the policy and program that a contractor provides will require the approval from the Job Manager at NSAC and the Safety & Security Coordinator before any work commences. A copy of all service contractor safety plans are kept on file in the Safety and Security office. For questions or concerns, or to obtain a copy of the required form, please contact Elaine Rector (tel: 893-4190; e-mail: [erector@nsac.ca](mailto:erector@nsac.ca))

### Information Technology Hardware/Software Purchases

Purchases of information technology hardware and software (i.e. computers, laptops, monitors, software programs, CD burners, computer memory, etc.) must receive approval from NSAC's Information Technology (IT) office prior to purchasing. The IT Office will ensure that the proposed purchase is compatible with NSAC's existing computer hardware and network server. Many of the larger items (i.e. computers, laptops) can be purchased from the Nova Scotia Government's Standing Offer at economical prices. If purchasing large items (i.e. computers, laptops), contact the IT office for their assistance in selecting a suitable model and to see if it appears on the Standing Offer. They can assist with placing the actual order, please discuss this with them.

Most IT hardware/software purchases can be purchased using a PO. Follow the routine procedure in sending a completed PO form to the Financial Services Office. If IT approval has not already been received, Financial Services will ensure that the PO is sent to IT before issuing a number.

## **6. Conducting Research Projects**

### **A. What is Involved in Completing a Research Project?**

Researchers should check their agreement; what do sponsor(s) expect? Most require financial reporting, which the Financial Services Office handles, in consultation with the researcher. Some also require progress reports at specific intervals. Researchers should know what they must deliver well before the end date of the project/grant.

If it is anticipated that intellectual property will arise from the research, it is important that all students and staff in the laboratory sign a confidentiality agreement. In addition, supervisory committee members and external examiners may also need to sign an agreement, if not bound by the NSAC Code of Conduct.

Any changes to the original agreement must be processed through the RGS Office. The Manager, RGS, will facilitate and authorize any changes to the project/grant and pass these to Financial Services for processing. On completion of a project/grant, the Financial Services Office will close the project/grant on its end date. If the project/grant is overspent, the researcher must clear any over-expenditure prior to the end date. If the project/grant has remaining funds, NSAC may be required to return the unused funds to the agency.

Researchers should deal appropriately with any remaining funds. The clearing of small balances, either by transferring eligible expenditures into the account or returning the funds to the agency depends on the agreement governing the funds.

## **B. Managing End Dates**

### What is an End Date?

The end date is the day the grant or research agreement ends. It is not the date by which researchers should finish their research; it is the date when access to the money terminates. Therefore, manage end dates carefully.

### Tips for Managing End Dates

- Know when the project/grant ends. Extensions require three months for grants and six months for contracts to process.
- Do not plan to finish the research on the end date. Plan to have all the money spent on eligible expenses by then, but finish the research early.
- Provide ample time for processing charges. Do not put charges through on the last day, because the funds will be frozen before the transactions are processed, causing problems for all parties. Try to allow one month for those last transactions.

## **C. Over-Expenditures**

Over-expenditures are not tolerated. Researchers must be proactive in preventing them.

- Check monthly financial statements.
- Predict the project's "burn rate": how fast money is being spent compared to how much the budget is. A one-year \$60,000 grant is going to run into problems if monthly expenditures exceed \$5,000. Plan ahead!

Researchers cannot transfer funds between projects. Only eligible expenditures can be transferred from project/grant to project/grant.

Here's an example:

Dr. X has a grant (A) and a contract (B). Grant A is for \$60,000 and contract B is for \$125,000. Grant A allows salaries, benefits, equipment and postage as eligible expenditures. Contract B allows equipment and infrastructure as eligible expenditures. Grant A is available now, but contract B is still waiting for final signing of the agreement.

However, Dr. X, however, wants to get started. With Grant A, he buys a \$50,000 floor-model centrifuge, pays \$1,000 for delivery, and hires two grad students at \$2,000 per month, plus benefits.

Carefully scrutinizing his monthly financial statements, he sees that grant A is virtually gone after one month, and he will not have money to pay his grad students next month. "That's okay", he thinks, "I'll just transfer money from contract B.

**SORRY, BUT NO.** Even if it were possible, it would mean that money from contract B is covering salaries, which are ineligible.

He can, however, transfer his expenses. Both grant A and contract B (upon final signing) allow equipment expenditures. He can transfer the purchase of the centrifuge from A to B, leave the postage charge in A, and have enough money to pay his students until the research ends in a year.

Remember - move expenses, not funds!

#### **D. Grant Renewals and Extensions**

For renewals or extensions, start the procedure for grants three months before the end date, and six months before the end date for contracts.

