



RESEARCHER GUIDE

ABRIDGED | DRAFT

Applied Research & Commercialization

C506-2055 Notre Dame Avenue, Winnipeg, MB R3H 0J9

Tel: (204) 632-2597 • Fax: (204) 633-3079

www.rrc.ca/appliedresearch

AR&Cinfo@rrc.mb.ca

Applying Knowledge, Delivering Results™

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Glossary: College and Industry Acronyms

AR&C	Applied Research & Commercialization	www.rrc.ca/appliedresearch
CARD	College Applied Research Development (Fund)	www.rrc.ca/appliedresearch
CARSI	Centre for Applied Research in Sustainable Infrastructure	www.rrc.ca/appliedresearch
CFI	Canada Foundation for Innovation	www.innovation.ca
CIHR	Canadian Institutes of Health Research	www.cihr-irsc.gc.ca
HQP	Highly Qualified Personnel	
IP	Intellectual Property	
NRC-IRAP	National Research Council - Industrial Research Assistance Program	irap-pari.nrc-cnrc.gc.ca
NSERC	Natural Sciences and Engineering Research Council	www.nserc-crsng.gc.ca
REB	Research Ethics Board	http://blogs.rrc.ca/numbers/ethics-board/
RRC	Red River College	www.rrc.ca
SBIR	Small Business Innovation Research (US)	www.sba.gov/sbir/
SME	Small and Medium-Sized Enterprises (less than 500 people)	
SSHRC	Social Sciences and Humanities Research Council	www.sshrc-crsh.gc.ca
Tri-Council	CIHR, NSERC, and SSHRC	
TTO	Technology Transfer Office	
WD	Western (Economic) Diversification	www.wd.gc.ca

1. Foreword

Applied research is the application of new or existing knowledge to solve the practical problems of the real world. It is a key element in improving Canada's innovation and productivity, as well as an expanding role for Canadian community colleges. Appendix A outlines the role of Canadian colleges and institutes in research, development, and commercialization. Red River College (RRC) has increased its support to applied research, technology transfer, prototyping, product development, testing, and commercialization through the establishment of the office of Applied Research & Commercialization (AR&C), which reports to the Vice President, Academic.

As Manitoba's largest institute of applied learning, RRC receives more than 32,000 student enrolments and employs more than 2,000 people. With its wide range of programs, and applied learning opportunities, and its focus on industry needs, the College is a significant contributor to the long-term health and success of Manitoba's economy.

AR&C is industry's gateway to the research-related knowledge, capabilities, facilities, and networks that reside at RRC. AR&C also proactively identifies practical applied research opportunities that can provide mutual benefit to both the College and potential industry partners. AR&C can manage the entire applied research process. Since the inception of AR&C in 2004, RRC has served as a model for implementing applied research programs at College's nationwide. The program has attracted over \$25 million in capital investment from government and industry stakeholders. In addition, applied research has now been integrated into all RRC school-specific academic plans.

The four **"CORE"** Activities of AR&C are as follows:

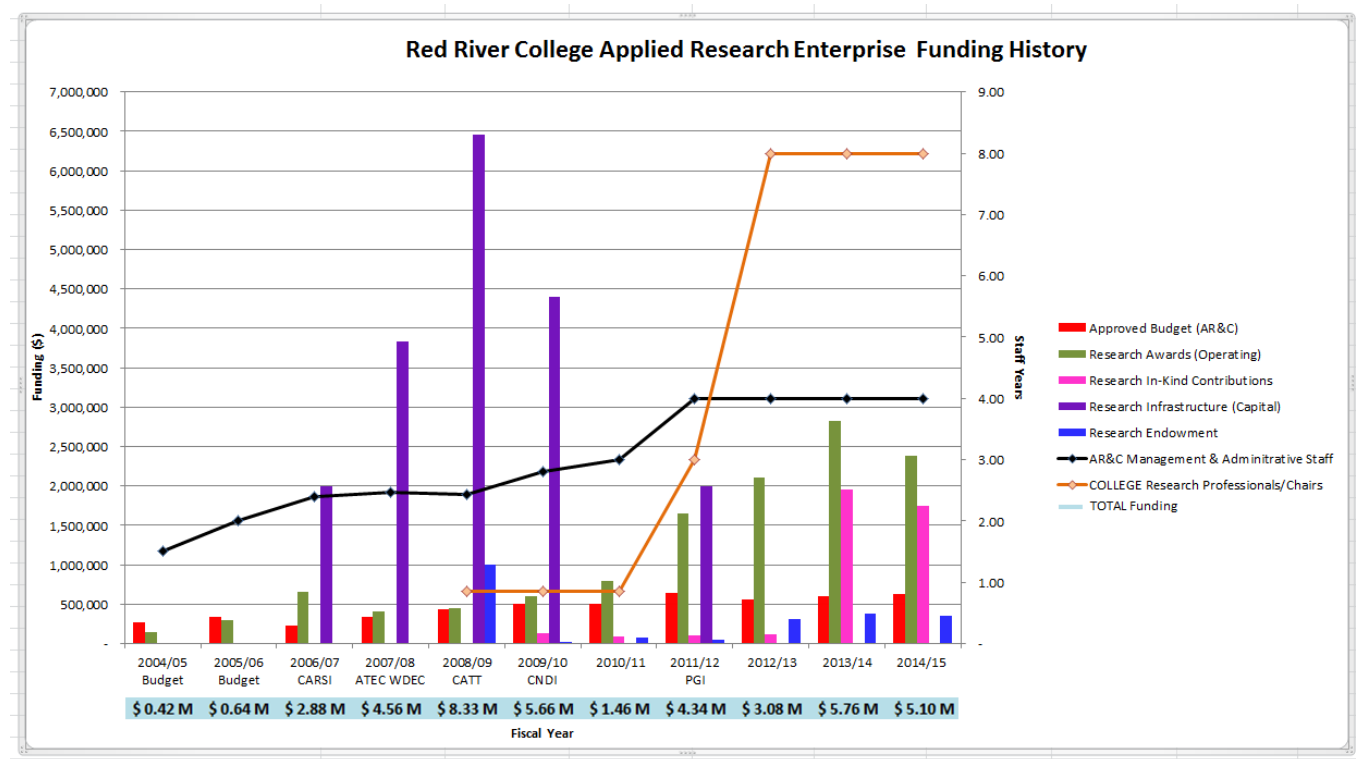
Contract, Grant & Intellectual Property Management <ul style="list-style-type: none">• Agreements, Deliverables & Financials• CARD (for Internal Research) Fund• Metrics: Innovation IMPACTS ROI™• Patents, Copyrights & Trademarks• Proposal Coaching & Drafting	Outreach <ul style="list-style-type: none">• Awareness & Education• Events• Network-Network-Network• Publications• Research Communications
Research & Partnership Development <ul style="list-style-type: none">• Industry• Government & Foundations• "Fourth Pillar" Organizations• Colleges & Universities• International	Engagement <ul style="list-style-type: none">• Advocacy• Consultations & Advisory Groups• Contribution Agreements• Facility/Laboratory Management• Industry/Policy Working Groups• Research (selected activities)

The applied research thrusts, or priority focus areas that have been identified as a result of the planning process, are synergistic between RRC's current and developing research strengths and the socioeconomic needs of its communities. The areas identified are:

1. Advanced Design & Manufacturing
2. Clean Technology
3. Digital Technology
4. Health & Social Sciences

Led by AR&C and with the support of the faculty, staff and students within the College's Schools, RRC's ability to support industry through applied research has been recognized, awarded, and enhanced through grants and/or other financial awards from organizations such as the Natural Sciences & Engineering Research Council of Canada, Western Economic Diversification, the Canada Foundation for Innovation, the Province of Manitoba and the National Research Council of Canada Industrial Research Assistance Program. These contributions, along with financial and in-kind support from local industry, have driven the steady growth of the College's applied research program.

The annual value of the College's applied research enterprise, as illustrated below, has grown from \$420,000 in 2004-2005, to over \$5 million in 2014-2015.



2. Technology Transfer, Commercialization, and Diffusion

Technology transfer is the process of turning research into a commercial product. It involves determining the commercial potential of research, and then developing strategies for how to exploit that research. An important part of the exploitation process is the protection strategy, i.e. what means (patents, copyrights, trade secrets, etc.) are appropriate and necessary to protect a product. Commercialization frequently requires that assessments be made of the technology, the market, or the opportunity itself. Diffusion focuses on the adaptation and adoption of technology. See Appendices B and C for more detailed information on technology transfer and commercialization, and the services provided by a full service technology transfer office.

2.1. Intellectual Property Management

Intellectual property (IP) management is a complex area in which the “devil is in the details.” Business is based on having close relationships with researchers and potential partners. These relationships are generally formalized with various types of agreements.

Innovation (or invention) disclosures are a key factor in becoming aware of the inventions that have been made. Non-disclosure agreements are required at most stages when consulting external people or organizations, or when partnership negotiations are underway.

A variety of strategies exist concerning IP protection, especially in the early stages. It is very important to file for patents as soon as possible. Most institutional technology transfer offices file provisional US patents to establish a filing date while more detailed due diligence is underway. Please see subsection 2.2 Patents and Copyrights for more details.

Licensing is the most common method of moving academic innovations to commercial practice. Unfortunately, in some sectors, Manitoba’s receptor capacity is limited, so most institutions license outside the province. It is still possible to negotiate licenses that have local economic impact beyond royalties to the licensor.

Commercialization of research and technology usually requires specialized legal expertise to deal with matters such as patent, copyright, trademarks, and industrial design. Even when “trade secrets” are the basis for commercialization, legal advice is required. Commercialization is not as straightforward as it may appear, and needs to reflect the intellectual management strategy of the proponent or inventor. Furthermore, each specific technology sector has its own particular legal approach and issues. In the health technology sector especially, IP personnel are specialists, not generalists. The role of a legal practitioner, either a patent agent or a lawyer, in IP protection includes clarifying and ascertaining ownership rights. This is especially true when public institutions or their collective agreements are involved.

Under RRC’s Intellectual Property Policy (Appendix O), RRC has mandatory institutional ownership of “IP” (to enable maximum clarity in a licensing situation), including any IP which is created by students employed on the project. The policy is flexible enough to accommodate transfer of ownership, in the event the private-sector partners require ownership. **RRC’s normal practice is to grant private-sector partners commercial rights, while RRC retains rights for further research and education.** As a result, there have never been any IP-related problems between RRC and industry since this practise was instituted in 2004. Industry finds RRC to be very “IP friendly” and agreements on specific projects are normally negotiated and signed rapidly.

2.2. Patents and Copyrights

What is the difference between a patent and a copyright? Patents cover new inventions, including processes, machines, manufactures, and compositions of matter, or new improvements of an existing invention. Copyrights, on the other hand, provide protection for literary, artistic, dramatic, or musical works.

A patent gives one the right to exclude others from making, using, or selling the invention from the day the patent is granted to a maximum of 20 years from the application filing date. A patent can be used to make a profit by selling, licensing, or as an asset to negotiate funding. One of the requirements of getting a patent is that the inventor will make a full disclosure of the invention. It is done so that all Canadians can benefit from the advance in technology and knowledge. People will be able to read about, though not make, use, or sell, the invention without the permission of the inventor. Anyone may freely make, use, or sell the invention once the patent has expired or if it has lapsed due to non-payment of maintenance fees. The idea behind patenting is to promote technological information sharing, while providing inventors a time-limited monopoly on their invention.

There are three criteria as to what can be patented. The invention must be:

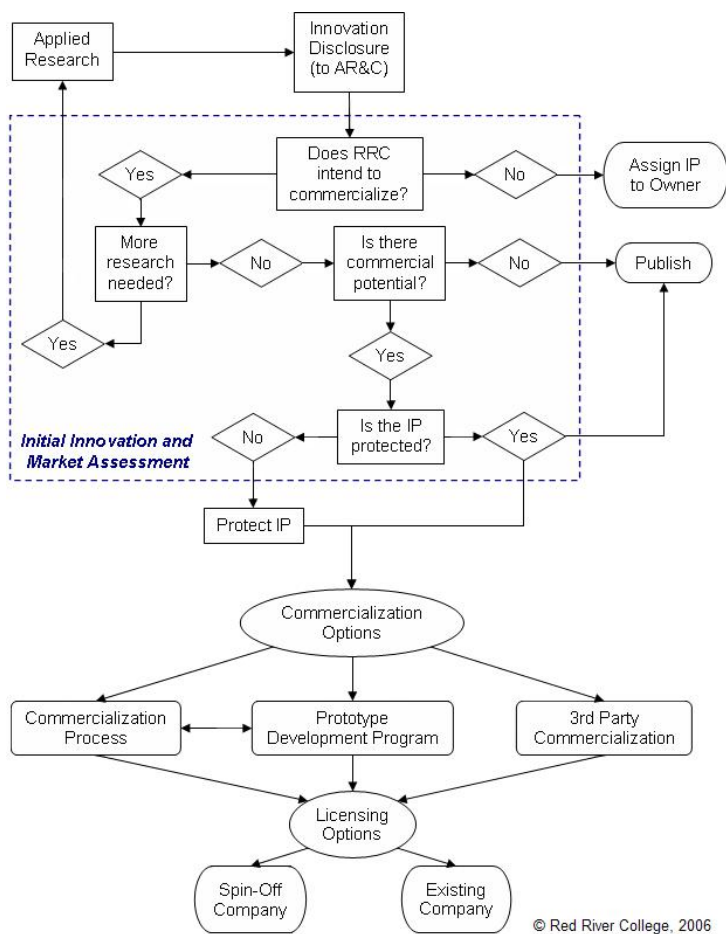
1. New
2. Useful
3. Unobvious to someone skilled in the field

2.3. AR&C Commercialization Process

When it comes to industry projects, RRC may support the partner in its commercialization-related endeavours. However, since the College normally grants commercial rights to its research partners from industry, RRC lets the partner lead commercialization.

When an RRC researcher is interested in having their work commercialized, they are asked to fill out the Innovation Disclosure Form (<http://blogs.rrc.ca/ar/wp-content/uploads/2013/11/arcdisclosureform.pdf>), which should be signed by their chair, dean, or director. AR&C will then discuss the disclosure with the innovator to better understand the innovation and to prepare for the *Initial Innovation and Market Assessment*. The initial assessment will allow AR&C and the innovator to determine how best to proceed.

Does RRC intend to commercialize? Some innovations may have been developed as part of a contract research agreement, and the IP may belong to the funder, as per the contract terms. When the College does not intend to commercialize IP, it will be assigned (transferred) to the researcher, so that they may do with it as they will, though RRC may choose to retain an economic interest. When the College does intend to commercialize the IP, AR&C will continue the *Initial Innovation and Market Assessment* process to determine if the innovation can be turned into a commercial product, and if it is at the right stage of development to do so. If the College shares ownership in the IP with another party or parties, RRC may require that the IP be assigned to a mutually-agreed upon party (in most cases this is likely to be the College) in order to proceed with the commercialization process.



More research needed? Some innovations will not leave the College until they are nearly at the commercial product stage, while others will be licensed to industry at a much earlier stage of development (especially if internally funded by the College). The timing depends largely on the industry sector. Medical devices and pharmaceuticals, for instance, tend to be licensed at a much earlier stage than in any other sector due to the long and expensive regulatory process. Other industry sectors might not even consider licensing until the innovation is at the commercial stage.

Is there commercial potential? Some innovations cannot be transformed into a commercial product. This may be because the innovation does not have freedom to operate, which is to say that in order to transform the innovation into a commercial product, one would have to infringe on the protected IP of another. Other products might not have a large enough market to recoup the patenting costs and/or the product development costs.

Is the IP Protected? The final stage of the *Initial Innovation and Market Assessment* is determining if the innovation has been protected and, if not, the most effective way to protect it. Copyrights provide protection for literary, artistic, dramatic, or musical work, including computer programs, and performance, sound recording, and communication signal. Patents are used to protect new inventions, or a new and useful improvement of an existing invention. As patents protect inventions only with the country of issuance, an appropriate global coverage strategy must be determined. Protected IP can be published without harming the commercial potential of the innovation.

After the initial assessment has been completed, AR&C will begin the commercialization process. At this point, AR&C may choose to conduct a more detailed technology assessment, may have some prototype development done, or may choose to license the IP as-is. Licensing options involve whether the innovation is best served by being licensed to an existing company or to a newly created spin-off.

3. College Policies and Procedures

3.1. Research Policies

Red River College has developed a comprehensive set of policies and procedures concerning applied research. These policies are fully Tri-Council (see *Glossary*) compliant, and include:

- R1 – Research Involving Human Subjects
- R2 – Integrity in Research and Scholarship
- R3 – Animal Care and Research
- R4 – Conflict of Interest in Research
- R5 – Student Rights in the Conduct of Research
- R6 – Research in the Yukon, Northwest Territories, and Nunavut
- R7 – Research Involving Biohazards and Radioactive Materials
- R8 – Applied Research Administration
- R9 – Approval to Forward an Application for Research Funds to an External Partner
- R10 – Recovery of Costs of Research
- R11 – Adjunct Researchers

These policies can be found in Appendices D – N, respectively.