Some agencies will not give extensions under any circumstances. It is the researcher's responsibility to know the conditions of funding, so do not be caught unaware.

For help with renewals or extensions, contact the RGS Office.

#### **7. Integrity in Research and Scholarship Policy**

NSAC supports and adopts the Tri-Council Policy Statement: Integrity in Research and Scholarship

([http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/tpsintegrity-picintegrity\\_e\\_eng.asp](http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Policies-Politiques/tpsintegrity-picintegrity_e_eng.asp)). All researchers at NSAC are responsible for upholding and adhering to the principles of integrity in Research as outlined in the Tri-Council Policy Statement in all research activities, regardless of funding source.

In addition to the Tri-Council Policy Statement, all employees of NSAC are bound by the Code of Conduct for Civil Servants:

(<http://linux1.nsgc.gov.ns.ca/hr/mm500%20code%20of%20conduct%20policy.pdf>).

#### **A. Misconduct in Science**

Definition: Misconduct in science is defined as fabrication, falsification, or plagiarism, in proposing, performing, or reporting research. Misconduct also includes the exploitation of research subordinates; the intentional misuse of funds and other conduct defined as a form of research misconduct by the Research Ethics Sub-committee of the NSAC Research Committee. Misconduct in science does not include errors in judgement; errors in recording; selection, or analysis of data; differences of opinions involving the interpretation of data; or misconduct unrelated to the research process.

#### **B. Questionable Research Practices**

##### Definition

Questionable research practices are actions that violate traditional values of the research enterprise and that may be detrimental to the research process. These include:

- Failing to recognize the intellectual property of others by due acknowledgment. For example, failure to credit the substantive contributions of others, including students, or the

use of unpublished work of other researchers without permission, or the use of archival material in violation of the rules of the archival source;

- Failing to retain significant research data for a reasonable period;
- Failure to meet other relevant legal requirements that relate to the conduct or reporting of research;
- Failure to reveal any material conflict of interest to the sponsors or to those who commission work or when asked to undertake reviews of research grant applications or manuscripts for publication, or to test products for sale or distribution to the public;
- Misuse of funds;
- Failure to reveal to the NSAC any material financial interest in a company that contracts with NSAC to undertake research, particularly research involving the company's products. Material financial interest includes ownership, substantial stock holding, a directorship, significant honoraria or consulting fees but does not include minor stock holding in a large publicly traded company;
- Maintaining inadequate research records, especially for results that are published or are relied upon by others;
- Conferring or requesting authorship on the basis of a specialized service or contribution that is not significantly related to the research reported in the paper;
- Refusing to give peers reasonable access to unique research materials or data that support published papers except where information must remain confidential due to a pending patent filing;
- Using inappropriate statistical or other methods of measurement to enhance the significance of research findings;
- Inappropriate supervision and recognition of the contributions of research subordinates;
- Misrepresenting speculations as fact or releasing preliminary research results, especially in the public media, without providing sufficient data to allow peers to judge the validity of the results or to reproduce the experiments;
- Stalling grant applications and manuscripts of peers for reasons other than professional; and
- Using confidential information obtained as a reviewer of grants and/or manuscripts towards the solicitation of grants for the reviewer's benefit.

The Research Ethics Sub-committee emphasizes that scientists, individually and collectively, need to take questionable research practices seriously because, when tolerated, such practices can encourage an environment that fosters misconduct in science.

### Handling Allegations

#### *Step One: Misconduct Inquiry*

NSAC will establish a standing sub-committee of the Research Committee, for Research Ethics to oversee NSAC's handling of misconduct cases. This sub-committee will receive all allegations of misconduct and is responsible for conducting a preliminary inquiry to determine if a formal investigation is necessary. This committee will include the VP REO (Chair), Manager RGS (Secretary), the Chair of the Research Committee, and two members from NSAC's Faculty appointed for a three-year period by the Research Committee.

All allegations of misconduct in research shall be in writing, with documented evidence, signed, dated, and directed to the Chair, Research Committee.

When an initial allegation of misconduct has been made, the Research Ethics Sub-committee or designated sub-committee member will conduct a **confidential** inquiry in response to the allegation. This official may consult with selected faculty members or co-workers to determine the nature of the suspected offense. Where the allegation is deemed by the Research Ethics Sub-committee to be either:

- a questionable research practice, or;
- unfounded,

the inquiry may be closed by the preparation of a brief file memorandum outlining the action taken to remedy the questionable research practice. Where the accusation is deemed to be unfounded, no reference of the complaint shall be placed or retained in the Official File of the respondent. If the investigation concludes that the original allegation was a malicious or false accusation, appropriate action must be taken.