3.2. Intellectual Property and Copyright

RRC has one primary policy concerning research-related intellectual property: *A10 – Intellectual Property and Copyright* (Appendix P). In essence, Policy A10 says that any IP created in the course of a College employee's work, relating to an employee's work, or created using College resources or support is owned by RRC, as provided for by Canadian laws. Employees are required to disclose their IP to the College before such time as they publish or in any other way disclose the IP to the public. RRC recognizes the creator's contribution to the IP by sharing any net profits derived from IP with the creator. Such sharing is determined on a case-by-case basis. Policy A10 aims to, among other things, recognize and respect both the College's and creator's IP rights and interests, and encourage and promote educational innovation and new ventures.

4. Funding

4.1. Application Process

Policy R9 - Approval to Forward an Application for Research Funds to an External Partner outlines requirements concerning the application process.

In general, when a researcher identifies a funding opportunity for which they are interested in applying, AR&C needs to be informed. The researcher should discuss their idea with their supervisor, be it a chair, dean, or director, and get their support for the project. The budget for the research proposal should be developed in consultation with AR&C and Financial Services.

The final draft of the proposal must be sent to AR&C, the Research Financial Administrator, and the researcher's dean and chair for approval; prior to submission to a potential external funder. The costing must be signed by the researcher, the Research Financial Administrator, and the researcher's supervisor. The project must be approved by the researcher's chair and dean or director. AR&C must review and approve all proposals before they can be submitted by the

researcher to the funding agency. AR&C can help at any and all stages of the application process, such as proposal preparation.

4.2. Internal Sources

4.2.1. College Applied Research Development (CARD) Fund

The CARD Fund is an annual competition designed to encourage faculty and staff to engage in applied research activities. An opportunity notice will normally be sent out at least two months prior to the closing date. The intent of the fund is to develop and build internal research capacity by enabling faculty and staff to:

- Conduct limited, short-term applied research projects;
- Carry out demonstration and/or proof of concept applied research projects;
- Prepare industry-focused proposals;
- Conduct and assess the commercial potential of projects; and
- Prepare subsequent proposals and disseminate research results.

Support can be used to provide research assistance, release time, and associated project costs. The value of the award is normally up to \$7,500. Internal or external sources of funding will be required for budgets exceeding the limit. All RRC faculty and staff are eligible to apply. Selection criteria and summaries of previously funded projects can be found on the AR&C website (<http://blogs.rrc.ca/ar/focus-areas/college-applied-research-development-fund/>).

4.3. External Sources

4.3.1. NSERC

NSERC (Natural Sciences and Engineering Research Council) is Canada's largest academic research funding body. It aims to make Canada a country of discoverers and innovators for the benefit of all Canadians. The agency supports university students in their advanced studies, promotes and supports discovery research, and fosters innovation by encouraging Canadian companies to participate and invest in postsecondary research projects. NSERC has a variety of "College and Community Innovation" funding programs which are college-specific. The College is NSERC eligible.

4.3.2. SSHRC

SSHRC (Social Sciences and Humanities Research Council) supports postsecondary-based research, research training and knowledge mobilization activities in the social sciences and humanities. SSHRC strategically supports world-leading initiatives that reflect a commitment to ensuring a better future for Canada and the world. SSHRC-supported research in the social sciences and humanities enhances our understanding of modern social, cultural, technological, environmental, economic, and wellness issues. Funds are provided through a number of programs, including: Talent, which supports students and postdoctoral fellows in order to develop the next generation of researchers and leaders across society; Insight, which builds knowledge and understanding about people, societies and the world by supporting research excellence in all subject areas eligible for funding from SSHRC; and Connection, which supports specific activities and tools that facilitate the flow and exchange of research knowledge. SSHRC is currently running a pilot program targeted at colleges – the Community and College Social Innovation Fund. The College is SSHRC eligible.

4.3.3. CIHR

CIHR (Canadian Institutes of Health Research) is the Government of Canada's health research investment agency. CIHR's mandate is to “excel, according to internationally accepted standards of scientific excellence, in the creation of new knowledge and its translation into improved health for Canadians, more effective health services and products and a strengthened Canadian health care system. The College is eligible to apply for CIHR funding.

4.3.4. Other

The AR&C office regularly receives notices of funding opportunities through various agencies, institutions, and companies, such as Western Diversification (WD), the Canadian Foundation for Innovation (CFI), and the National Research Council of Canada Industrial Research Assistance Program (NRC-IRAP).

4.4. Managing Funds

All internally funded projects will be overseen by the Financial Services department. Once selected for funding, the researcher will meet with the Research Financial Administrator to determine the needs and expectations of their projects. A project costing on which their finances will be based will be the end result of this meeting. Researchers are responsible for properly managing their own projects.

5. Sources

About CFI (2015) <http://www.innovation.ca/>

About CIHR (2015) <http://www.cihr-irsc.gc.ca/e/193.html>

About NSERC (2015) <http://www.nserc-crsng.gc.ca/>

About SDTC (2015) <https://www.sdtc.ca/en>

About SSHRC (2015) <http://www.sshrc-crsh.gc.ca/home-accueil-eng.aspx>

Canadian Intellectual Property Office (2015)
http://strategis.gc.ca/sc_mrksv/cipo/patents/pat_gd_main-e.html

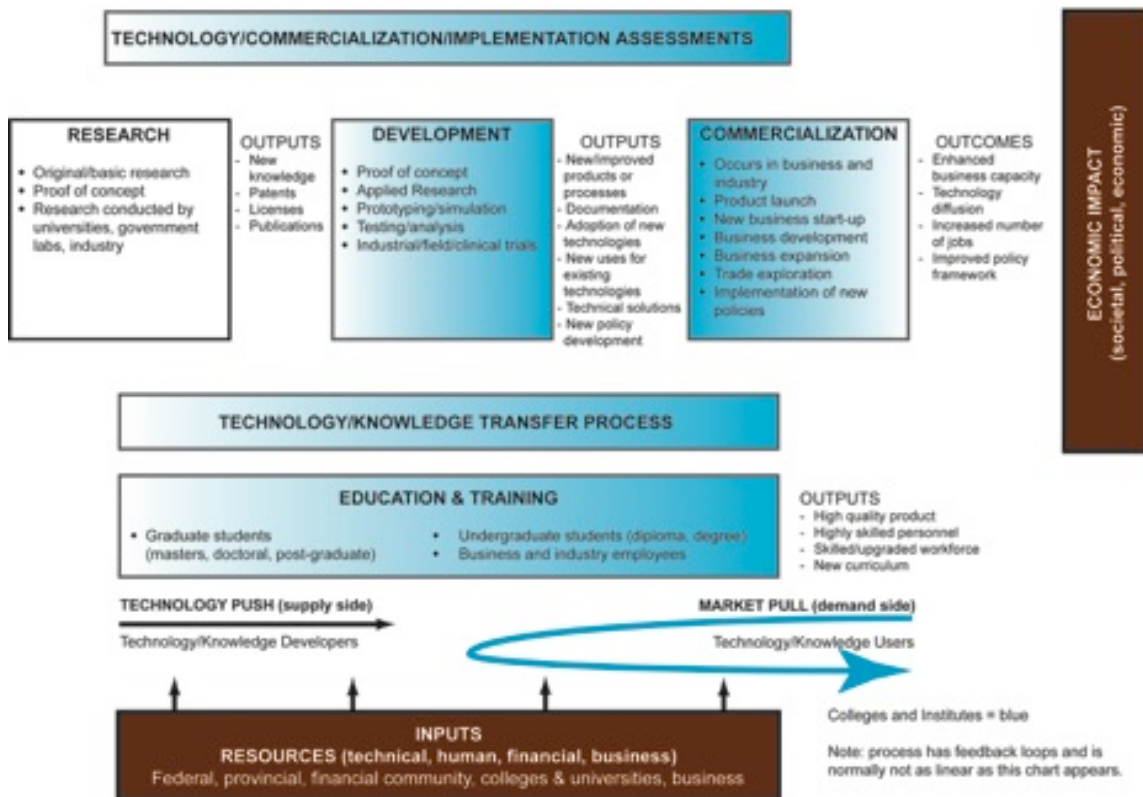
College and Institutes Canada IP Toolkit (2015) <http://www.collegesinstitutes.ca/resources/ip-toolkit/>

Polytechnics Canada (2015) <http://www.collegesinstitutes.ca/resources/ip-toolkit/>

Appendix A

Canadian Colleges and Institutes Role in Research Development and Commercialization

CANADIAN COLLEGES AND INSTITUTES Role in Research Development and Commercialization



Appendix B

Knowledge-Based Economic Development

This document should be viewed in the context of being a first step towards a more formal and structured review of technology transfer and commercialization activities and their impact on the economy.

In the broadest sense, “Technology Transfer” can be considered to be the “*transfer of knowledge*”, while “Technology Commercialization” is commonly considered to be the *practical (industrial) application of the results of research* – usually with some form of compensation from the commercialization agent to the researcher. However, it is not uncommon for these terms to be used interchangeably. An overview of technology transfer and commercialization activities is provided.

The typical steps, which may vary in sequence depending upon the circumstances, in a typical academic technology commercialization cycle include:

1. Research which results in a discovery or innovation
2. Formal disclosure of the innovation by the inventor to the academic institution
3. Determination and assignment of intellectual property rights (ownership)
4. Decision concerning who will handle commercialization activity
5. Assess impact of any previous public disclosure
6. Preliminary assessment of innovation (technical and market)
7. Initiate intellectual property protection (e.g. provisional patent)
8. Seek and attract commercial partner(s) and/or licensee(s) (including development of a “Business Opportunity Document”) by the academic institution
9. Identify licensing issues (such as exclusivity, right to sublicense, geographic location for areas of sale, fields-of-use, length of agreement, licensee performance terms, financial and non-financial terms, and valuation of the intellectual property)
10. Conclude license negotiations and intellectual property protection process, to enable the licensee to initiate commercialization

This overview has focussed essentially on an academic institution’s services and activities with respect to the commercialization of intellectual property resulting from academic research. It has NOT addressed other aspects of industry liaison and technology transfer, such as research contracts, faculty (and student) consulting, student employment, industry-based student projects, the perceived “user friendliness” of the institution, and industry-oriented initiatives – including partnership programs.

Spin-offs (essentially an offshoot of licensing) are touted as one measure of how successful academic institutions are at commercializing technology, creating jobs, and having a positive economic impact. However, different institutions define and measure spin-off activity in various manners, so care must be exercised if published figures are taken at face value without due regard or understanding of the basis used for defining a spin-off. Various situations are described which can result in the genesis of spin-off companies and economic activity.

The definition of a “Spin-off” company can be very broad or very specific, depending on the purpose and context. Furthermore, there is no consistency in how the definition of a spin-off is applied in various institutions. The philosophy of how an academic institution commercializes its technologies influences spin-offs and economic impact; as does the environment for nurturing spin-offs, i.e. institutional policies, tax regimes, culture, support facilities (such as incubators), available expertise, technology and support services, etc.

For example, the following situations could be considered to be a “spin-off” or an activity, which generates positive economic impact:

- Putting into the public domain or “giving away” the results of research for the public good
- Licensing intellectual property to an existing firm, for incorporation into an existing or new product line
- Formation of a “new” company specifically to commercialize institution-based technology – especially if the technology is nearly ready for application – the academic institution may or may not take an equity position
- Research facilities which are privatized
- Strategic alliances and consortiums which work together for a common goal
- Faculty member-based technology which is not deemed commercializable by the institution, around which the faculty member then builds a company
- A faculty member or institutionally-based service which eventually evolves to the private sector
- Providing relief time to a faculty member to allow them to pursue an entrepreneurial interest based on their research
- Providing consulting services, especially in technical areas to solve specific problems
- Seconding a faculty member to a company with the express purpose of working with company personnel to develop a new product or process based upon the knowledge and experience of the faculty member
- Students pursuing opportunities growing out of a professor’s research and/or their personal interests
- Providing a mixture of highly qualified personnel and advice to a fledgling company;
- Hiring a new graduate (especially at the MSc. or PhD level) in order to access their knowledge and research experience
- Supplying graduates to an industry which depends, indirectly, on the expertise in a certain area
- Founding a new company based on an opportunity identified while an undergraduate or graduate student

Appendix C

Technology Transfer and Commercialization Reference

To provide context to those individuals who are not familiar with the aspects of what can go on within a full-service Technology Transfer and Commercialization Office (TTO), these activities can include:

Administration: primary contact for industry, academic institutions, government granting agencies, grants, contracts, and intellectual property management, as well as “measurement” of activities, performance and impact ;

Inventory: create and maintain database of the capabilities, expertise and specialized facilities;

Outreach and Partnership: design and operation of a newsletter, seminars and workshops, and membership-driven partnership programs;

Business Development: it will be necessary to create and sustain a strong network to the community (internal and external) as well as clientele, this will entail participation in events and activities such as trade shows, industry associations, trade missions etc. as well as regular contact and interaction;

External Relations: especially government and industry, to ensure they are aware of the organization’s interest and capabilities in research – coordinated with any existing institutional activities;

Strategic Alliances and Partnership: to support activities and growth;

Business support: development of enterprise-related plans to not only obtain resources, but to support clientele;

Assessment: in support of licensing and new venture creation it will be necessary to facilitate or carry out studies concerning a specific technology, market, or opportunity; and

Technology Transfer and Commercialization: activities related to extension, licensing, and spin-off/start-ups as a means to apply the results of research to support economic development and provide economic benefit to all.

The following table identifies several elements, and is followed by a **generic** overview of what should be considered, with significant background information on intellectual property management, technology transfer and commercialization, and the new venture creation process.

FULL-SERVICE TECHNOLOGY TRANSFER AND COMMERCIALIZATION OFFICE

Innovation and Partnership

INNOVATION DEVELOPMENT

- Technology Networks
- Inventory Capabilities and Expertise
- Student/Trainee Projects

PARTNERSHIP PROGRAMS

- Industry Access Program
- Researcher Technology Transfer Network
- Industrial Research Partnerships

COMMUNICATIONS

- Publications (including electronic)
- Special Events
- Surveys and Special Reports
- Coordination

SPONSORED RESEARCH

- Grants and Contracts
- Partnership Programs

INTELLECTUAL PROPERTY

- Innovation Disclosures
- Non-Disclosure Agreements
- IP Protection (preliminary)
- Licensing

BUSINESS DEVELOPMENT

- Research and Innovation “Mining”
- Technology and Market Assessment
- Opportunity Identification

New Venture Creation

TECHNOLOGY ENHANCEMENT

- Due Diligence
- Technology Building
- Prototype and Experimental Development
- Technology Enhancements
- Technology Partnerships

CAPITAL POOL DEVELOPMENT

- Seed and Investment Fund Development
- Technology Demonstration/Enhancement
- Spin-off and Start-up Support

SPIN-OFF COMPANY CREATION

- Technology, Market, and Business Planning
- Financing and Management Assistance
- Company Formation and Board Assistance
- Holding Company

INCUBATION AND/OR TECHNOLOGY PARK

- Program and Service Development
- Management and Coordination

JOINT VENTURES/STRATEGIC ALLIANCES

CONSULTING AND CONTRACT SERVICES

SPECIAL PURPOSED FUNDING VEHICLES

POLICY REVIEW/DEVELOPMENT

Innovation and Partnership

INNOVATION DEVELOPMENT entails building internal resources and capacity to respond to industry needs – especially those of SMEs.

Technology Networks can serve as an effective means to network with Canada's research and technology transfer infrastructure service organizations.

One of the first orders of business should be the development an *Inventory of Capabilities and Expertise*, which should capture key data about the unique and specialized academic resources of the organization – especially the researchers. Captured data should include industry experience, areas of interest and experience, technology which may have commercial potential, etc. Ideally, most of this information could be extracted from a CV, supplemented by information from a web-based survey and personal interviews. To remain useful, the Inventory will need to be updated regularly.

It would be prudent to take advantage of the excellence of students and trainees by helping to match industry need with courses or activities which have a project (individual or team) component. *Student/Trainee Projects* not only give the students a “real-life” experience, they provide a sponsor with exposure to the organization at a non-threatening level, potentially solve a problem for industry, and help connect the academic organization with the community.

PARTNERSHIP PROGRAMS should be flexible and responsive to the needs of the institution, as well as the community. They will serve to not only garner financial and morale support. If well executed, they will also cause the Community to recognize that the institution is a “player” in the research community.

A membership-based *Industry Access Program* can provide a platform for showcasing the institution to the industrial community. Industry participation can be gained through joining and by creating committees to assist in program development. Programming will only be limited by the imagination of the staff and participants.

A *Researcher Technology Transfer Network*, at least on an informal basis, is needed to help ensure that the TTO is aware of what is going on in the research units, to help deliver targeted activities, and to be aware of opportunities which may otherwise be missed.

Industrial Research Partnerships can take advantage of targeted government programs to support economic development in industry – whether through the provision of Highly Qualified Personnel, services (especially in research), or access to facilities.

COMMUNICATIONS are an essential element to not only having an impact, but to making both users and supporters aware of the institution's interest in research, the role of the office, and the benefits of working with the institution. A variety of mechanisms can be utilized to support the communications function.

Publications are a simple way to put useful information into the hands of, or in front of, anyone interested in the institution's research activities. The key is to make this information available regularly, to the point, and in a cost-effective manner. Also, newsletters and/or regular communiqués should be supplemented by a current website and publications of directories and other useful compilations of information.

Social Media has become a critical tool for any organization to consider when attempting to reach its targeted audiences with key messages. Tools like Facebook, twitter, LinkedIn, and video sharing sites such as YouTube, provide for new opportunities to engage audiences.

Special Events will serve to provide opportunities to interact with targeted audiences. At a minimum, a quarterly breakfast series with executive-level presenters should be held to promote networking, and be supplemented by open houses, workshops and seminars.

Surveys and Special Reports will help to assess the impact of the office, and to provide sector-specific information to the community. This element would also include regular briefings to government and institution's partners and strategic allies.

Coordination will be greatly facilitated by a Researcher Technology Transfer Network which will keep in touch with research performers. It will also be essential to keep Staff and the Board informed, and to coordinate with other units to ensure that the same industry will not be repeatedly approached by the institution for financial support for the same or similar activities.

SPONSORED RESEARCH activities and administration will be a major focal point. The office can serve as the primary contact point for the national granting agencies and the central repository for all institution-related research activity. The office will also have to track measures and indicators of performance.

Grants and Contracts can form the bulk of the administrative activity of a research and TTO. Rules and deadlines of the project sponsors have to be applied and enforced, as well as the institution's policies and procedures.

Partnership Programs, especially those operated by the granting councils and government agencies, will have to be coordinated and managed.

INTELLECTUAL PROPERTY management is a very complex area, in which the "devil is in the details". The whole business is based on having agreements in place with researchers, licensees, and business partners. Close attention to deadlines is required to ensure patent and other intellectual property rights are not lost. There will be a significant amount of interaction with the legal profession.

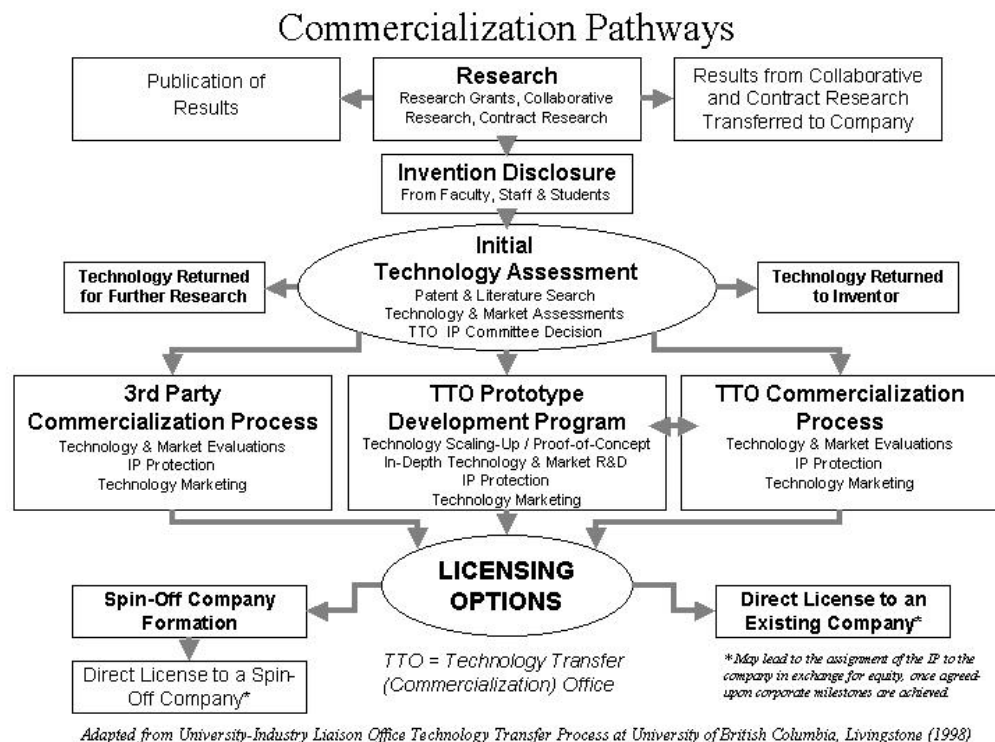
Innovation Disclosures by researchers are a key factor in becoming aware of what innovations have been made. A system will need to be designed to encourage disclosure (in the event the institution decides to make disclosure voluntary) and, more importantly, to ensure that the office has sufficient resources to follow up on disclosures.

Non-Disclosure Agreements will be required at most stages of the process when the external community (potential licensees, investors, etc.) needs to be consulted or when negotiations are underway.

A variety of strategies exist concerning *IP Protection* – especially at early stages (*preliminary*). It is very important to file as soon as possible. Most institutional TTOs file provisional US patents (at a very reasonable cost) to establish a filing date while more detailed due diligence is underway. The office will also need the ability to react very quickly in cases where the faculty member has already, or is about to publicly disclose the innovation. Public disclosures usually made by publishing.

Licensing is the most widespread mechanism to move academic innovations to commercial practice. Unfortunately, in some sectors, Manitoba's receptor capacity is limited, so most institutions license outside the province. It is still possible, however, to negotiate licenses which have local economic impact beyond royalties to the licensor.

As illustrated, there are numerous stages in the commercialization process in which the TTO would be involved. The foundation for this activity is usually the intellectual property management policy or practice. A successful IP policy will stimulate the innovation process and should be supported by strong organizational policies or guidelines governing conflict-of-interest and conflict-of-commitment – particularly in spin-off company situations.



Some Canadian academic institutions do not have a claim on intellectual property created by their researchers. This strategy is seen to promote innovation by eliminating organizational involvement in IP negotiations between inventors and prospective commercial partners. The positive aspect of this IP policy is that TTOs must operate on a business-like basis in order to attract inventors to work with them. This “client-orientation” is a powerful tool, ensuring the TTOs are properly staffed and effective in order to respond to client needs. Ineffectual offices would have no business. On the other hand, strong organizational support is essential to the invention/discovery process and it is unfair that the organization not have a share when the commercial fruits of such a discovery are realized.

Commercialization of research and technology obviously requires specialized legal expertise to deal with such matters as patent, copyright, trademarks and industrial design. Even when “trade secrets” are the basis for commercialization, legal advice is still required. This activity is not as straightforward as it may appear, and also needs to reflect the intellectual management strategy of the proponent or inventor. Furthermore, each specific technology sector has its own particular legal approach and issues. In the health technology sector especially, intellectual property

personnel are specialists – not generalists. The role of a legal practitioner (either a patent agent or lawyer) in intellectual property protection includes:

- clarifying and ascertaining ownership rights – especially when public organizations (and their collective agreements) are involved;
- filing for patent protection (various stages); and
- filing, prosecuting, and maintaining the patent.

Due to the highly specialized nature of intellectual property protection, it will likely be necessary to retain experienced legal counsel, including access to patent agents, to effectively protect intellectual property.

BUSINESS DEVELOPMENT will have to be a focus area in order to develop a relationship with the public sector, especially the decision makers and facilitators, as well as the private sector. This will take time, patience, resources, and a good network.

Research and Innovation “Mining” entails having the office working with the researchers to unearth the results of research and any synergistic innovation which may occur, in order to identify technologies with commercial potential.

Technology and Market Assessment is important to the due diligence process. Potential licensees and investors want to know the technology has a solid base and its market potential.

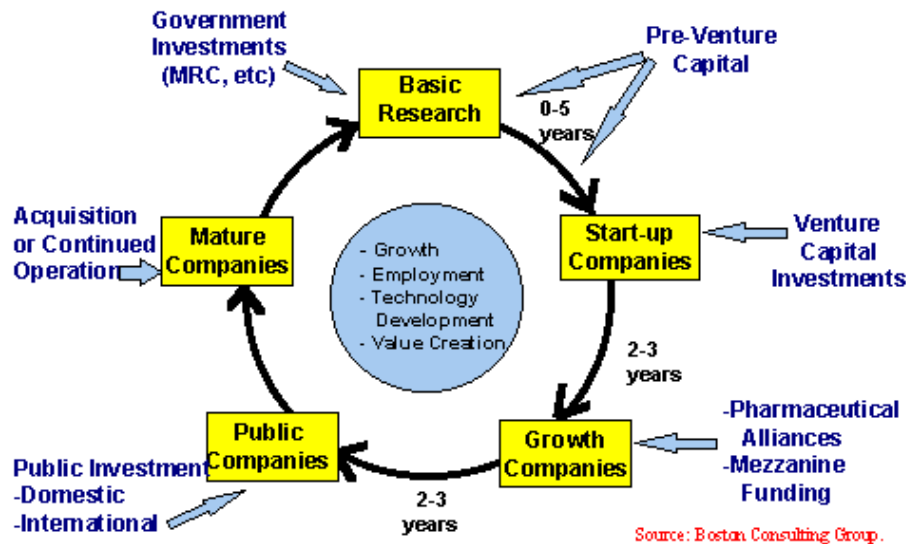
Opportunity Identification is the matching of the technology opportunity with market opportunity to build the case for a good business opportunity. Good opportunities may not be obvious, and will take time to identify and/or develop.

Research/Innovation Receptor Growth will be enhanced through the activities of the Organization to work with the community, the advocacy to encourage government support, and the growing shift to a knowledge-based economy.

New Venture Creation

To maximize the economic development benefits of research investment, a full suite of New Venture Creation support activities and programs need to be available. These programs, whether contained within the organization or obtained through strategic partnerships and alliances, all play a role and will need effective coordination.

RESEARCH INVESTMENTS CREATE A VIRTUOUS CYCLE OF GROWTH AND DEVELOPMENT OPPORTUNITIES



The chart illustrates the cycle associated with building value in a new product, and will help to relate potential organizational functions to the new venture creation process. Some of these functions can be performed by the organization regardless of whether or not the institution aggressively pursues new venture creation.

TECHNOLOGY ENHANCEMENT programs are a natural progression for the activities of the organization, especially if platform technologies are being sought, and licensing is the initial focus for commercialization.

Potential licensees and investors need to see some evidence of *due diligence* to address issues such as ownership, market, technical viability, etc. Some of these activities could be provided by researchers or university students (e.g. detailed market research).

Technology Bundling will serve to combine technologies with potential, primarily through licensing or outright sale, with technologies from other organizations. This will help to improve the possibility that the community will see some benefits from the results of academic research.

Prototype and Experimental Development will be used to move ideas or interesting possibilities for new products and processes beyond the idea stage to the proof-of-concept or experimental model. This activity will add value and increase the opportunities for commercialization.

Technology Enhancements and Research Development can be undertaken by accessing programs which could provide financial support, such as NRC-IRAP or SBIR in the US, to move technologies closer to market through additional development activities. When the institution is working closely with industry, there will be projects which would benefit from IRAP resources.

CAPITAL POOL DEVELOPMENT will require the institution to build its networks in the capital marketplace. These markets can provide funds to improve ideas and create new ventures.

Seed and Investment Fund Development could initially take the form of access to existing pools of early stage investments.

Either in-house or external pools of capital could be sought to support *Technology Demonstration/Enhancement* activities. This capital could come from external funds, royalty revenue reinvestment, or by targeting government programs. **Note: a for-profit venture corporate vehicle may need to be created to be eligible by some government programs.**

More traditional venture capital funds could be pursued for *Spin-off and Start-up Support*. However, spin-off and start-up companies will also need management, mentoring, and business support services. Potentially, they will also need a place to develop and grow.

INCUBATION services should be considered to enhance the opportunities to create and grow new ventures. Whether these services are provided on a “virtual” basis, or concentrated in one physical location, they are an essential factor.

Program and Service Development serve to provide the physical infrastructure and office supports fledgling companies need. Whether it is a 100 ft² Internet-ready office, equipped with ergonomic furniture and access to the institution’s infrastructure; flexible office space for laboratory operations with shared office services; to a development environment which allows the construction of purpose-built offices or buildings – all companies need space and infrastructure support at a reasonable cost. The institution can play a role providing and/or coordinating the delivery of these services – likely in strategic partnership with others.

In either case, the institution will need to perform or facilitate the needed *Management and Coordination* to avoid duplication of effort, building the partnerships, solving problems, and identifying and addressing future needs.


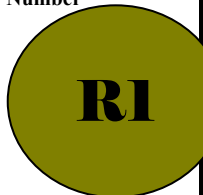
JOINT VENTURES/STRATEGIC ALLIANCES will be an essential element to the organization’s creation, growth and sustainability. Industry-focussed government departments will be the primary targets to support program delivery. While some industry partnerships may be developed on a program level, most will be developed around specific projects. Organizational partnerships should be explored with post-secondary and government institutions which provide technology transfer and industry liaison services – especially if their services are complementary.

CONSULTING AND CONTRACT SERVICES are a function which would logically be carried out under the umbrella of the organization or at arm’s length. This would help to ensure institutional policies and procedures are followed, sufficient resources are allocated, and potential opportunities are not missed or undervalued.

SPECIAL-PURPOSE FUNDING VEHICLES could be used to improve access to targeted funding – such as NRC-IRAP or PEMD, to limit risk when creating spin-off or start-up companies, to encompass special initiatives, or to create an arms-length relationship with the organization, when appropriate.

POLICY REVIEW/DEVELOPMENT will be on-going to ensure the infrastructure and environment to support research and commercialization activities is appropriate and responsive.

Appendix D

<div>RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY</div> <div>POLICIES & PROCEDURES</div>	# Pages 22	Number <div>R1</div>
	Originator: Director, Research & Planning	
	Approved by: President’s Council	
TITLE:	Effective Date	Replaces
Research Involving Human Subjects	November 16, 2004 (revised September 16, 2008)	May 18, 2004

PURPOSE

This document contains RRC's policy and procedures for the review of ethical considerations arising from research involving human subjects.

There is a professional responsibility of researchers to adhere to the ethical norms and codes of conduct appropriate to their respective disciplines. When researchers are engaged in research supported by or conducted at RRC, the College may, in some circumstances, be liable for research conducted by these researchers. Furthermore, most funding agencies require ethics review of research proposals which involve the use of human subjects. For these reasons, policy and procedures are required to ensure that appropriate safeguards are provided. This policy will enable RRC to ensure that research conducted on human subjects meets the standards of the major granting agencies and regulatory bodies.

Norms for the ethics of research involving human subjects are developed and refined within an ever-evolving societal context, elements of which include the need for research and the research community, moral imperatives and ethical principles, and the law. All research at RRC must demonstrate that appropriate methods will be used to protect the rights and interests of the subjects in the conduct of research.

Research involving human subjects is premised on a fundamental commitment to advancing human welfare, knowledge and understanding, and to examining cultural dynamics. Researchers undertake or fund research involving human subjects for many reasons. An ethic of research involving human subjects should address two essential components:

- the selection and achievement of acceptable ends, and
- the acceptable means to those ends.

The first component is directed at defining acceptable ends in terms of the benefits of research for subjects, for associated groups, and for the advancement of knowledge. The second component is directed at ethically appropriate means of conducting research.

RRC endorses the principles set out in the Tri-Council Policy Statement "Ethical Conduct for Research Involving Humans" and this document describes how RRC will apply the Tri-Council policy. RRC uses the Tri-Council Policy Statement (TCPS), (<http://www.pre.ethics.gc.ca/english/policystatement/policystatement.cfm>), as the reference and educational resource in developing and implementing this Policy. These principles and guidelines have been widely adopted by diverse research disciplines. As such, they express common standards, values and aspirations of the research community: respect for human dignity, respect for free and informed consent, respect for vulnerable persons, respect for privacy and confidentiality, respect for justice and inclusiveness, balancing harms and benefits, minimizing harm, and maximizing benefit. Accordingly, this policy is intended to ensure that the highest ethical standards in the conduct of research involving human participants are maintained at RRC in compliance with the TCPS.

The law affects and regulates the standards and conduct of research involving human subjects in a variety of ways, such as privacy, confidentiality, intellectual property, competence, and in many other areas. Human rights legislation prohibits discrimination on a variety of grounds. In addition, most documents on research ethics prohibit discrimination and recognize equal treatment as fundamental. Research should also respect the spirit of the Canadian Charter of Rights and

Freedoms, particularly the sections dealing with life, liberty and the security of the person as well as those involving equality and discrimination.

DEFINITIONS

- **Research** is a systematic investigation to establish facts, principles or generalizable knowledge.
- **Human research** refers to any project that involves the collection of specimens, data or information from persons, through intervention or otherwise. Included are procedures that have a low degree of invasiveness (e.g. surveys, interviews, naturalistic observations, exercise or psychometric testing, examination of patient records), as well as more invasive procedures (e.g. blood sampling, administration of a substance).
- A **subject** in human research is a person, who by virtue of his/her involvement in a data-gathering situation or activity, is a source of primary data or information.
- A **research ethics protocol** is a document submitted by the applicant for consideration by the REB. This document contains a detailed description of the rationale/purpose of the study, procedures to be followed in soliciting participants for the research, obtaining their informed consent when possible, collecting their information or data, protecting their privacy or anonymity, and providing feedback regarding the study at its conclusion.
- **Minimal risk** means that the risks of harm anticipated in the proposed research are not greater or more likely, considering probability and magnitude, than those ordinarily encountered in life, including those encountered during the performance of routine physical or psychological examinations or tests.

POLICY

All research projects involving human subjects undertaken by members of or conducted at RRC - including all faculty, staff and students, including students carrying out research as part of class assignments - shall fall within the jurisdiction of a committee called the **RRC Research Ethics Review Board (REB)**, irrespective of the source of financial support (if any) and irrespective of the location of the project, in the latter case, so long as the investigator represents the work as RRC research. Projects conducted by researchers from outside the RRC community who access College resources (either equipment or personnel), will also fall within the jurisdiction of the RRC REB.