Within 15 working days of the receipt of the allegation, the Chair, Research Ethics Sub-committee shall advise the respondent whether or not a formal investigation will be undertaken. Where the Research Ethics Sub-committee deems the allegation to warrant a formal investigation, a Misconduct Investigation Sub-committee will be activated.

#### *Step Two: Misconduct Investigation*

The Research Committee, in consultation with the President, will establish a Misconduct Investigation Sub-committee to oversee each misconduct investigation. This committee will include as its core the VP REO (Chair) and the Chair of the Research Committee. Three members from NSAC's Faculty, named from departments outside of the respondent's department, shall also be named on a case-by-case basis. The Misconduct Investigation Sub-committee will also have the power to add one member from an outside institution and/or legal counsel, if required.

Where the misconduct is related to the science undertaken, an external expert from an unrelated institution shall be added as a member of the Sub-committee.

The individual accused of the misconduct is informed, in writing, of the nature of the allegations. The respondent is responsible for arranging for the presence of his/her legal counsel, if desired. The respondent may utilize the legal counsel of the Nova Scotia Government Employees Union (NSGEU).

The investigation may involve interviews of the respondent, the informant, and other relevant parties, reviews of publications, manuscripts, or other documents, review of data notebooks, and in a few cases, site visits to the laboratories involved. The Misconduct Investigation Sub-committee shall investigate the allegations promptly, fairly, judiciously, and in a **confidential** manner, ensuring that the respondent has adequate opportunity to know any evidence presented and to respond to that evidence if he/she chooses to do so.

#### *Step Three: Outcome of the Investigation*

Within 30 working days following the commencement of the formal investigation, the Misconduct Investigation Subcommittee shall make a written report to the President. The report shall

include a copy of the signed allegation, the written response, if any, of the respondent, and the findings as to whether the allegation has been upheld or not with a statement of reasons for that finding. Copies of this report shall be sent to the respondent.

Within 10 working days of receiving this report, the President shall notify the respondent in writing of the outcome of the inquiry, including any actions or sanctions he/she proposes to impose on the respondent. The President shall also inform the complainant in writing of the outcome of the inquiry. The President must identify the recommended action to be taken where allegations of misconduct have been upheld. Possible sanctions are:

- Issue a letter of reprimand;
- Do not allow the accused to act as Principal Investigator, or a graduate student supervisor,
- Terminate research support;
- Require review of future applications by the Research Ethics Sub-committee prior to submission to granting agencies;
- Require correction of literature or withdrawal of manuscripts;
- Deny permanent status;
- Request dismissal; or
- Accept voluntary resignation or retirement; the President may inform the future employers of findings.

A statement from the President that a Faculty member was guilty of misconduct in research with or without any formal sanctions constitutes discipline, and may be arbitrated.

If NSAC decides after the formal investigation not to take disciplinary action against the respondent or if arbitration decides in favour of a respondent, NSAC shall remove all documentation concerning the allegation from the respondent's Official File, except that it shall retain any arbitration report which shall be a public document.

NSAC agrees that it will take strong disciplinary action against those who make allegations of misconduct in research, which are reckless, malicious, and not in good faith.

NSAC agrees to take steps as may be necessary and reasonable to protect the reputation and credibility of Faculty wrongfully accused of misconduct in research.

NSAC agrees to take such steps as may be necessary and reasonable to protect the rights, positions and reputations of Faculty who in good faith make allegations of research misconduct, or whom it calls as witnesses in the formal investigation undertaken by the Misconduct Investigation Subcommittee.

NSAC agrees that if an accusation of misconduct in research is sustained in relation to research that is funded by an outside agency, the President shall inform the agency concerned of the decision.

### Promoting Integrity in Research

The entire research community bears a responsibility for ensuring that the customs, traditions, and ethical standards that guide responsible research practices are systematically communicated to graduate students, scientists, technicians and research trainees.

The Research Committee believes that early education can be a primary means of instilling responsible practices. According to *Responsible Science, Ensuring the Integrity of the Research Process*:

“The public nature of educational discussions can create a climate that may discourage individuals from engaging in questionable practices, as students and colleagues examine the potential harm that such practices can cause. Regularly held graduate seminars, faculty colloquia, and informal discussions in the laboratory and in the classroom can also provide opportunities to test perceptions of observed practices against the expected norms of science, can help all members of the research community to define and clarify the fundamental norms that guide research practice, can ameliorate misunderstandings that could escalate into unfounded accusations, and can stimulate open and frank considerations of conflicting values” (National Academy of Sciences *et al.*, 1992, p.130).