The RRC REB shall apply the principles set out in the TCPS "Ethical Conduct for Research Involving Humans" according to the procedures described in this RRC document. These procedures may be varied to accommodate future approved amendments to the Tri-Council Policy.

1. Requirement for Ethics Review

Except as provided for in policy section 2, all research projects involving human subjects conducted at, or under the auspices of, Red River College require prior ethics review and approval by the Research Ethics Board (REB). This requirement of prior ethics review and approval applies to:

- 1.1. All research involving human subjects conducted by the College's academic staff, administrative and support staff, or students, persons with adjunct appointments, visiting instructors, visiting professional associates, and research associates.
- 1.2. All research carried out on College premises or using College facilities, equipment or human, financial or material resources;
- 1.3. Research conducted elsewhere under the auspices of the College;
- 1.4. The research activities of formally affiliated organizations as a condition of affiliation; and
- 1.5. The research activities of organizations or individuals whether formally affiliated or not, while on College premises or using College facilities, equipment or resources, including off-campus sites. When research takes place in a foreign country, the researcher must also assure that his/her procedures meet all legal requirements of that country, as well as the requirements of this policy.
- 1.6. All types of research conducted with human subjects. Specifically, prior ethics review and approval is required when research data are derived from, but not exclusively restricted to:
 - Information collected through intervention or interaction with a living individual(s);
 - Identifiable private information about individuals;
 - Information collected through naturalistic observation of humans, except as stipulated below in item 2.3.
 - Human organs, remains, tissues and body fluids, cadavers, embryos or fetuses; and/or

- Written or recorded information derived from individually identifiable human subjects.

1.7. In addition, ethics review is required for the following categories of research that may be overlooked or raise questions about the necessity for such a review:

- Pilot studies and feasibility studies, even those involving only one human subject, require the same scrutiny as full-scale research projects involving many subjects.
- Projects that involve the secondary use of data on human subjects gathered in earlier projects.
- Research conducted by administrative and academic units that involves the collection of survey replies or the use of records as correlates of survey replies from human subjects, e.g. students, staff and/or faculty members.
- Research projects in which the researcher is a consultant unless the researcher has a strict consulting relationship in which all of the following are true: (a) the researcher is hired on his or her own time; (b) the researcher holds no rights in the work; and (c) neither the researcher nor the College retains any data. If any one of these three criteria is not met, prior ethics review and approval is required.
- All independent student research projects conducted in partial fulfillment of certificate/diploma/degree requirements. Research projects conducted as part of formal course requirements may, in certain instances require REB review and approval. It is incumbent on the instructor to check the applicability of this requirement with the REB Chair.

2. Research Excluded; i.e., Not Subject to REB Review

Prior ethics review and approval from an REB will not normally be required for:

- 2.1. A limited type of research most often found within the humanities, fine arts, and in some historical research which involves: (a) a public database where aggregated data that cannot be associated with any individual are obtained; and/or (b) information already in the public domain (e.g. autobiographies, biographies or public archives). Nevertheless, it is the responsibility of the researcher to ascertain that any information used from these sources is presented in an accurate fashion.
- 2.2. Archival analysis of records by College departments normally engaged in the collection, maintenance, and analysis of such records. Nevertheless, it is incumbent on such units to ensure that the anonymity of individuals and confidentiality of their records are maintained.
- 2.3. Naturalistic observation of participants in, for example, political rallies, demonstrations or public meetings where it can be expected that participants are seeking public visibility.
- 2.4. Class research projects which involve human subjects and which are conducted by students on other members of the class as exercises to learn how to conduct research.
- 2.5. Evaluations of courses or training programs that are designed to provide feedback.
- 2.6. Preliminary, informal interviews or casual conversations that are carried out to help clarify the design of a research project.
 - Information gathering procedures in support of the general administration of the College¹, where the primary purpose(s) are:
To diagnose problems, identify appropriate solutions, provide advice for operation management, or assess performance.
 - To collect data primarily designed to affect the operations of the College through affirming satisfaction with the status quo or leading to quality improvements.
- 2.7. Information gathering procedures to collect institutional level data for administrative purposes.

¹ Most administrative information gathering procedures and practices are not conducted in the context of research or embedded in a research framework. Rather they are conducted for purpose of assessing choices, ascertaining satisfaction of clients, identifying service enhancements or for similar quality objectives. All such projects must also be done in accordance with the highest research ethical practices. However, in those cases where information gathering through such vehicles as surveys or interviews conducted by administration have a clear research direction, are on sensitive topics, are collected from vulnerable populations or where there may be an issue with the confidentiality of individual responses, REB review would be required.

- 2.8. Research undertaken as a teaching exercise and entailing minimal risk shall be reviewed by school or department level committee on behalf of the REB as per section 8.6 of this policy.

3. Uncertainty About the Need for REB Review

For research/scholarly work where the researcher is uncertain whether REB review is required, it is the responsibility of the researcher to obtain the written opinion of the Chair of the REB as to whether the research should be subjected to prior ethics review and approval.

4. Academic Freedom

All REBs and all persons involved in the ethics review process shall act in such a manner as to ensure that there is no infringement of the academic freedom of researchers.

5. Compliance

The College requires all faculty members, staff and students, as well as external researchers conducting research at the College to adhere to this policy and the procedures that are derived from it. The College considers the improper treatment of human subjects in research to be a serious offence, subject to severe penalties, including but not limited to the withdrawal of privileges to conduct research involving human subjects or disciplinary action.

6. Responsibilities of Researchers

Whenever research involving human subjects is to be performed under the auspices of Red River College or by any College researcher, the researcher is responsible for meeting the following requirements:

- 6.1. Ensuring that the research being conducted is scientifically valid and/or appropriate in a scholarly sense, and that the benefits to knowledge that will result from the research warrant the investment of time, effort and risks to be incurred by the number of human subjects for which the research is planned. Scientifically invalid research or research that is more intrusive or requires more subjects to experience the research procedures than those warranted by the research design is unethical. The researcher shall carefully monitor and assure the validity of the research submitted to the REB.
- 6.2. Reading and becoming thoroughly familiar with applicable ethical guidelines.
- 6.3. Determining if their proposed research requires ethics review. If there is any uncertainty about whether the research requires ethics review and approval, the researcher shall consult the Chair of the REB for advice and decision.
- 6.4. Notifying the REB of the proposed research by submitting a completed Human Subject Research Ethics Protocol accompanied by any supplementary materials necessary for full ethics review, and providing any additional information requested by the REB in a timely fashion.
- 6.5. Not involving human subjects in the proposed research until the REB has informed him/her of approval in writing for the use of human subjects in the research.
- 6.6. Abiding by all decisions of the REB, including following all modifications required for REB approval and not undertaking the research if it has not been approved.
- 6.7. Obtaining free and informed consent from all subjects as outlined in section 7 of this policy.
- 6.8. Maintaining the confidentiality of data obtained from subjects in the manner required by the REB and relevant organizations.
- 6.9. Promptly reporting to the Chair of the REB any injuries to human subjects, any unanticipated problems which involve risks or unusual costs to the subjects, or other adverse events resulting from the research. Initial reports may be verbal; subsequent reports shall be in the manner required by the REB.
- 6.10. Promptly reporting to the Chair of the REB any proposed changes in the research which would result in a significantly different involvement of human subjects and obtaining the approval of the REB prior to the changes being made, except where necessary to eliminate apparent and immediate hazards to subjects.
- 6.11. Promptly reporting to the Chair of the REB any proposed involvement of human subjects in research which previously had no plans, or only indefinite plans, for subject involvement and obtaining the approval of the REB prior to the involvement of any subjects.

- 6.12. Promptly reporting to the Chair of the REB any serious or continuing non-compliance with the requirements of this policy or of the procedures stipulated by an REB by any individual associated with the research.

7. Free and Informed Consent of Subjects

- 7.1. The researcher is responsible for obtaining free and informed consent from all prospective subjects, or authorized third parties, prior to commencing research activities. Free and informed consent must be maintained throughout participation in the research. Free and informed consent must be given voluntarily, without manipulation, undue influence or coercion.
- 7.2. Evidence of free and informed consent in the form of a signed document by the subject or authorized third party should be obtained in writing and stored in a secure repository.
- 7.3. The REB may approve a consent procedure that differs from that outlined in 7.1 and 7.2 if the REB finds that:
- The research involves no more than minimal risk to the subjects;
 - The alteration or waiver of the consent procedure is unlikely to adversely affect the rights and welfare of the subjects;
 - The research could not practicably be carried out without the alteration or waiver of the consent procedure;
 - Whenever possible and appropriate, the subjects will be provided with additional pertinent information after participation; and
 - The alteration or waiver of consent does not involve a therapeutic intervention.
- 7.4. Participants in naturalistic observation studies normally do not give informed consent because they are unaware they are being observed. The REB can approve such projects as long as the research records protect the identities of the subjects, as well as their dignity. If the research environment is staged, however, special care must be taken to ensure the privacy, well being, safety, and dignity of the subjects
- 7.5. Researchers shall provide prospective subjects or authorized third parties with:
- Information that the individual is being invited to participate in a research project;
 - A statement of the research purpose, identity of the researcher, the expected duration and nature of participation and a description of the research procedures;
 - A description of the reasonably foreseeable harms and benefits that may arise from research participation, as well as the likely consequences of non-action, particularly in research related treatment;
 - An assurance that prospective subjects are free not to participate and have the right to withdraw at any time without prejudice to pre-existing entitlements; and
 - The possibility of commercialization of the research findings, and the presence of any apparent or actual or potential conflict of interest on the part of researchers, their institutions or sponsors.

7.6 Research Subjects Who are Not Legally Competent

- 7.6.1 Subject to applicable legal requirements, individuals who are not legally competent shall only be asked to become research subjects when:
- The research question can only be addressed using individuals within the identified group(s);
 - Free and informed consent will be sought from their authorized representative(s); and
 - The research does not expose them to more than minimal risks without the potential for direct benefits for them.
- 7.6.2 For research involving legally incompetent individuals, the REB shall ensure that, as a minimum, the following conditions are met:
- The researcher shall show how the free and informed consent will be sought from the authorized third party, and how the subjects best interests will be protected.
 - The authorized third party may not be the researcher or any other member of the research team. The continued free and informed consent of an appropriately authorized third party will be required to continue the participation of a legally incompetent subject in research, so long as the subject remains incompetent.

- When a subject who was entered into a research project through third-party authorization becomes competent during the project, his or her informed consent shall be sought as a condition of continuing participation.

7.6.3 When free and informed consent has been obtained from an authorized third party, and in those circumstances where the legally incompetent individual understands the nature and consequences of the research, the researcher shall seek to ascertain the wishes of the individual concerning participation. The potential subject's dissent will preclude his or her participation.

7.7 Research in Emergency Health Situations

7.7.1 Research involving emergency health situations shall be conducted only if it addresses the emergency needs of individuals involved, and then only in accordance with criteria established in advance of the research by the REB. The REB may allow research that involves health emergencies to be carried out without the free and informed consent of the subject or of his or her authorized third party if ALL of the following apply:

- A serious threat to the prospective subject requires immediate intervention; and
- Either no standard efficacious care exists or the research offers a real possibility of direct benefit to the subject in comparison with standard care; and
- Either the risk of harm is not greater than that involved in standard efficacious care, or it is not clearly justified by the direct benefits to the subject; and
- The prospective subject is unconscious or lacks capacity to understand risks, methods and purposes of the research; and
- Third-party authorization cannot be secured in sufficient time, despite diligent and documented efforts to do so; and
- No relevant prior directive by the subject is known to exist.

7.7.2 When a previously incapacitated subject regains capacity, or when an authorized third party is found, free and informed consent shall be sought promptly for continuation in the project and for subsequent examinations or tests related to the study.

8. RRC Research Ethics Board Terms of Reference

8.1 Responsibilities

The RRC Research Ethics Review Board is responsible to the President of RRC for:

- 8.1.1 Developing policies regarding ethical issues relating to the use of human participants in research and experimental teaching protocols;
- 8.1.2 Reviewing all protocols requiring the participation of human participants for ethical approval;
- 8.1.3 Reviewing annually all policies regarding ethical issues relating to the use of human participants in research projects to ensure that policies remain current;
- 8.1.4 Dealing with matters concerned with human-based research referred to the Board by the President of RRC;
- 8.1.5 Preparing an annual report for submission to the RRC President, as outlined in section 12 of this policy;
- 8.1.6 Participating in continuing education organized by RRC research administrators for the College community in matters relating to ethics and the use of human participants.

The policies and practices adopted by the REB will be consistent with the current approved Tri-Council Policy Statement, "Ethical Conduct for Research Involving Humans."

8.2 Composition of the Board

Standing Membership - Five (5) members: The normal term of office for REB members is three years, with no more than one-third being replaced each year; shorter or longer terms may be necessary from time to time. Members may not serve more than six consecutive years, but are eligible for re-appointment after an interval of

one year. These members, including the Chair, shall be appointed by the President accordance with the Tri-Council Policy Statement on Ethical Conduct for Research Involving Humans. The Board shall consist of both men and women, of whom:

- at least two members have expertise in the areas of research covered by the board;
- at least one member is knowledgeable in the area of ethics;
- in the case of biomedical research at least one member must be knowledgeable in the area of biomedical research law;
- at least one community member with no affiliation to the institution;
- at least one member whose primary area of interest is in a nonscientific area.

Substitute membership: As needed, substitute members may be appointed by the President in consultation with the Chair to serve as replacements for standing members when they are unable to attend. Such substitute members must not alter the membership structure and in all cases REB members must be competent to judge the acceptability of proposals and shall be knowledgeable of TCPS.

8.3 Quorum

The quorum shall consist of 50% of duly appointed members of the REB, but decisions are only adopted if the attending members possess the range of background and expertise stipulated in 8.2, above, and Article 1.3 of TCPS. Normally consensus will be sought; when required, decision will be by majority vote of the appointed members.

8.4 Ad Hoc Members

The REB may find it desirable, on occasion, to call on specialists to provide expert advice. In each case, the responsibility for appointing these ad hoc members will rest with the Chair. Such ad hoc members will not be voting members of the REB but may participate in the REB's deliberations.

8.5 Meetings

The REB members shall meet regularly at dates and times that are publicly announced in advance (preferably for the entire academic year) to discharge their responsibilities. Normally, the REB meets monthly, however this may not be required at certain times of year (July and August). Regularly scheduled REB meetings may be canceled if no protocols have been received by the submission deadlines.

9. Procedural Guidelines for the Review of a Research Proposal

9.1 Submission

While it is not necessary for the REB to review a research proposal before it is submitted to a funding agency, REB approval must be obtained before the work begins. Visiting researchers should contact the chair of the RRC Research Ethics Board well in advance of the anticipated start date of research. Submissions for review should be submitted to the REB using the appropriate forms and by following the instructions on that form.

Prospective

applicants may approach the REB chair or any REB member for assistance in selecting the appropriate forms for submission.

9.2 Scholarly Review

9.2.1 In case of research proposals that present more than minimal risk, the design of the project must be peer reviewed to assure that it is capable of addressing the question(s) being asked in the research. Sufficient peer review may be considered to be any one of the following:

- Successful approval by the REB (if research is in the REB's field of expertise).
- Successful funding of grant proposal by a funding agency.
- Ad hoc independent external review reporting directly to the REB.

- 9.2.2 The extent of the review required for biomedical research that does not involve more than minimal risk will vary according to the research being carried out.
- 9.2.3 Research in the humanities and the social sciences, which poses, at most, minimal risk shall not normally be required by the REB to be peer reviewed.
- 9.2.4 Certain types of research, particularly in the social sciences and the humanities, may legitimately have a negative effect on public figures in politics, business, labour, the arts or other walks of life, or on organizations. Such research should not be blocked through the use of harms/benefits analysis or because of the potentially negative nature of the findings. The safeguard for those in the public arena is through public debate and discourse and, in extremis, through action in the courts for libel.

9.3 Principle of Proportionate Review

The REB will use a proportionate approach based on the general principle that the more invasive the procedures involved in the research, the more diligent the assessment of the perceived risks inherent in the study procedures must be.

9.4 Normal Review Process

- 9.4.1 The REB shall normally meet face to face in order to review submitted research proposals. In case of controversial research proposals, the REB may meet face to face with researchers in order to consider the ethical solutions proposed by researchers for problems arising in their studies.
- 9.4.2 The REB shall accommodate reasonable requests from researchers to participate in discussions about their proposals, but not be present when the REB is making its decision.
- 9.4.3 Minutes will be kept for these meetings and inserted into the appropriate case files. Meeting minutes will document the decisions and dissents of the REB and the reasons for them.
- 9.4.4 The REB shall keep an "open file" in a secure location determined by the Chair of the REB, for researchers applying for ethical approval. The file shall be opened by the Chair when sufficient information has been submitted by the researcher to start the review process. The original application, descriptions of research and methodology, correspondence, relevant documents, ethical certificates, revised materials, and any comments from the public or other information relevant to the research project shall be kept in the file.
- 9.4.5 It is the responsibility of the researcher to address all the recommendations made by the REB and keep the file complete and up-to-date at all times. When the research project is finished, and the researcher(s) notifies the REB, these files shall be "closed" and kept for a period of at least five years by the REB as records demonstrating compliance with the TCPS. The files remain the property of RRC and cannot be removed from their secure location by the researchers. These files shall be subject to audit by authorized representatives of RRC (research administrators), members of Appeal Boards, and funding agencies. The REB file on applications for ethical review should contain the following documents:
 - Application form
 - Trial protocol and amendments
 - Written informed consent forms and any updates
 - Subject recruitment procedures (e.g. advertisements)
 - Investigator's brochure (if one exists)
 - Available safety information
 - Information about payments and compensation available to subjects
 - Investigator's current curriculum vitae and/or other document on qualifications
 - Any other documents that the REB may need to fulfill its responsibilities

All research receiving ethical approval, whether through the normal or expedited process, as well as that receiving departmental level review shall require a proper file showing compliance with the TCPS. Insufficient information in the file is grounds for refusing or delaying ethical approval.