The Research Committee proposes the dissemination of appropriate research ethics information through the following:

- Include Research Ethics as a curriculum priority within the graduate Communications Course (AGRI 5700). Research Ethics curriculum should include, but should not be limited to:
  - principles of data selection, acquisition, analysis and storage;
  - publication practices;
  - authorship practices;
  - training and mentoring practices;
  - necessity of honesty, skepticism, and verification; and
  - intellectual property rights.
- Offer an NSAC wide seminar/workshop on Integrity in Research on an annual basis. Include guest speakers, e.g. NSERC expert on research ethics, case studies, and open discussions.
- Familiarizing all new faculty with NSAC'S Research Ethics Policy.
- Require instruction on research ethics as a compulsory component of all fourth year project courses.

## **8. Intellectual Property**

At this time, NSAC itself does not have an intellectual property policy. Instead, it follows the policy of the Province of Nova Scotia. This policy states that intellectual property created during the normal course of business by faculty and staff of NSAC, as employees of the University and therefore the province (and contractors working for NSAC), is owned by Her Majesty the Queen in right of Her Province of Nova Scotia (the Crown). This is outlined below:

### Purpose

To encourage the public use and commercial application of inventions, and in so doing, to protect the rights of the inventor and NSAC.

### Definitions

*Intellectual Property* includes copyrights, patents, trademarks, trade secrets and industrial designs.

*Copyright* is a statutory right which protects the expression of content, but not the idea (i.e., voicing the expression of an idea may not be protected, but if it is written down and described on paper then the idea/expression will be protected). Simply put, copyright is the right to copy; it also covers the right to produce, reproduce and publish a work if that work is protected by copyright. It only protects against copying, not against independent creation of the same thing. In order for something to be protected by copyright, it must be a 'work'. A 'work' as defined in the Copyright Act has to fall under one of four categories and the work has to be original. The four categories are literary works (includes computer software programs), artistic works, drama and music. The duration of copyright protection is the life of the author plus 50 years.

*Literary works* include, but are not limited to, books, lecture notes, laboratory manuals, artifacts, visual art and music.

*Audiovisual and computer materials* include, but are not limited to, audio and video tapes, films, slides and photographs, computer programs and computer-stored information. Under the Copyright Act, these are considered literary works.

*Invention or discovery* includes databases, audiovisual and computer materials, equivalent circuitry, biotechnology and genetic engineering products and all other products of research which may be licensable.

*Publication* means putting the public in possession of an invention by way of speech, talk, paper, tape, video recording or other electronic means, drawing, photograph, printed work, or any other disclosure given or distributed, except on a confidential basis. Deposition of a thesis in a university library constitutes publication in the above sense and may prejudice patent action unless an appropriate provision is made for limited accessibility to the thesis.

*Patents* prevent unauthorized use of the functionality of products and processes. They are defined by the Patent Act. A patent is the exclusive right to make, use, lease and sell the patented invention subject to the right of others and adjudication. Essentially, it is the right to use.

*Licensing* provides the licensee with a right to use an intellectual property. Without that right, the licensee could be sued. It includes the sale and transfer of technology from its owner to the licensee under agreed upon terms usually for a defined period of time.

*University Personnel* includes all members of the University's faculty, professional, technical, administrative, support or other staff, students registered in the University's academic programs and any other personnel and students engaged in the University's teaching or investigative programs.

### Intellectual Property Rights Policy

The Government of Nova Scotia owns any intellectual property developed by an NSAC employee. This is not different from the private sector, where in the absence of a contract to the contrary, an employer is the owner of the intellectual property created by an employee.

To ensure equity, the intellectual property ownership policy that applies to full-time NSAC faculty will also be applicable to Adjunct Professors who hold grant funding and/or supervise students through NSAC. Thus, the intellectual property created by an Adjunct Professor through a project

administered through NSAC will belong to the Government of Nova Scotia unless there is a signed agreement between the Adjunct Professor or his/her employer and NSAC to the contrary.

Members of faculty or staff, students and anyone connected with NSAC are encouraged to discuss and publish the results of research as soon and as fully as may be reasonable and possible. However, publication of the details of an invention may make it impossible to see patent protection. Public use and commercial application are frequently facilitated by patenting and licensing arrangements.

*Discoveries, Inventions, Audiovisual and Computer Materials, including Computer Programs and Databases:* If University Personnel propose to protect or license an invention or discovery in which NSAC facilities, funds administered by NSAC or other resources of NSAC were used, a disclosure must be made to NSAC. Disclosure forms are available from the web site at <http://nsac.ca/research/researchers/forms.asp>. Disclosure forms are to be submitted to the Industry Liaison Officer (ILO) in the RGS Office.