9.5 Expedited Review

Expedited review does not require face-to-face meetings of the REB members. The researcher must choose to apply for expedited or full review and the REB Chair may reject any application for expedited review and refer it to the REB for full review. The Chair must report requests for expedited review and results of such reviews to other members of the REB at an appropriate time. Expedited review is review by two members the Chair may be one of these) rather than the full REB. It is available only in cases, which fulfill one of the following criteria:

- 9.5.1 Research which obviously involves no more than minimal risk (as defined in the TCPS: "if potential subjects can reasonably be expected to regard the probability and magnitude of possible harms implied by participation in the research to be no greater than those encountered by the subject in those aspects of his or her everyday life that relate to the research, then the research can be regarded as within the range of minimal risk"). Given the heterogeneous nature of subjects, a "reasonable person's" definition of "minimal risk" as is often employed in the courts concerning subjective harms will also be acceptable to the REB. The researcher is responsible for an acknowledgement of minimal risk to the REB.
- 9.5.2 Research projects which have already received approval by the RRC REB, have complied fully with any requirements, have an up to date file, and the applicant is simply renewing the ethical approval without significant changes to the ongoing research process.

9.6 Division/Departmental Level Review

This policy requires that all research involving human subjects must be submitted to the REB. If however a study is a teaching exercise (i.e., part of a diploma or undergraduate degree level course), and entailing no more than minimal risk, it must be reviewed by a divisional/departmental level committee on behalf of the REB and in compliance with the TCPS. The Departmental ethics committee must report results of such reviews to the REB at the end of the academic year.

Student research deemed to be beyond minimal risk must be reviewed by the REB.

Department level review should not be used to review research undertaken by a student as part of a Faculty member's research program.

9.7 Review of Multi-Centered Research

It is the responsibility of the researcher to ensure that Multi-Centered research is reviewed by all institutions where the research is undertaken. To facilitate the review of multi-centered research protocols, the REB may share documents and findings with REBs at other institutions. The REB may also review the documents and findings of REBs of other institutions as part of its ethics review process.

The RRC REB Chair may approve a submission where 1) the research proposal has already received approval from another university or college working under the Tri-Council Policy Statement, 2) the application form from the other institution is substantially similar to RRC's application, and 3) the submission is viewed as a minimal risk research proposal.

For multi-centered research involving an institution working under the Tri-Council Policy Statement, the researcher may submit two copies of the complete protocol with cover letter and application, proposal, research measures, and REB approval from the other institution.

In the case where an application does not meet these requirements, the applicant will be invited to submit a RRC REB application, which would then be reviewed by the Board in the usual manner.

9.8 Review of Research in Other Jurisdictions or Countries

Research performed in another jurisdiction or country shall undergo ethics review by the REB and, where such exists, the equivalent REB in the country or jurisdiction where the research is to be conducted.

9.9 Continuing Ethics Review

The REB'S approval of a research project covers only the procedures outlined by the applicant in his/her original application. Any changes in the procedures affecting interaction with human subjects should be reported to the REB. Significant changes will require the submission of a revised application for Ethics approval.

- 9.9.1 Ongoing research shall be subject to continuing ethics review. The Chair of the REB must be promptly notified of any substantial change to the research plan or research protocol. Researchers will be asked to include monitoring mechanisms by which the public participating in the research may contact the Chair of the REB. Problems or complaints will be taken seriously by the REB and researchers may be asked to modify their studies in view of such complaints.
- 9.9.2 All protocol approvals are for a maximum of one year, and may be renewed by submission of an annual report prior to the anniversary date of the original protocol approval. Such reports should clearly indicate the status of data collection and, if there will be changes to the protocol that was approved, specify in detail the nature of any changes that are required. If no substantial change has been made to the research plan or research protocol, the Chair of the REB may issue a one-year extension. If in the opinion of the REB Chair, the research plan or research protocol has been substantially changed, re-submission and review by the REB is required. Protocol submissions for data collection for a period less than one year lapse at the end of the time specified.
- 9.9.3 The researcher shall promptly notify the REB when the project concludes.

9.19 Conflict of Interest

If the REB is reviewing research in which a member of the REB has a personal interest in the research under review (e.g., as a researcher or as an entrepreneur), conflict of interest principles require that the member declare their interest and remain neutral or not be present while the REB is discussing or making its decision. In cases of disagreement over conflicts of interest, both the REB member in potential conflict and the researcher may present evidence and offer a rebuttal concerning the nature of the conflict of interest. The other members of the REB will make a final decision regarding the conflict and how to proceed.

10. Decisions of the REB

After review by a REB, the protocol submission may be:

- approved as submitted;
- approved with suggestions for minor changes;
- approved with conditions (that must be met before final approval is granted);
- deferred, pending receipt of additional information or major revisions;
- not approved.

- 10.1 The REB shall notify each researcher in writing of its decision regarding his/her proposed research activity. Normally the researcher will accept the proposed modification or offer a counter-proposal to the Chair of the REB. This exchange is concluded normally when an ethically acceptable form for the research is agreed upon. To facilitate the continuing processing of such research ethics protocols between meetings, the REB should specify conditions that should be met to enable the Chair to review and grant approval on behalf of the REB.

- 10.2 Researchers have the right to request, and REBs have an obligation to provide, reconsideration of decisions affecting a research project.
- 10.3 If the REB does not approve a research activity for ethical reasons, the notification shall include a statement of the reasons for its decision and the researcher shall be given an opportunity to respond in writing or in person. The Chair will make himself or herself available to the applicant on a reasonable basis to endeavor to develop a proposal that will meet the ethical standards required by the REB. The REB may, at its discretion, review and reconsider its decision to not approve the research activity.
- 10.4 In the case of ongoing research, the REB has the authority to terminate research that deviates from an approved research protocol and as a result no longer complies with the criteria set forth in these policies or the TCPS.

11. Appeal

Researchers must apply in writing to the President to appeal a negative REB decision. Appeals must be in writing and a copy of the appeal letter should also be sent to the REB Chair. RRC shall use a duly constituted Appeal Committee to review decisions of the REB. The appeal committee will be appointed by the President and consist of at least five members, none of whom is a member of the REB. Appeal committees shall have the same constitution as the REB. The appeal committee shall consist of both men and women, of whom:

- at least two members have expertise in the area of research covered by the appeal committee;
- at least one member is knowledgeable in the area of ethics;
- in the case of biomedical research at least one member must be knowledgeable in the area of biomedical research law;
- at least one community member with no affiliation to the institution;
- at least one member whose primary area of interest is in a nonscientific area.

Non-compliance with the substance of the TCPS is a reason for refusing to grant an appeal. Appeals may be granted only on procedural grounds or when there is a significant disagreement over an interpretation of the TCPS. The decision of the Appeal Committee shall be binding.

12. Reports of REB Committee Decisions

An annual activity report from the REB will be submitted to the President of RRC, President's Council and the Senior Academic Committee.

13. Adverse Events Reports

Normally it is anticipated that research will proceed with little or no special costs or harm to subjects, beyond those noted in the protocol. However, unanticipated negative reactions by subjects or other unexpected events may occur. Researchers are obliged to immediately report, in writing, any known serious adverse event to the REB.

14. Administration

14.1 Administrative Support

The work involved in the ethical review process should be distributed appropriately among faculty members, staff, researchers, and administrators. RRC will provide administrative support to the REB including:

- Distribution of forms and materials necessary for submission of research proposals to the REB
- Collection of submissions and distribution of submissions to REB members
- Keeping minutes of REB meetings
- Storing submissions and related materials in a secure location
- Supporting the REB in its educational activities
- Acting as the point of contact for the Tri-Council Advisory Group

- Other duties related to the support of the REB in carrying out its mandate.

Deans will provide significant support to the REB, with respect to:

- educational activities
- management of the system for reporting research
- ensuring that research projects requiring ethical review are submitted to the REB.
- advising their faculty members about the need to comply with the TCPS.

Individual departments are expected to support and train students so that their research projects are ethical and those that exceed minimal risk may be efficiently reviewed by the REB. Departments should screen student applications for ethical review prior to submission to the REB where such review is required. The REB may return applications to the department if they do not conform to the requirements of the TCPS.

14.2 College Support

RRC supports the administrative processes and educational activities required by the REB so that the College as a whole remains in compliance with TCPS.

14.3 Reporting of Non-Compliance

The REB role is limited to reporting cases of failure to comply with the provisions of the TCPS and RRC research policies to the President.

14.4 Interpretation

Questions of interpretation or application of this policy or its procedures shall be referred to the President, or designate, whose decision shall be final.

15. Forms

Ethical Guidelines and the required forms for submission to the REB will be made available from the secretary to the REB.

Related Policies:

- A9 - Intellectual Property and Copyright
- F9 - Conflict of Interest
- H2 - Integrity in Research and Scholarship

Under Development:

- Student Rights in the Conduct of Research
- Animal Care and Research
- Conflict of Commitment
- Conflict of Interest in Research



Research Ethics Board
Application Procedure

PURPOSE

This document outlines the review process for research requests to use Red River College staff, students and/or facilities for study and research purposes.

All such projects must follow ethical guidelines governing research involving human subjects as articulated in the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans² (<http://www.pre.ethics.gc.ca/english/policystatement/policystatement.cfm>) as well as RRC policy.

The College endorses the ethical principles set out in the Tri-Council Policy Statement. These ethical principles include:

- respect for human dignity
- respect for free and informed consent
- respect for vulnerable persons
- respect for privacy and confidentiality
- respect for justice and inclusiveness
- achievement of an appropriate balance between potential harms and benefits, and
- minimization of harm and maximization of benefit.

To facilitate the review process, applicants are advised to include all requested information in their applications. The Board may request additional information. If all information is provided, the Board should be able to make a decision promptly.

APPLICATION GUIDELINES

1. The Research Protocol Submission Form is to be completed in detail, attaching additional pages as required, by all applicants
2. All applications are to include six (6) copies of all materials.
3. It is the applicant's responsibility to ensure that all application materials are complete in order to facilitate the review of a submission. In no circumstance will an application be reviewed if the file is incomplete or not in the required format.
4. Prior to submitting an application, the researcher should complete the checklist at the end of the Protocol Submission Form.
5. All submissions should be submitted at least five (5) working days prior to a scheduled meeting of the Research Ethics Board (REB). The Board in September of each academic year prepares and distributes an annual meeting schedule.

REVIEW PROCESS

² This document was produced and is maintained and updated by NSERC, CIHR and SSHRC, the three major research granting agencies in Canada.

1. The Research Ethics Board will review all applications in accordance with ethical guidelines governing research involving human subjects as articulated in the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans as well as RRC policy. Reviews will be prompt and are intended to facilitate the conduct of research.
2. After review by the REB, the application may be:
 - Approved as submitted
 - Approved with suggestions for minor changes
 - Approved with conditions for changes
 - Deferred, pending receipt of additional information or major revisions
 - Not approved.
3. The REB shall notify each applicant in writing of its decision.
4. Negotiated revisions: Where the ethics review process requires changes, these will be negotiated by the researcher(s) and the Chair of the REB. Once agreement has been reached, the Chair shall issue a letter indicating ethics approval for the research.
5. Reconsideration: If there is no agreement between the REB and researcher on the changes recommended by the REB, a study does not pass ethics review. The researcher may request reconsideration by the REB of this decision. This request should be accompanied by a detailed explanation of the reasons why the suggested procedure is unacceptable, and preferably a suggestion of an alternative procedure. If requested, the REB will allow the researcher to make his/her case before the REB; however after presenting the case the researcher must leave to allow the REB to deliberate its decision *in camera*. The REB decision following reconsideration is final.
6. Appeals: Appeals may be made on procedural or substantive grounds. The researcher(s) may appeal a decision by submitting their appeal in writing to the President.

APPLICATION PROCEDURE

The completed application should be submitted to:

Research Ethics Board
Research and Planning Department
C509-2055 Notre Dame Ave.
Winnipeg, MB R3H 0J9
(Fax) 204.633.7470

Protocol # _____
(Assigned by REB Admin.)



Research Protocol Submission Form

Research Ethics Board

Request for Approval of Proposed Research Involving Staff / Students and/or facilities at Red River College.

Principal Researcher(s): _____

Position: _____

Affiliation: _____

Address: _____

Phone: _____

e-mail: _____

Research Project Title: _____

Project location: _____

Start date: _____

Planned period of research: _____

Expected date of termination: _____

Funding source (if any): _____

Signature of Principal Researcher: _____

Has this research project been reviewed by any Research Ethics Board or Research Approval Body?

Yes ____ No ____ (If yes, please attach copies of the decision).

If there is a sponsoring organization, please indicate the organization and a contact person:

Sponsoring organization _____

Contact person: _____

Address: _____ Phone _____ e-mail _____

Nature of sponsorship:

Please list names and affiliations of other persons involved in conducting the research.

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Name _____ Affiliation _____

Please use additional pages if there are more persons involved in conducting the research.

Basic Questions about the Project

These questions are designed to collect information about potential problems of an ethical nature that could arise with the proposed research project.

1. Will the subjects in your study be **UNAWARE** that they are subjects? ____ Yes ____ No
2. Will information about the subjects be obtained from sources other than the subjects themselves? ____ Yes ____ No
3. Are you or members of your research team in a position of power vis-à-vis the subjects? (e.g. teacher, supervisor). ____ Yes ____ No
If yes, clarify the position of power and how it will be addressed.
4. Is any inducement or coercion used to obtain the subject's participation? ____ Yes ____ No
5. Do subjects identify themselves by name directly, or by other means that allows you or anyone else to identify data with specific subjects? ____ Yes ____ No
If yes, indicate how confidentiality will be maintained.
What precautions are to be undertaken in storing data and in its eventual destruction/ disposition.
6. If subjects are identifiable by name, do you intend to recruit them for future studies? If yes, indicate why this is necessary and how you plan to recruit these subjects for future studies. ____ Yes ____ No
7. Could dissemination of findings compromise confidentiality? ____ Yes ____ No
8. Does the study involve physical or emotional stress, or the subject's expectation thereof, such as might result from conditions in the study design? ____ Yes ____ No
9. Is there any threat to the personal safety of subjects? ____ Yes ____ No
10. Does the study involve participants who are not legally or practically able to give their valid consent to participate e.g., children, or persons with mental health problems and/or cognitive impairment)? ____ Yes ____ No
If yes, indicate how informed consent will be obtained from subjects and those authorized to speak for subjects.
11. Is deception involved (i.e., will subjects be intentionally misled about the purpose of the study, their own performance, or other features of the study)? ____ Yes ____ No
12. Is there a possibility that in the course of data collection that you might discover information on sensitive matters related to abuse or violence against vulnerable persons? ____ Yes ____ No

Provide details pertaining to any of the questions above for which you responded "yes" on the following page. Attach additional pages, if necessary.

Details pertaining to preceding questions (Please indicate the question number).

In my judgment this project involves:

- ☐ minimal risk
☐ more than minimal risk

The definition of minimal risk is “. . . that the risks of harm anticipated in the proposed research are not greater nor more likely, considering probability and magnitude, than those ordinarily encountered in life, including those encountered during the performance of routine physical or psychological examinations or tests.”

Required Information about the Research Protocol

Each application for ethics approval should include the following information and be presented in the following order, using these headings:

1. **Summary of Project:** Attach a detailed but concise (**one typed page**) outline of the **purpose** and **methodology** of the study describing **precisely** the procedures in which subjects will be asked to participate.
2. **Research Instruments:** Attach copies of **all** materials (e.g., questionnaires, tests, interview schedules, etc.) to be given to subjects and/or third parties.
3. **Study Subjects:** Describe the number of subjects, and how they will be recruited for this study. Are there any special characteristics of the subjects that make them especially vulnerable or require extra measures?

4. **Free and Informed Consent:** (At Red River College it is required that there will be full disclosure to the subjects of the nature of the research, unless the research design requires that certain elements of the research not be provided to subjects and the REB is satisfied that no harm would accrue to the subjects). How will prospective subjects be contacted? What procedures will be in place to inform prospective subjects that they do not have to participate? When and how will the purpose and nature of the research, the anticipated benefits, inconveniences, risks to the subject, and the tasks to be performed by the subject be explained to the subjects? How will consent be obtained, and how may it be withdrawn? (Subjects must be advised that they may withdraw at any time.) Will the subjects be under any kind of pressure to consent? Is consent coerced, constrained, or unduly induced? If the subject is not competent or eligible to give consent, how will consent be obtained and from whom? Will consent **in writing** be obtained? If so, attach a copy of the consent form. If written consent is not to be obtained, indicate why not and the manner by which subjects' consent (verbally) or assent to participate in the study will be obtained. If confidential records will be consulted, indicate the nature of the records, and how subjects' consent is to be obtained.

5. **Deception:** Deception refers to the deliberate withholding of essential information or the provision of deliberately misleading information about the research or its purposes. If the research involves deception, the researcher must provide detailed information on the extent and nature of deception and why the research could not be conducted without it. This description must be sufficient to justify a waiver of informed consent.

6. **Feedback/Debriefing:** Describe the feedback that will be given to subjects about the research after they have completed their participation. How will the feedback be provided and by whom? If feedback will not be given, please explain why feedback is not planned. If deception is employed, debriefing is mandatory. Describe in detail the nature of the post-deception feedback, and when and how it will be given.

7. **Risks and Benefits:** Is any physical or psychological harm, or jeopardy to social position likely to result from participation in the project? If yes, describe the risks involved and what you will do to alleviate the harm. What are the counterbalancing benefits?
8. **Privacy and Confidentiality:** Describe the procedures for preserving privacy and confidentiality. If confidentiality is not an issue in this research, please explain why. Will confidential records be consulted? If yes, indicate what precautions will be taken to ensure subjects' confidentiality. How will the data be stored to ensure confidentiality? How will individual data be guarded against misuse by a third party? When will the data be destroyed?
9. **Compensation:** Will subjects be compensated for their participation? Compensation may reasonably provide subjects with assistance to defray the costs associated with study participation.

10. **Conflicts of interest:** Are there any actual, apparent or potential conflicts of interest? Provide all details.
11. **Additional areas of concern:** Please note that additional ethical issues may need to be addressed in the conduct of projects in some sensitive areas. Some examples of such areas are: a) research on cultures, countries, and ethnic groups different from one's own, b) research on captive and dependent populations, c) research on children; and d) projects on sensitive topics, such as subjects' sexuality, finance, employer-employee relationships, and other sensitive matters. If your research involves such sensitive areas, please elaborate on the research design, the protocols for confidentiality, and other the methods to manage the sensitivity.
12. **Use and reporting of results and findings.** (Any dissemination of results or findings that report directly and mention Red River College in any form must be approved by the College prior to any publication in any form or media.) How will the researchers / sponsors fulfill this condition? What will the primary use be of the results of the research? Who will own the data?

Attestation:

I agree to abide by the ethical guidelines and procedures of Red River College, of the *Tri-Council Policy Statement*, of my profession or discipline, as well as of any other institution in which the research is undertaken. I am aware of my responsibility to be familiar with these standards.

I further agree to **notify the ethics office** of any **change** in the **methodology** or **status** of the research project and to comply with requests made by the ethics office during the life of this research.

Signature of the Principal Researcher:

Date:


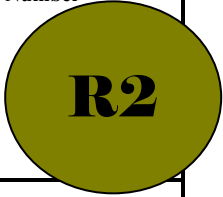
Review your submission according to this checklist:

	Checklist
	All contact information requested on the first and second page completed in legible format (typed or printed).
	Signatures of the principal researcher on the first and last page of the submission form.
	Answers to all the Basic Questions and details provided where necessary.
	One page summary of the research project.
	Detailed information requested in this Research Protocol Submission Form in legible format (typed or printed). Alternatively, this could be provided on separate sheets coded to the number and heading of each item.
	Six copies of The Research Protocol Submission Form and all additional sheets.
	Research instruments: 6 copies of all instruments and other supplementary material to be given to subjects.
	Copy of this checklist.

The completed application should be submitted to the Research Ethics Board, Research and Planning Department, C509-2055 Notre Dame Ave., Winnipeg, MB R3H 0J9, (fax) 204.633.7470, or e-mail to jgoho@rrc.mb.ca.

NOTE: Research proposals will be considered for review only when all relevant documents are included.

Appendix E

 RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY POLICIES & PROCEDURES	# Pages 7	Number 
	Originator: Director, Research & Planning Approved by: President's Council	
TITLE: Integrity in Research and Scholarship	Effective Date	Replaces
	November 16, 2004	New

PURPOSE

The purpose of this policy is to promote and advance a high standard of integrity in research and scholarship. The Red River College community has an important role to play in maintaining high standards of research integrity. Such integrity requires careful supervision of research, including that conducted by students; competent use of methods; adherence to ethical standards of discipline; and the refusal to engage in or to condone instances of fraud or misconduct.

BACKGROUND

This policy has been established to address any concerns about responsibility and accountability in research and scholarship. It outlines procedures for promoting integrity among researchers and scholars and for investigating allegations of misconduct in research and scholarship as directed by Tri-Council (Canadian Institutes of Health Research Council ; Natural Sciences and Engineering Research Council of Canada, NSERC; and the Social Sciences and Humanities Research Council of Canada, SSHRC) .

SCOPE

This policy applies to any employee of RRC, any student enrolled in RRC and/or partaking in research, or anyone else engaged in research in the institution in any capacity whatsoever.

POLICY

RRC expects that its staff and students will carry out research and scholarly work maintaining the highest ethical and scientific standards of academic integrity. Academic dishonesty of any sort will not be condoned and may be cause for disciplinary action. The following definitions and guidelines are intended to provide direction in the establishment of practices for the maintenance of the integrity and quality of research.

In this document, the term "research" refers to both research and scholarship.

A. Definition of Research and Scholarship

All researchers are responsible for conducting their research in strict observance of ethical standards. Factors intrinsic to the process of academic research such as, honest error, conflicting data or differences in interpretation or assessment of data, or of experimental design do not constitute fraud or misconduct.

Research and scholarly activities include:

1. course writing and course design including creation of technological materials.
2. activities leading to the publication of books, monographs and contributions in edited books.
3. papers in refereed and non-refereed journals, and those delivered at professional meetings.
4. consulting and contracting work under the auspices of the College, and other professional activities involving research.
5. participation in panels.
6. unpublished research, including work in progress.
7. editorial and refereeing duties.
8. creative works and performances.
9. any other research or scholarly activities which the College considers and which are generally considered to be research or scholarly activities by the academic community.

B. Definition of Misconduct in Scholarly Research

Misconduct in scholarly research includes:

1. fabrication, falsification of research data.
2. plagiarism, theft of ideas or intellectual property, or appropriation of another's work.
3. failure to acknowledge or recognize the contribution of others, including:
 - a) co-researchers
 - b) students
 - c) research assistants
4. use of the unpublished works of others without permission.
5. use of material in violation of the Copyright Act.
6. abuse of supervisory power affecting collaborators, assistants, students and others associated with the research or any behaviour contrary to the Respectful College Policy.
7. financial misconduct: failure to account for or misapplication or misuse of funds acquired for support of research, including, but not limited to:
 - a) failure to comply with the terms and conditions of grants and contracts;
 - b) use of College resources, facilities and equipment without approval of RRC.
8. material failure to comply with relevant Federal or Provincial statutes or regulations or other agency and College policies for the protection of researchers, human participants, or the health and safety of the public, or for the welfare of laboratory animals. Failure to comply with Health Canada Laboratory Biosafety Guidelines.
9. material failure to meet other relevant legal requirements that relate to the conduct of research, or, for grant holders, material failure to comply with regulations of the relevant agency or agencies concerning the conduct of research.
10. failure to reveal any material conflict of interest, as defined in Section G, to sponsors or to those who commission work. Failure to reveal any material conflict of interest when asked to undertake reviews of grant applications or manuscripts for publication, or to test products for sale or distribution to the public.

C. Data Collection Gathering and Retention Standards

The retention of accurately recorded and retrievable results is of the utmost importance for the progress of scholarly inquiry. A researcher must have access to his/her original results in order to respond to questions regarding their research. Errors may be mistaken for misconduct when the primary experimental results are unavailable.

1. Primary data should normally remain in the department at all times and should be preserved as long as there is a reasonable need to refer to them. Results should be recorded accurately and be retrievable for five years following publication where the medium permits. Original primary research data should be recorded, when possible, in bound books with numbered pages or on appropriately protected electronic media. An index should be maintained to facilitate access to data. In no instance should primary data be destroyed while investigators, colleagues or readers of published results may raise questions answerable only by reference to the data except in the case where there is a bona fide requirement for confidentiality.
2. Entitlement to ownership, reproduction and publication of primary data, software and other products of research will vary according to the circumstances under which research is conducted. A common understanding of ownership should be reached among collaborators, supervisors, students and the College before the research is undertaken. Nothing in this document on the matter of patents and copyrights supersedes the terms and conditions of the College Intellectual Property and Copyright Policy.
3. Issues of confidentiality will arise in some disciplines and areas of research and these must be appropriately addressed by the department or research unit involved. The Tri-Council document on the Ethics of Research Involving Human Subjects provides guidelines for researchers in this area.
4. Subject to any limitations imposed by the terms of grants, contracts or other arrangements for the conduct of research, the principal investigator and all co-investigators must have free access to all original data and products of the research at all times. With the knowledge and authorization of the principal investigator, a member of the research team may make copies of the primary data for his/her own use.
5. When a principal investigator (either faculty member, staff or student) leaves the College, arrangements for the safekeeping of records, data and products of research must be made. In the case of students, the data stays in the College; in the case of a faculty member, they normally would take the data with them.

D. Authorship Standards

1. In order to ensure the publication of accurate scholarly reports, two requirements must be met:
 - a) the active participation of each author in verifying and taking responsibility of the part of the manuscript that they have contributed;
 - b) the designation of one author who is responsible for the validity of the entire manuscript.
2. The principal criterion for authorship should be that the author(s) has/have made a significant intellectual and practical contribution. The concept of "honorary authorship" is unacceptable.
3. Students must be given appropriate recognition for authorship or collection of data in any publication.

E. Responsibilities of Principal Investigators and Supervisors

1. To ensure that all research is conducted:
 - a) to the highest possible ethical standard;
 - b) with scholarly and academic integrity.
2. To provide their collaborators, students, staff and assistants with all reasonable information necessary to prevent misconduct as defined in this policy.

3. To monitor the work of students, research assistants, and others, and oversee the designing of research methodology and the processes of acquiring, recording, examining, interpreting and storing data. Simply editing the results of a research project does not constitute supervision.
4. Collegial discussions among all research personnel in a research unit should be held regularly to contribute to the scholarly efforts of group members and to provide informal review.
5. A faculty member listed as the principal investigator or co-investigator should be able to verify the authenticity of all data or other factual information generated in his/her research.

F. Responsibilities of the College

The College will promote the understanding of research ethics and integrity issues through distribution of the research policies and workshops for the college community.

G. Definition of Conflict of Interest in Research

The RRC Policy, Conflict of Interest in Research, outlines potential situations of conflict. Members of the college community are expected to conduct themselves at all times according to the highest ethical standards, in a manner which shall bear the closest scrutiny, and they are responsible for seeking guidance from the appropriate source before embarking on activities which might raise questions about conflict of interest.

PROCEDURES FOR INVESTIGATION AND RESOLUTION OF COMPLAINTS IN RESPECT OF ALLEGED BREACHES OF RESEARCH INTEGRITY POLICY

This policy is applicable to all allegations of breach of the Integrity in Research and Scholarship Policy, including without limitations:

- Misconduct in Scholarly Research;
- Data Collection, Gathering and Retention;
- Authorship;
- Responsibilities of Investigators and Supervisors;
- Conflict of Interest in Research.

Complaint Procedure

1. Anyone who believes that there has been a breach of the research integrity policy may seek informal assistance and may request a preliminary investigation from the Director of Research and Planning at any time.
2. Such inquiries shall be kept confidential by the Director of Research and Planning.
3. All faculty researchers, students, research assistants and staff have an obligation to report to the Director of Research and Planning, any circumstances which they believe involve a breach of the Research Integrity Policy of RRC.
4. The Director of Research and Planning shall take such steps as may be reasonable to protect against retribution or coercion of Complainants, including students, staff and research assistants under the supervision of faculty members whose conduct is the subject of misconduct allegations.

5. A formal complaint must be made in writing before the Director of Research and Planning takes any steps against the individual whose conduct is the subject matter of the complaint. Such a complaint may be formulated by any person who has reviewed the relevant information. Anonymous allegations will not normally be considered; however if compelling evidence is received anonymously by the Director of Research and Planning a preliminary investigation will be initiated.
6. Complaints shall contain sufficient details to enable the Respondent to understand the matter that is to be investigated. A complaint in writing shall identify the person or persons who made the allegations if the Director of Research and Planning deems that such identification is necessary to evaluate the complaint. No such person shall be identified unless that person has expressly so agreed.
7. Upon receipt of a complaint, the Director of Research and Planning shall, in a timely fashion, conduct an investigation into the allegation. Within five working days of receiving the complaint the Director of Research and Planning will discuss with the faculty member whose conduct is in question, the nature of the complaint and the circumstances surrounding it.
8. In the event the Director, at his/her discretion, determines that the formal complaint is without foundation, then the Director of Research and Planning may dismiss the complaint and immediately advise the Complainant accordingly providing written justification for the decision. The Complainant may challenge this decision by submitting an appeal to the President. Appeals must be in writing and a copy of the appeal letter should also be sent to the Director of Research and Planning. RRC shall use a duly constituted Appeal Committee (appointed by the President consisting of at least five members none of whom is a member of the REB) to review the decision. Appeals may be granted when there is a significant disagreement over an interpretation of the TCPS. The decision of the Appeal Committee shall be binding.
9. If, in the opinion of the Director, a satisfactory resolution of a formal complaint is possible, the Director of Research and Planning shall attempt such a resolution. The complaint will be considered resolved through an informal process when the Complainant and Respondent confirm that it has been resolved to their satisfaction (resolution, in this context, implies that the Complaint is withdrawn and the Complainant and Respondent unreservedly accept any additional resolution matters).
10. In the event the Director of Research and Planning is unable to achieve a satisfactory resolution, or if the Director of Research and Planning determines that an investigation is required, he/she will refer the complaint to a committee for investigation within 10 days of receipt of the complaint.
11. The Director of Research and Planning, in consultation with the appropriate Vice President, will strike a committee of three independent persons with relevant experience in the area of research and scholarship involved in a particular case, to conduct an investigation. No member of the department/school involved shall be among the three persons appointed. Persons external to the College may be appointed if necessary. The committee will conduct interviews with the Complainant, Respondent and other individuals as they deem appropriate to discern the facts. All interviews will be documented. During any meeting with the Respondent, the Respondent is entitled to be accompanied by an advocate of the Respondent's choosing. The Respondent has the right to know the allegations against him/her and has the right to answer the allegations both orally and in writing.
12. The committee will address the allegations made and determine if they have merit and in doing so will act fairly and conduct its proceedings in a manner consistent with the principles of natural justice.
13. The committee shall make its final decision within two calendar months from its appointment. The committee will provide the Complainant and the Respondent with a draft of their report. The Complainant and the Respondent may submit, in writing, comments to the committee within five working days. The committee will then report in writing to the Vice-President, who will provide a copy

of the final report to the individuals named and to the Director of Research and Planning within five working days. If the investigation was initiated at the request of one of the Agencies, the report will be provided to that Agency within 30 days of completion of the investigation. Also, if the investigation was initiated within the institution and misconduct was found to have occurred in research funded by one or more of the Agencies, the institution will provide the Agency with a copy of the report. The final decision of the committee will be binding on the institution.

14. In cases where the committee determines that misconduct or breach of the Integrity in Research and Scholarship Policy has occurred, such a determination could be cause for sanctions.
15. In the case of unfounded allegations, efforts will be made by the Institution to protect or restore the reputation of those unjustly accused and Complainants who have been found to have made allegation of misconduct which are unfounded, reckless, malicious or in bad faith shall be subject to sanctions.
16. Sanctions will depend on the severity of the offence, which may include for faculty and staff, (all of which will comply with the relevant provisions of the appropriate Collective Agreement or employment contract), but are not limited to:
 - a) verbal warning,
 - b) special monitoring of future work,
 - c) letter of reprimand to the individual's permanent personnel file,
 - d) withdrawal of specific privileges,
 - e) removal of specific responsibilities,
 - f) suspension or steps to terminate the appointment.

In the case of students, sanctions may include verbal warning, special monitoring of work, letter of reprimand in the student's official file, suspension, or expulsion.

17. If sanctions are to be taken, the sanctions will be imposed by the appropriate Vice-President.
18. A person subject to disciplinary action, who believes that the decision was reached improperly or if he or she disagrees with that decision or with the sanctions, may file an appeal or grievance as appropriate in accordance with the relevant collective agreement or employment contract or in the case of students with the Disciplinary Appeals Policy.
19. Reports and records will be kept by the Director of Research and Planning for a period of 10 years, and access to such records will be by application to the Director. Access to reports and records are subject to the Freedom of Information and Protection of Privacy Act.
20. Where misconduct is found to have occurred, the Director of Research and Planning will be responsible for the protection of agency funding by informing the Controller's Office to withhold any payments or disbursements of Agency funds, if such action is deemed appropriate.