Where it is anticipated that inventions or discoveries may ensue from a particular research enterprise, it may be necessary to undertake special agreements concerning patent or licensing rights before the University accepts the research funds for administration. In addition, it may be appropriate for collaborators, students and staff involved in the project to sign confidentiality agreements. In no case should a student's right to complete the program be compromised by such an agreement.

## **9. Commercialization**

The ILO facilitates the identification and protection of commercially significant technologies arising from the academic research activities at NSAC and assists in educating University staff and students in understanding issues associated with the nature and means of protecting intellectual property (IP). The ILO actively works to protect IP through patents, copyright, and trademarks as well as pursues the licensing of intellectual property for commercial enterprise development. For further information and assistance contact:

Industry Liaison Officer: David Fullerton  
Phone: (902) 896-2419  
Fax: (902) 893-3430  
E-mail: [dfullerton@nsac.ca](mailto:dfullerton@nsac.ca)

## **10. NSAC Postdoctoral Fellow (PDF) Policy**

### **A. Background**

Postdoctoral Fellows (PDFs) are acknowledged as an important and valued group of advanced research-oriented trainees at NSAC. These individuals are normally within the final stage of the intensive research-training period of their careers. Having completed formal doctoral training, the PDF, with minimal teaching and administrative responsibilities, works under the general supervision of a faculty member. PDFs are expected to devote their time and energy almost exclusively to research and to make significant contributions to knowledge in their discipline and augment their personal research stature as well as that of the University.

NSAC expects that PDFs will comply with NSAC policies and will recognize their affiliation with NSAC in their publications and in their participation in scholarly meetings and endeavors.

## **B. Definition**

NSAC defines a Postdoctoral Fellow as one who meets all the following criteria:

- The appointee has a PhD or equivalent degree, normally earned within five years of the appointment date.
- The appointee works under the guidance and sponsorship of a faculty or adjunct faculty member at NSAC.
- The appointee has the freedom to, and is expected to, publish results of his or her research with appropriate acknowledgment of affiliation with NSAC.
- The appointment primarily involves research but may involve a portion of time (i.e. not to exceed 15% time) spent on undergraduate or graduate teaching and supervision.
- The appointment is viewed as preparatory for a full-time academic and/or research career.

## **C. Authority to Make PDF Appointments**

PDFs can receive funding from grants or contracts held by faculty or from departmental resources. PDFs may also come to the University with funding from an external source. All PDFs, regardless of how they are paid, are appointed by the VP Administration.

## **D. Teaching**

It is recognized that some PDFs wish to obtain teaching experience. It is also recognized that PDFs are an intellectual resource in the University and that both undergraduate and graduate programs benefit from their participation. Although PDFs may be involved in undergraduate and graduate teaching and supervision (up to 15% of their total time), PDFs are under no obligation to participate in formal teaching at NSAC.

PDFs should discuss their desire to participate in teaching activities of the department with their supervisor and with the Department Head. Such teaching duties should normally be specified in the letter of appointment. Other teaching activities may be arranged by mutual consent. Department Heads and supervisors should check in advance of making the recommendation about any granting agency restrictions to the amount of teaching that can be assigned to the PDF.

## **E. Recruitment, Selection and Offer of an Appointment as a Postdoctoral Fellow**

### Recruitment

Subject to relevant provincial and federal regulations such as the Canadian Immigration Act and the Human Rights Act in Nova Scotia, faculty members may recruit PDFs directly by whatever method they deem appropriate, e.g. through personal contacts, networking at conferences, response to inquiries, advertisements in local, national or international publications. To recruit internationally, a PDF position posting must be posted for 30 days with Human Resources and Social Development Canada (HRSDC) to meet foreign worker legislation.

## Selection

Normally, a faculty member, who has funding sources that can be used to support a PDF (i.e., a grant or contract), will conduct the selection process according to the 'Fair Hiring Guidelines of Nova Scotia' (<http://www.gov.ns.ca/tpb/manuals/PDF/500/50201.pdf>), and with other faculty members if there is to be joint funding and supervisory responsibilities for the position. For PDFs who are to be supported through a named fellowship directly from an external granting agency, such as SSHRC, NSERC or CIHR, the review process is handled at arms' length from the supervisor by the funding agency and the role of the supervisor is to provide a letter of support for the applicant. The NSAC faculty supervisor is responsible for ensuring externally funded PDFs are adequately supervised and guided through NSAC PDF administrative processes.

## Offer of an Appointment

It is essential that NSAC be aware of all PDF appointments in order to be in a position to guarantee the PDF his/her rights and to ensure the understanding of responsibilities. Offers to potential PDFs by supervisors must be discussed with and approved by the supervisor's Department Head and the VP Administration.

- The letter of invitation to a PDF to join an NSAC researcher or research group should specify:
  - ▶ the title Postdoctoral Fellow
  - ▶ the term of appointment as a PDF, including beginning and ending dates, and any notice of termination provisions applicable to either party in the event that the appointment is terminated within the term of appointment;
  - ▶ special reference to the position as that of a PDF as defined in Section B;
  - ▶ the salary/stipend to be expected and source and method of payment;
  - ▶ whether travel and moving expenses are included; if so, method of payment;
  - ▶ the nature of the research to be undertaken and the expectations of the supervisor(s);
  - ▶ for international PDFs, health insurance requirements and cost;
  - ▶ for international PDFs, that the applicant is a highly qualified or skilled person; and
  - ▶ any special conditions.

International PDFs must submit the letter of invitation to their nearest Canadian Embassy (High Commission or Consulate) to apply for a work permit. Once approved for a work permit, the candidate can apply for a social insurance number (SIN) in Canada. The candidate is eligible to begin work in Canada once he/she provides the university with his/her social insurance number.

A copy of this policy and NSAC's Research Policy Manual must be included with the letter of appointment.

- The offer of appointment shall specify the right to terminate any appointment if performance expectations are not met or for just cause.
- The letter of invitation must be signed by the VP Administration. The letter must be copied to the PDF's supervisor, the relevant Department Head, Manager of RGS, VP REO, VP Academic, President, and Human Resources. For international PDF appointments, the letter must also be copied to the Director of NSAC International and the International Student Exchange Coordinator.
- The PDF must accept this letter of invitation in writing.
- PDFs who receive external stipend support (e.g., external scholarship or government

support) not provided by NSAC will receive a letter of offer from NSAC and a postdoctoral fellowship appointment for the term of the external support.

A registry of PDFs will be established through documentation provided to the RGS Office.

#### **F. Responsibilities of Supervisors**

It is the direct responsibility of the faculty supervisor(s) to ensure that funding for the PDF stipend is secured for the duration of the PDF's appointment and that all necessary research resources are available in order that the PDF might reasonably be expected to achieve his/her set of goals. The availability of appropriate research space is the responsibility of the supervisor along with the academic administrator who has been designated as responsible for management of space for the PDF supervisor's unit.

It is the direct responsibility of the faculty supervisor(s) to inform the PDF within three weeks of his/her arrival at NSAC of the following:

- any teaching expected to be done by the PDF and, if applicable, the remuneration to be paid for this teaching;
- authorship expectations and guidelines;
- any intellectual property developed during the course of employment is owned by NSAC;
- any confidentiality restrictions governing the research program; and
- any other special conditions that might apply.

It is expected that supervisors will recognize the contributions of PDFs toward the creation of intellectual property (e.g. copyright, patents, etc.). The faculty supervisor will inform the PDF of any prior restrictions on intellectual property rights or assignment imposed by the funding sources of the research project.

Also within three weeks of the PDF's arrival at NSAC, the supervisor must not only inform the PDF of the requirement for a formal annual evaluation (i.e., performance appraisal) but also establish all performance objectives for the first period of the performance review period. The agreed upon objectives are to be approved and signed by both the supervisor and PDF within this time frame. Performance deficiencies are to be discussed with the VP Administration in consultation with the Human Resources Consultant.

The supervisor is also responsible for orientation to the workplace and introduction to appropriate University personnel and policy. The supervisor should provide information about NSAC policies and guidelines, performance expectations, standards for work hours, safety procedures, occupational health and safety mandatory training requirements, ethical, scholarly integrity issues, and intellectual property ownership.

The faculty supervisor is responsible for the determination of the nature and scope of the scholastic and research activities and for supervision and feedback with respect to those activities. Supervisors are responsible for performance management and records and for reviewing the performance of PDFs at least annually.

#### **G. Responsibilities of Department Heads**

The supervisor must have the approval of his/her Department Head prior to requesting a letter of invitation to the PDF from the VP Administration. The approval of the Department Head signifies that the Department Head and the Researcher have agreed on how the PDF will be resourced.

In addition to the direct costs of research, considerations should include office space, a computer, a telephone, access to the department fax and photocopier, and basic office supplies.

## **H. Nature of Appointment**

The policy below is superceded by Canadian and Provincial labour standards. In addition, Canadian and Provincial Human Rights legislation applies to this policy. Supervisors and PDFs should be respectful of and must comply with both Canadian and Nova Scotia Human Rights legislation.