Related Policies:

A9 - Intellectual Property and Copyright
F9 – Conflict of Interest
H1 – Research Involving Human Subjects


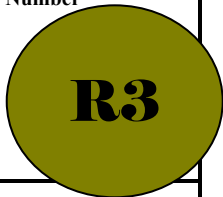
Under Development:

Student Rights in the Conduct of Research
Animal Care and Research

Conflict of Commitment

Conflict of Interest in Research

Appendix F

 RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY POLICIES & PROCEDURES	# Pages 2	Number 
	Originator: Director, Research and Planning Approved by: President's Office	
TITLE: ANIMAL CARE AND RESEARCH	Effective Date	Replaces
	April 12, 2005	New

INTRODUCTION

This policy with respect to Animal Care and Research is designed to achieve the humane treatment and care of animals in the advancement and transmission of knowledge. Red River College is committed to maintaining high standards of animal care and use in animal-based teaching, research or testing.

The term "animal" as defined in this policy refers to vertebrate animals. It is recognized, however, that in regard to ethical issues surrounding the experimental use of animals, it will be necessary to include some invertebrates, in particular, cephalopods (octopi and squid), insofar as consideration should be given to the complexity of the central nervous system of a species and its sentience, rather than any physical appearance and phylogenetic relationship to the human.

POLICY

1. This policy will apply to all use of animals in college programs including teaching, testing and research.
2. The College accepts the principles established by the Canadian Council on Animal Care (CCAC) as published in their guides. Standards are those outlined in the most current Guide to the Care and Use of Experimental Animals. In addition, there must be adherence to all pertinent federal, provincial and municipal regulations.
3. An application describing the proposed use of animals must be filed with, reviewed and approved by the College Animal Care Committee before animals can be used for research and teaching.
4. The Animal Care Committee has the responsibility and authority to review all situations using animals.
5. Failure to follow this policy is considered to be a breach of academic responsibility. Such alleged breaches are investigated under the College's Research Integrity Policy.

PRINCIPLES OF ANIMAL CARE

The provision of humane care of animals in research and teaching will be assured by adherence to the following principles:

1. All activities involving the use of animals must be approved by the Animal Care Committee in accordance with the current guidelines of the Canadian Council on Animal Care¹.

¹ The Canadian Council on Animal Care's Guide to the Care and Use of Experimental Animals, Vol. 1, 2nd Edn., 1993 lays down the principles for good animal care and use. In addition, CCAC Guide to the Care and Use of Experimental Animals, Vol. 2, 1984 provides information on the husbandry of experimental animals on a species by species basis. See

2. Animals will only be used when alternative procedures are not feasible.
3. The species will be carefully selected to ensure the most effective use of animals.
4. The least invasive techniques possible will be employed.
5. The number of animals used will be the minimum required to achieve the objectives of the research/teaching program.
6. Alleviation/reduction of pain and distress will be of prime concern during and following all procedures.
7. All animals will be cared for according to current veterinary standards.

ANIMAL CARE COMMITTEE

Responsibilities

The Animal Care Committee (ACC) is responsible for co-ordinating and reviewing:

1. the activities and procedures relating to the care of animals;
2. the standards of care and facilities for animals;
3. the training and qualifications of personnel that are engaged in the care of animals;
4. procedures for the prevention of unnecessary pain including the use of anaesthetics and analgesics;
5. the College facilities and animal care procedures to ensure that the facilities are in compliance with all regulations.


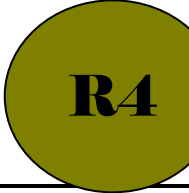
PROCEDURES

1. Faculty and staff who intend to use animals must be completely familiar with the requirements of animal care and use.
2. Applications describing the procedural and ethical guidelines to use animals must be submitted to the Animal Care Committee, for review and approval.
3. Prior to commencement of the research project, the researcher must submit copies and approval certificate issued by the Animal Care Committee, to the Director of Applied Research and Commercialization.
4. All Red River College animal-based teaching activities, no matter where they will take place, are the subject of written protocols that are submitted to, and approved by, the Animal Care Committee.

Related Policies:

H1 – Research Involving Human Subjects
H2 – Integrity in Research and Scholarship
A9 - Intellectual Property and Copyright
F9 – Conflict of Interest

Appendix G

<div><div><div>RED RIVER COLLEGE</div><div>OF APPLIED ARTS, SCIENCE AND TECHNOLOGY</div></div></div> <div>POLICIES & PROCEDURES</div>	<div><div># Pages</div><div>2</div></div>	<div><div>Number</div><div></div></div>
	<div>Originator: Director, Research and Planning</div> <div>Approved by: President’s Council</div>	
	<div>TITLE:</div> <div>CONFLICT OF INTEREST IN RESEARCH</div>	<div><div>Effective Date</div><div>May 10, 2005</div></div>

PURPOSE

Red River College recognizes that situations may arise for researchers that could comprise a conflict of interest. The purpose of this policy is to minimize and manage situations pertaining to conflict of interest in research.

DEFINITIONS

A conflict of interest in research arises in the following circumstances:

- a) when the personal or business interests of the researcher, including the interests of his/her family or associates, conflicts with the researcher's obligations to:
 - i. the College, including respect for the College's policies;
 - ii. students, or staff, under his/her supervision.
- b) when, without prior agreement, use is made of College resources, including secretarial, office and administrative services, technical services, laboratories, assistants, premises, logo, insignia, for the personal gain or benefit of the researchers or for the gain or benefit of others related to or associated with the researcher.
- c) when the work of students is directed with a view to benefiting the personal or business purposes of the researcher, his/her associates or relations, to the detriment of the student's progress of scholarly academic endeavours.
- d) when the personal or business interests of the researcher, his/her associates or relations compromise the independence and impartiality necessary to perform his/her duties.
- e) when a researcher uses confidential information that is gathered in the course of his/her duties for personal or business gain or for the gain of his/her associates or relations.
- f) if, in the course of his/her duties, a researcher incurs an obligation to an individual or business that is likely to benefit from special treatment or favours granted by the researcher or the College.
- g) when a researcher influences or seeks to influence a decision made by the College or an outside agency for personal or business benefit.

- h) when a researcher accepts an executive appointment, employment, or shares in any non-College organization which might reasonably expect them to disclose confidential or proprietary information to which they have access by virtue of their College appointments.
- i) when a researcher accepts, without written authorization of the College, a research grant or contract from any outside non-College organization from which they receive or may subsequently receive direct or indirect benefits as an executive officer or shareholder.
- j) when a researcher employs students in any commercial venture related to the student's study or research or proceeds to commercialize the student's work in such a way as to restrict the student's ability to complete their academic program or their ability to communicate their findings.


POLICY

1. Since the possibilities for conflict of interest and its resolution are almost limitless and cannot all be covered in procedures, members of the College community are expected to conduct themselves at all times according to the highest ethical standards, in a manner which shall bear the closest scrutiny, and they are responsible for seeking guidance from the appropriate source before embarking on activities which might raise questions about conflict of interest.
2. The College views unresolved conflicts of interest in the conduct of research to be a serious breach of academic responsibility. Such alleged breaches are investigated under the Integrity in Research and Scholarship policy.
3. The Red River College Conflict of Interest Policy (F9) applies in all circumstances involving research.

Related Policies:

- H1 - Research involving Human Subjects
- H2 - Integrity in Research and Scholarship
- H3 - Animal Care and Research
- A9 - Intellectual Property and Copyright
- F9 - Conflict of Interest

Appendix H

<div><div><div>RED RIVER COLLEGE</div><div>OF APPLIED ARTS, SCIENCE AND TECHNOLOGY</div></div></div> <div>POLICIES & PROCEDURES</div>	<div># Pages2</div>	<div>Number</div> <div>R5</div>
	<div>Originator: Director, Research and Planning</div> <div>Approved by: President’s Council</div>	
	<div>TITLE:</div> <div>STUDENT RIGHTS IN THE CONDUCT OF RESEARCH</div>	<div>Effective Date</div> <div>May 10, 2005</div>

PURPOSE

Red River College students may be involved in research activities at or under the auspices of the College under the supervision of a faculty member or staff, or an individual designated as a research principal investigator for a research project. While the faculty or staff person or principal investigator is responsible for supervision of students, it is also the student's responsibility to follow all of the research policies established at the College. This policy outlines the rights of students involved in research with principal investigators or faculty or staff.

POLICY


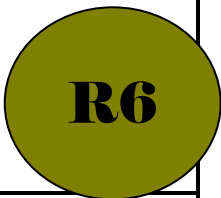
1. The research principal investigator or supervisor is responsible for the supervision of students conducting research, including supervision of data collection, analysis and interpretation, and storage of information.
2. The research principal investigator or supervisor is responsible for ensuring all Red River College research and other policies are followed in the conduct of research.
3. It is the responsibility of the principal investigator to implement measures that will ensure the health and safety of student researchers. The principal investigator shall inform students of measures to be implemented such as the proper use of equipment and materials and adherence to Red River College, Provincial and Federal Occupational Health and Safety policies. Alleged breaches of health and safety requirements will be investigated under the College's Integrity in Research and Scholarship policy.
4. Hiring of students to work on College research projects will be conducted in accordance with the appropriate Human Resources Policies and Procedures.
5. Students engaged in College research projects shall follow appropriate College policies.
6. Whether or not a student is assigned a salary or other payment by the principal investigator (for example, from an operating grant or similar fund controlled by the principal investigator), a clear written agreement shall be made as to the duties expected of the student, and the extent to which the work will contribute to the student's academic program.

7. In cases where there is an agreement that the student may use the results of his/her research on the project toward an academic program, the work completed in the research must be clearly identified as that of the contribution of the student, and the criteria for shared authorship explained to the research team in advance.
8. When a student begins working with a principal investigator or research group that is funded in whole or in part by contracts, consulting agreements, or grants from outside agencies, a clear agreement should be made at the outset as to the accessibility of research findings for publication. Research work contributing to the student's academic program shall not be subject to publication restrictions by an external sponsor.

Related Policies:

- H1 - Research involving Human Subjects
- H2 - Integrity in Research and Scholarship
- H3 - Animal Care and Research
- A9 - Intellectual Property and Copyright

Appendix I

 RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY POLICIES & PROCEDURES	# Pages 2	Number 
	Originator: Director, Research and Planning Approved by: President's Council	
TITLE: RESEARCH IN THE YUKON, NORTHWEST TERRITORIES AND NUNAVUT	Effective Date	Replaces
	May 10, 2005	New

POLICY

All Red River College researchers who intend to conduct research in the Yukon, the Northwest Territories and Nunavut must be licensed. This includes work in indigenous knowledge as well as in the physical, social and biological sciences.

Information about license requirements for research in the Yukon, the Northwest Territories and Nunavut may be obtained from: Manager, Research Services, Aurora Research Institute, Box 1450, Inuvik, Northwest Territories, XOE OTO, Internet address: <http://www.nwtresearch.com>

TYPES OF RESEARCH

The following is provided as a general guide only for researchers (researchers should always consult the Aurora Research Institute). For purposes of obtaining a license, research is defined as an endeavour to study or obtain knowledge through the use of a systematic approach with the intent of clarification. This includes activities which attempt to discover new facts, information, or new applications of existing knowledge.

GUIDELINES

1. What is clearly not research under the licensing process:
 - *Journalism* (including public surveys, photojournalism or audio video documentaries);
 - *Exploration* (including mineral prospecting, and land or water adventure travel); and
 - *Administrative Documentation* (to be used for internal purposes, year-end reports, and/or as the results of hearings, workshops, or other public inquiries).
2. What is clearly not licensed under the *NWT Scientists Act*:
 - Research involving land animals or wildlife habitats (requires Wildlife Research Permit);
 - Research studies in archaeology (requires Archaeologists Permit).
3. Licensed research includes both basic and applied forms of research:
 - *Basic Research* is a curiosity driven activity that has the purpose of discovery and the advancement of knowledge.
 - *Applied Research* aims to discover the best ways of using this knowledge in the practice of a profession.

4. Licensed research includes the gathering of western scientific knowledge and/or traditional, indigenous and local knowledge.
5. Licensed research includes the gathering of primary research material as well as secondary research material.
6. Licensing must take into consideration the social context of the proposed research.
7. Categories of research administered under the *NWT Scientists Act* include but are not limited to the following:
 - Biology
 - Contaminants
 - Geology
 - Physical Sciences
 - Environmental Sciences
 - Engineering
 - Health
 - Social Sciences
 - Economics, Business
 - Traditional/Indigenous Knowledge
 - Anthropology
 - Fossils
 - Tourism

The total range of research activities requiring a license is not easily summarized, but in any case where peoples' behaviour, health, or non-public records containing personal or private information is involved, the Aurora Research Institute must be consulted to determine license requirements.

8. One of the intentions of the research licensing process is to improve communication and understanding of research in the Northwest Territories. This should be initiated while the research program is still in the development stage.

ETHICAL PRINCIPLES


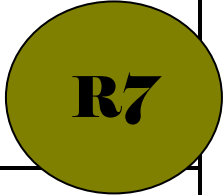
Research in the North is governed by a set of ethical principles (see *Ethical Principles for the Conduct of Research in the North*, Association of Canadian Universities for Northern Studies 2003). Communities in the North are fully advised on their rights with respect to research on their land; e.g., *Negotiating Research Relationships: A Guide for Communities* (prepared by the Nunavut Research Institute and Inuit Tapirisat of Canada 1998).

College Researchers should consult these documents prior to planning research in the Yukon, Northwest Territories and Nunavut.

Related Policies:

- H1 - Research involving Human Subjects
- H2 - Integrity in Research and Scholarship
- H3 - Animal Care and Research
- A9 - Intellectual Property and Copyright

Appendix J

 RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY POLICIES & PROCEDURES	# Pages 2	Number 
	Originator: Director, Research and Planning Approved by: President's Council	
TITLE: RESEARCH INVOLVING BIOHAZARDS AND RADIOACTIVE MATERIALS	Effective Date	Replaces
	September 20, 2005	New

1. RESEARCH INVOLVING BIOHAZARDS

1.1 Definition

- 1.1.1 Biohazards are infectious agents or hazardous biological materials that present a risk or potential risk to the health of humans, animals or the environment. The risk can be direct through infection or indirect through damage to the environment.

1.2 Policy

- 1.2.1 Researchers at Red River College who propose to conduct research involving biohazards shall adhere to the standards outlined in the *Laboratory Biosafety Guidelines* 3rd Ed (2004), which can be found on the Health Canada Web site.
- 1.2.2 In order to submit an application for funding for research involving bio-hazards, researchers shall obtain certification from the College Environmental Health, Safety and Insurance Services (EHSIS) Office to ensure that the laboratory procedures being used comply with the safety precautions necessary for the procurement, use, level of containment, storage, transfer and disposal of the biohazards required by the research. Researchers shall submit any applications for funding to the Director of Applied Research and Commercialization for review and all applications shall be submitted for funding through the Director.
- 1.2.3 Researchers are responsible for ensuring that research assistants and laboratory personnel are aware of any hazards (e.g., handling of chemicals, etc.) that may be encountered in the course of the research. Personnel shall be adequately trained, and appropriate protective procedures shall be enforced.
- 1.2.4 Prior to the actual commencement of any research project, the researcher shall inform the College Environmental Health, Safety and Insurance Services (EHSIS) Office and the Director of Applied Research and Commercialization. All such research is subject to inspection by EHSIS.

2. RESEARCH INVOLVING RADIOACTIVE MATERIALS

2.1 Definition

- 2.1.1 Radiation is broadly defined as energy that originates from a source and travels through space or matter. Radiation, particularly ionizing sources, can pose a risk to human health and the environment if not properly controlled.


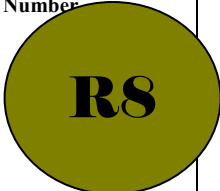
2.2 Policy

- 2.2.1 College researchers who propose carrying out research using radioactive materials shall comply with all Canadian Nuclear Safety Commission (CNSC) regulations, recommended procedures, and safety precautions governing the use of such materials in Canada.
- 2.2.2 In order to submit an application for funding for research involving radioactive materials, researchers shall obtain certification from the College Radiation Safety Officer to ensure that the laboratory procedures being used comply with the safety precautions necessary for the procurement, use, level of containment, storage, transfer and disposal of the radioactive materials required by the research. Researchers shall submit any applications for funding to the Director of Applied Research and Commercialization for review and all applications shall be submitted for funding through the Director.
- 2.2.3 Researchers are responsible for ensuring that research assistants and laboratory personnel are aware of any hazards that may be encountered in the course of the research. Personnel shall be adequately trained in radiation safety and appropriate protective procedures shall be enforced.
- 2.2.4 Prior to the actual commencement of any research project, the researcher shall inform the College Environmental Health, Safety and Insurance Services (EHSIS) Office and the Director of Applied Research and Commercialization. All such research is subject to inspection by EHSIS.

Related Policies:

A1 – Radiation Safety
A6 – Hazardous Waste Management
A9 - Intellectual Property and Copyright
F9 – Conflict of Interest
H1 – Research Involving Human Subjects
H2 – Integrity in Research and Scholarship
H3 - Animal Care and Research Policy
H4 - Conflict of Interest in Research Policy
H5 - Students Rights in the Conduct of Research Policy
H6 - Research in the Yukon, Northwest Territories and Nunavut Policy

Appendix K

 RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY	# Pages 3	Number 
	POLICIES & PROCEDURES Originator: Director, Applied Research and Commercialization Approved by: President's Council	
TITLE: APPLIED RESEARCH ADMINISTRATION	Effective Date	Replaces
	November 14, 2006	New

1. PURPOSE

- 1.1. In order to develop an effective applied research environment, Red River College maintains an administrative and budgetary infrastructure to assist researchers in their pursuits.
- 1.2. The Office of Applied Research & Commercialization (AR&C) has overall responsibility for institutional leadership in the development of applied research in all disciplinary and interdisciplinary areas. AR&C is assisted by the Research and Planning Department in its ethics review role and the Vice-President, Finance and Administration who ensures the legal, financial and liability needs of the College are met.
- 1.3. This policy outlines Red River College's applied research infrastructure.