### Compensation

PDFs are generally funded from external awards from granting agencies or foundations, or from internal awards from the operating grants or contracts of the faculty supervisor(s).

NSAC does not specify a compensation level for PDFs. Compensation for externally funded PDFs will be determined by the funder. For a PDF supported from a research grant or contract or where there are no specific salary requirements, the PDF's compensation will be established by the supervisor with the approval of the Department Head and VP Administration. Compensation should be based on relevant experience and responsibilities of the incumbent and should be in line with the stipend ranges and minimum specified by major Canadian research granting councils. The minimum salary for a PDF is \$25,000 per year plus 4% vacation pay. The stipend will be worked out between the supervisor and PDF in consultation with NSAC's Human Resources Consultant with final approval granted by the VP Administration.

Given the short-term nature of PDF appointments, salaries are not usually reviewed mid-term.

### Termination for Just Cause

The appointment of a postdoctoral fellow at the University may be terminated without notice for just cause. Just cause is a legal term reflecting conduct by the postdoctoral fellow that is inconsistent with the nature of the appointment as a postdoctoral fellow at NSAC and would justify dismissal if the postdoctoral fellow were a regular employee. At the time of the termination of the appointment for just cause, the postdoctoral fellow will be provided with a statement of the reasons for the termination of the appointment.

### Leaves and Vacation

The following leaves are statutory requirements under the Labour Standards Code for employees and will be applicable to PDFs whose stipend is deemed to be employment income:

*Vacation* - 10 days without pay taken within the year of appointment, in addition to weekends, and statutory holidays (5 days per calendar year).

Although supervisors will be sensitive to requests for compassionate leave and leave for religious observance requests, PDFs will not necessarily be paid for such leave requests as this is left to the discretion of the supervisor.

*Pregnancy/Parental Leave* - 52 weeks (when PDF has been employed for at least one year)

## **I. Academic Issues**

### Teaching

Although the primary responsibility of PDFs is to undertake research, they are an intellectual resource in the University and may contribute to educational programs. Graduate students in particular may benefit from the participation of PDFs in graduate student teaching and on supervisory committees.

PDFs are generally permitted to demonstrate, instruct or accept limited or casual teaching-related duties provided that the supervisor(s), funding agency, and the relevant course coordinator agree, and provided that this activity does not hinder progress in their research.

### Research Grants and Contracts

PDFs may apply for external funding if the agency allows applications from PDFs. Research accounts established at NSAC for these funds must have the NSAC PDF supervisor with co-signing authority.

### Authorship Rights

Publication of research results is a typical standard of academic achievement. The faculty supervisor shall ensure that PDFs are appropriately recognized for their contributions to publications involving the PDF's research. This recognition will be based on generally accepted conventions for publication in the particular academic field. The general practices of the faculty supervisor concerning authorship will be explained to the PDF prior to the commencement of the fellowship. The faculty supervisor will inform the PDF, prior to commencement of the fellowship, of any prior, time-limited restrictions on the publication of results imposed by the funding sources for the research project.

### Academic Integrity

All newly appointed PDFs are expected to be familiar with the NSAC's Policy on Integrity in Research and Scholarship (available from the RGS Office).

### Ethics

All PDFs will ensure that any research that involves humans, animals, radioactive material or biohazards is covered under approved protocols that are generated either by the PDF directly, or by the faculty supervisor. All PDFs who will be involved in human research will familiarize themselves with the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans

([http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Politiques-Politiques/tpsintegrity-picintegritie\\_eng.asp](http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Politiques-Politiques/tpsintegrity-picintegritie_eng.asp)). All PDFs who will be involved in animal research must take a course entitled "Experimental Animal User Training". PDFs planning to work with animals are asked to contact the Chair, Animal Care and Use Committee, NSAC (<http://nsac.ca/animalcare/>).

## **J. Complaints**

PDFs are encouraged to discuss any problems with their supervisor first as it is expected that

most problems will be resolved directly between the supervisor and PDF. Unresolved problems may be brought in confidence to the Department Head. Academic issues that cannot be resolved by the Department Head may be brought in confidence to the attention of the VP Academic. All non-academic issues that cannot be resolved by the Department Head may be brought in confidence to the VP Administration. Ultimate responsibility for resolution of disputes for academic and non-academic matters rests with the VP Academic and the VP Administration, respectively.

## **K. Termination**

In the unusual circumstance of the termination of a PDF's term before its expiry, the termination will be initiated by the supervisor but will require prior approval by the Department Head, and the VP Administration. Notices of termination must include reasons for the termination and following the approval of the Department Head and Vice-President Administration, must be copied to the VP Academic, Manager of RGS and VP REO. Termination will be in accordance with the Labour Standards Code. In cases where the PDF holds a Tri-Council fellowship (i.e., NSERC, SSHRC, CIHR), the process will conform to the Council's regulations. Should the PDF elect to terminate the contract, a notice of two weeks will be given to the supervisor and Department Head.

## **11. Visiting Scientists and Scholars**

NSAC faculty who wish to host a visiting scholar are asked to make all arrangements in consultation with their Department Head. Considerations should include desk and research space, applicable training to meet OH&S obligations, computer access, as well as technical, research and other support that may be required. All letters of invitation to visiting scientists are to be issued by the President. The President's Office (Tel: 893-6720; E-mail: [tblois@nsac.ca](mailto:tblois@nsac.ca)) will work with the host department and faculty member to prepare the letter of invitation. Once the visiting scientist arrives at NSAC, the NSAC faculty host is asked to bring the visiting scientist to the RGS Office to be introduced.

## **12. Travel Policy and Procedures**

Travel claims are to be submitted monthly, for a full month's travel costs. Claims received in Financial Services, with appropriate approvals and documentation requirements, are posted daily and included on the next regular cheque run.

Travel claims not meeting guidelines will not be processed in the normal routine and will only be processed when documentation requirements are completed.

Visit the following link for forms and instructions: <http://nsac.ca/finance/forms.asp>.

The expenses associated with having an External Examiner involved in an ATC or Thesis Defense are not eligible expenditures from most research accounts, including Technology Development and NSERC. These expenses are considered indirect costs of the graduate student program and not a direct research cost.

For travel expenses associated with the Thesis Defense of a graduate student enrolled at NSAC, the RGS Office will reimburse the External Examiner for travel expenses in accordance with the per diem rates, travel policies and guidelines of the Province of Nova Scotia, up to a maximum of \$500 per student (effective January 1, 2010 - up to a maximum of \$700 per student). Supervisors are responsible for arranging any additional expenditures to be covered through approved sources prior to the defense (e.g., grant-in-aid accounts, seminar funds). Note that expenses associated with an examiner attending an Admission to Candidacy examination will not be reimbursed.

### **13. Memoranda of Understanding Agreements**

NSAC has entered into a number of Memoranda of Understanding agreements with other universities, centers and research institutes. The purpose of these agreements is to define the relationship between NSAC and the other party and to set out the research agreements between the two. These arrangements do not involve financial obligations or specific targeted commitments. They usually bring together NSAC and another public or quasi-public agency and provide an “umbrella” to facilitate interaction between NSAC and the other party and can include collaborative research and development projects, joint education projects, and technology transfer initiatives. They are most often monitored by a steering committee or advisory board, which ensures that the Memoranda of Understanding has some ‘substance’.

A current list of existing Memoranda of Understanding agreements is available from NSAC’s President’s Office.

Memoranda of Understanding will be developed as the opportunities arise and the need for such agreements becomes apparent.

## Appendix A

Please note the following forms/documents/web sites referred to in the preceding manual and, where applicable, the location where electronic copies can be obtained.

- Human Research Ethics Board (REB)** (policy, guidelines, submission deadlines, forms):  
- [nsac.ca/research/researchers/ethics.asp](http://nsac.ca/research/researchers/ethics.asp)
- Certification Requirements for Research at NSAC** (guidelines, form):  
- email: [cterry@nsac.ca](mailto:cterry@nsac.ca)
- NSAC Animal Care and Use Protocol - Research** (information, form):  
- NSAC Animal Care and Use Committee web site <http://nsac.ca/animalcare/>  
- Canadian Council for Animal Care web site: [www.ccac.ca](http://www.ccac.ca)
- Financial Forms** (petty cash, journal voucher, cheque requisition, departmental purchase order, alternate procurement practice, travel claim, signing authority) and additional contact, financial, and procurement related information:  
- <http://nsac.ca/finance/forms.asp>
- Code of Conduct for Civil Servants**  
- <http://linux1.nsgc.gov.ns.ca/hr/mm500%20code%20of%20conduct%20policy.pdf>
- Tri-Council Policy Statement: Integrity in Research and Scholarships**  
- [http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Politiques-Politiques/tpsintegrity-picintegritie\\_eng.asp](http://www.nserc-crsng.gc.ca/NSERC-CRSNG/Politiques-Politiques/tpsintegrity-picintegritie_eng.asp)
- Research & Graduate Studies Office** (information, resources, staff)  
- [nsac.ca/research/](http://nsac.ca/research/)