2. DEFINITIONS

- 2.1. *Principal Investigator*: The researcher with overall responsibility for the direction of a research project, grant or contract.
- 2.2. *Researcher/Scholar*: Includes all members of the College who participate in research and scholarly activities. Members of the College may include academic and non-academic staff, administrators, students, visiting or adjunct scholars, paid and unpaid research assistants, and any other person in a similar position.
- 2.3. *Research Contract*: An agreement to provide research services under specified negotiated conditions for a specific deliverable. For College purposes, contracts include letters of agreement signed by both parties, purchase orders, form contracts and contracts requiring execution under seal.
- 2.4. *Research Grant I*: An award to an academic or professional staff member to support his/her ongoing research interest. The researcher normally follows the conditions outlined in the submitted research proposal and the use of funds is governed accordingly, subject to the general conditions of the sponsor and the policies of the College.
- 2.5. *Research Grant II*: An award to the College or an affiliate of the College. The use of the research funds is subject to the conditions of the sponsor and the policies of the College. Such grants are normally for the acquisition of capital research infrastructure but are also for ongoing applied research projects of the College.
- 2.6. *Restricted Account*: Funds that are received by the College may require special handling, such as the specific isolation of financial activities of a research project, restricted use of funds by a specific individual, and facilitation of use of money donated to the College for research purposes.

3. POLICY

- 3.1 The Applied Research & Commercialization Office (AR&C) has overall responsibility for institutional leadership in the development of applied research in all disciplinary and interdisciplinary areas, for providing research services to academics, other staff, and students, for coordinating the activities of related research and the administration of Applied Research & Commercialization activities.

4. OVERALL RESPONSIBILITIES:


- 4.1. General Research Administration Responsibilities of the Applied Research & Commercialization Office (AR&C):
 - 4.1.1. administers approved research policies;
 - 4.1.2. applies for research funding;
 - 4.1.3. assists in preparing research funding proposals;
 - 4.1.4. reviews and approves all research funding proposals;
 - 4.1.5. informs faculty and professional staff of the College on research policy, and of the policies and objectives of governments and other research sponsors;
 - 4.1.6. informs sponsors of the research capabilities of the College; assists in locating and soliciting support for research in the form of both contracts and grants;
 - 4.1.7. develops and disseminates information on sources of external research funding: research grants, contracts, travel, equipment, conference and publication grants, and fellowships;
 - 4.1.8. makes contact with sponsors to develop new opportunities for College researchers, assisting in the development of links with external sponsors;
 - 4.1.9. administers special grants programs for the distribution of general research funds; and
 - 4.1.10. distributes information on internal research funds administered by the College.
- 4.2. Specific Research Administration Responsibilities of the AR&C:
 - 4.2.1. Research Grant Administration.
The AR&C:
 - 4.2.1.1. maintains files on research sponsors, containing current information on the programs of the sponsors;
 - 4.2.1.2. provides application forms and other information on sponsors to College staff;
 - 4.2.1.3. interprets and clarifies conditions of awards and procedures in consultation with appropriate individuals and departments
 - 4.2.1.4. assists faculty and professional staff in the preparation of grant applications;
 - 4.2.1.5. receives grant applications for review of their conformity to the conditions of the sponsor and to the policies of the College, and to ensure that all required College approvals and signatures are obtained;
 - 4.2.1.6. maintains quality control over all research funding proposals;
 - 4.2.1.7. forwards the application to the sponsor; and
 - 4.2.1.8. arranges with Financial Services the assignation of Restricted Account numbers to new grants;
- 4.3. Research Contract Administration
 - 4.3.1. provides information to faculty and professional staff on the nature and conduct of contract research, and on possible sources of funding;
 - 4.3.2. assists faculty and professional staff in the preparation of contract proposals, especially in the format for the proposal and in the structure of the budget; (budgets are developed in consultation with Financial Services, Enterprise and Contract Services)
 - 4.3.3. receives contract proposals to review their conformity with the conditions of the sponsor and with College Policies, and to ensure that all required College approvals and signatures are obtained;
 - 4.3.4. forwards the proposal to the sponsor;

- 4.3.5. assists with the negotiation and regulation of research contracts between the College and the sponsor, and arranges for the execution of the contracts;
- 4.3.6. arranges with Financial Services, Enterprise and Contract Services assignment of Restricted Account numbers to new contracts; and
- 4.3.7. ensures that in contract research the corporate responsibilities of the College to the sponsor are duly discharged.
- 4.4. Other Responsibilities of the Office of the ARC:
 - 4.4.1. maintains records of research funding received;
 - 4.4.2. maintains records of funded research projects;
 - 4.4.3. provides administrative support for College research committees;
 - 4.4.4. assists faculty in the formation of research groups;
 - 4.4.5. contributes to the development and maintenance of the College's Institutional Research Plan;
 - 4.4.6. regularly reviews internal research proposals submitted by staff members;
 - 4.4.7. makes recommendations with regard to the distribution of block grants and generally uncommitted research funds within the College; and
 - 4.4.8. report annually to the Senior Academic Committee on internal research grant allocations;
 - 4.4.9. is responsible for publications, reports, web sites, and events that enhance the College's research profile; and
 - 4.4.10. to ensure that the college has adequate safeguards in place to protect sensitive information entrusted to it by granting agencies for the purpose of administering applications and awards, including relevant data protection requirements.
- 4.5. Control of Research Accounts
 - 4.5.1. In matters related to research, the AR&C consults with the Vice-President, Finance and Administration to ensure that the corporate responsibilities of the College are met in terms of legal, financial and liability considerations.
 - 4.5.2. The AR&C is responsible for monitoring the College's expenditures on research grants and contracts and for the financial management of general research accounts (e.g. CIHR, NSERC, and SSHRC general research grants).
 - 4.5.3. The Principal Investigator exercises overall research and financial management of the grant or contract, the financial management being subject to audit and to the procedures of Financial Services. Researchers are required to consult with the AR&C prior to the commencement of a grant or contract.
- 4.6. Research Ethics Review
 - 4.6.1. The Research and Planning Department will manage the research ethics process as outlined in the RRC Policy, H1 - Research Involving Human Subjects.

Related Policies:

A9 - Intellectual Property and Copyright
F9 – Conflict of Interest
H1 – Research Involving Human Subjects
H2 – Integrity in Research and Scholarship
H3 - Animal Care and Research Policy
H4 - Conflict of Interest in Research Policy
H5 - Students Rights in the Conduct of Research Policy
H6 - Research in the Yukon, Northwest Territories and Nunavut Policy
H7 - Research Involving Biohazards and Radioactive Materials
Adjunct Researchers Policy

Appendix L

 RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY POLICIES & PROCEDURES	# Pages 2	Number R9
	Originator: Director, Applied Research and Commercialization Approved by: President's Council	
TITLE: APPROVAL TO FORWARD AN APPLICATION FOR RESEARCH FUNDS TO AN EXTERNAL SPONSOR	Effective Date	Replaces
	November 14, 2006	New

1. PURPOSE

- 1.1 This policy states that it is the responsibility of the researcher to obtain the College's approval before submitting a grant or contract application to an external sponsor.

2. DEFINITIONS

- 2.1 *Principal Investigator:* The researcher with overall responsibility for the direction of a research project, grant or contract.

3. POLICY

- 3.1 All RRC staff seeking research funding must have read and understood all of the pertinent policies governing research at Red River College, including: H1 – Research Involving Human Subjects; H2 – Integrity in Research and Scholarship; H3 - Animal Care and Research Policy; H4 - Conflict of Interest in Research Policy; H5 - Students Rights in the Conduct of Research Policy; H6 - Research in the Yukon, Northwest Territories and Nunavut Policy; H7 - Research Involving Biohazards and Radioactive Materials; and A9 - Intellectual Property and Copyright.
- 3.2 All application and/or submissions for funding for research shall follow the procedure outlined herein.

4. PROCEDURE


- 4.1. An applicant (principal investigator) must discuss any research proposal with his/her supervisor, addressing in particular, the allocation of time necessary, and whether this will be on college or personal time.
- 4.2. An applicant (principal investigator) must obtain all the necessary documents, forms and conditions from the granting agency.

- 4.3. All applications/ proposals must have the appropriate academic endorsement before being submitted: - for faculty this will be the Dean; for staff this will be the immediate supervisor; for the any formalized research groups, this will be the senior researcher.
- 4.4. Budgets estimates for the research project/proposal must be prepared by the applicant, and reviewed by Financial Services, prior to submission of the proposal to Applied Research & Commercialization.
- 4.5. An applicant (principal investigator) shall submit each application for grant or contract funding, including letters of intent, from any research sponsor (for example, government; industry; international organization; business, labour, or other organization; foundation, whether private or public) to the Director of Applied Research and Commercialization for approval before the application may be forwarded to the sponsor. College approval is required whether or not the sponsor requires such approval.
- 4.6. The proposal will then be formally evaluated from the viewpoint of general college policy and strategic direction, and a decision made for approval or rejection. The Director may appoint a committee to provide these evaluations.
- 4.7. Completed applications should be submitted to the Director of Applied Research and Commercialization on or before specified internal deadlines to be determined by the Director of Applied Research and Commercialization, to allow time for administrative review of applications.
- 4.8. Approval by the Research Ethics Board (REB) shall be required for all research involving human subjects.
- 4.9. The Director of Applied Research and Commercialization will consult with the Vice-President, Finance and Administration to ensure that contract proposals conform to College policy.
- 4.10. When finalized, the Director of Applied Research and Commercialization shall forward the grant or research proposal to the appropriate agency.
- 4.11. Co-investigators participating in multi-centred research projects that receive funding from external sponsors shall provide a copy of the proposal to the Director of Applied Research and Commercialization.

Related Policies:

A9 - Intellectual Property and Copyright
F9 – Conflict of Interest
H1 – Research Involving Human Subjects
H2 – Integrity in Research and Scholarship
H3 - Animal Care and Research Policy
H4 - Conflict of Interest in Research Policy
H5 - Students Rights in the Conduct of Research Policy
H6 - Research in the Yukon, Northwest Territories and Nunavut Policy
H7 - Research Involving Biohazards and Radioactive Materials
Adjunct Researchers Policy

Appendix M

 RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY POLICIES & PROCEDURES	# Pages 3	Number R10
	Originator: Director, Applied Research and Commercialization Approved by: President's Council	
TITLE: RECOVERY COSTS OF RESEARCH	Effective Date	Replaces
	November 14, 2006	New

1. PURPOSE

1.1 This policy provides direction for the recovery of costs of research where appropriate.

2. POLICY

- 2.1. The College, in consultation with the principal investigator, will, where appropriate, charge all costs for research conducted based on external funding.
- 2.2. Since project requirements may vary from project to project, it is advised that all principal investigators consult with the Director of Applied Research & Commercialization when preparing the costs component of project budgets.
- 2.3. Where grants for research allow for the recovery of indirect costs, researchers must include them in their proposals. Many charitable organizations and foundations have formal rules against paying for indirect costs while others have guidelines providing for certain indirect costs.

3. PRINCIPLES FOR DEVELOPING BUDGET/COST PROPOSALS FOR RESEARCH

- 3.1. Full recovery of all direct costs including but not limited to total labour cost, materials and supplies, travel and accommodation, external consultants, equipment (purchase, rental, maintenance, taxes and installation), necessary renovations and computer time. Labour costs should include a cost factor for faculty and other staff members' time based on salary (including benefits and payroll levy).
- 3.2. Full recovery of indirect costs. The following are amongst those typically included in indirect costs: Comptrollers Office (purchasing, budgets & grants, payroll), Human Resources, Physical Plant, General Administration (research administration, legal counsel, institutional review committees), Faculty Administration (Dean and Department offices, review committees), and access to general library and computer services.

4. RESEARCH AND OTHER ACADEMIC AND SERVICE PROGRAMS CONTRACTS WITH INDUSTRIAL/PRIVATE SECTOR SPONSORS

- 4.1 Indirect costs may be identified as a separate budget item or expressed as a function of total cost. Other alternative methods of costing can be considered provided that full costs are recovered.

5. VARIATIONS IN INDIRECT COST RECOVERY

- 5.1 It is recognized that the ability of the College to subsidize contract research or other academic and service programs through the absorption of indirect costs is limited.

6. PRINCIPLES OF IN-KIND CONTRIBUTIONS

- 6.1 Some agencies require that the College make "contributions" to the costs of certain projects. In this case, contributions should be calculated to express the cost of the faculty members' time (including associated indirect costs) and shown on the budget as a contribution of cost. This contribution must be approved, in advance of submission of proposal, by the Chair, Dean and Vice-President, Academic and Research.

7. GUIDELINES FOR DISTINCTION OF TYPES OF AWARDS

- 7.1. The determination of whether a project is grant or contract oriented has to do with the nature of the work to be performed and the conditions under which that work is performed. The following information will be of use to persons preparing research project applications in assisting them to identify the funding nature of their applications.

- 7.2. **Grant:** A grant is financial support for an investigator, or investigators, or group or centre or institute conducting research in a particular subject area or field, without any formal detailed stipulations as to the direction or outcomes of such research.

- 7.2.1. The research funded by a grant can be initiated by the investigator(s), group, and research centre/institute conducting it or by the grantor. The following characteristics are also normally present:

- 7.2.1.1 Funds traditionally cover research assistants (students), technicians, equipment, supplies and travel. The funds are not attached to a specific performance outcome and cannot be retracted as a function of performance. Equipment purchased belongs to the College.
- 7.2.1.2 In many cases, there is no direct or indirect remuneration to the principal investigator or co-investigators.
- 7.2.1.3 Objectives are defined in a general fashion.
- 7.2.1.4 No specific transfer of results to the grantor; however a final report stating the results of the research is usually submitted to the grantor.
- 7.2.1.5 Knowledge created is "transferred" by peer-approved means at discretion of investigator(s): publications, workshops, seminars.
- 7.2.1.6 The College owns any innovations arising from the project (e.g. software, new drug, new product/process), however, the College is committed to recognizing the generation of work and inventions and related Intellectual Property rights by employees in accordance with Policy A9 - Intellectual Property and Copyright.

- 7.3. **Contract:** A contract is an agreement between legal entities, namely the sponsor and the College, to provide financial support for an investigator or investigators, to conduct research in a particular subject area or field under specific stipulations and conditions. These conditions may:

- 7.3.1. specifically outline the scope and nature of the research;
- 7.3.2. set the time period(s) for the activity;
- 7.3.3. define the deliverables;
- 7.3.4. establish ownership, patent rights and licensing arrangements;

- 7.3.5. provide for confidentiality of information supplied and created;
- 7.3.6. establish budget approvals and payment schedules (payment may be made as work accomplished is invoiced);
- 7.3.7. establish considerations for acceptance and/or termination;
- 7.3.8. limit liability of participants, and other matters that may be appropriate to the circumstances.

8. RATES FOR, AND DISTRIBUTION OF, RECOVERY OF COSTS OF RESEARCH

- 8.1. Standard Rates for recovery of costs of research, when applicable, will be determined by Applied Research & Commercialization, in consultation with the Comptrollers Office. Project-specific deviations from standard rates must be approved by the Director, Applied Research & Commercialization;
- 8.2. Distribution of Recovered Costs of Research will be in accordance with procedures determined by Applied Research & Commercialization.

Related Policies:

A9 - Intellectual Property and Copyright
F9 – Conflict of Interest
H1 – Research Involving Human Subjects
H2 – Integrity in Research and Scholarship
H3 - Animal Care and Research Policy
H4 - Conflict of Interest in Research Policy
H5 - Students Rights in the Conduct of Research Policy
H6 - Research in the Yukon, Northwest Territories and Nunavut Policy
H7 - Research Involving Biohazards and Radioactive Materials
Adjunct Researchers Policy
BPG104 – Development & Administration of Agreements – Corporate Legal Services

Policies and Procedures

ADJUNCT RESEARCHERS

Originator: Director, Research & Planning
Approver: President's Council
Effective: November 14, 2012
Replaces: New

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| 1. Preamble | Important areas of research often transcend the boundaries of the College and it is therefore in the best interests of the College to provide an opportunity for scholars and researchers to participate in the ongoing research work of various departments. This type of cooperation is of special importance to small departments/units where the addition of one or more scholars may well provide the strength needed to carry forward its program. |
| 2. Policy | To facilitate interdisciplinary research, and also to enable the contributions of scholars and researchers who are not faculty or staff members at Red River College, the honorary category of Adjunct Researcher is hereby created. |
| 3. Appointment Procedures and Terms | <p>3.1 Recommendation for Appointment of External Adjunct Researchers:</p> <p>3.1.1 Appointment to Adjunct Researchers may be made available to scholars and researchers who are not staff or employed by Red River College.</p> <p>3.1.2 Appointments shall follow the Guidelines for Recommendation for Appointment of External Adjunct Researchers, included in this policy.</p> <p>3.1.3 Recommendation for an appointment in such instances will be made by the Chair/Manager of the appropriate department/unit at Red River College with the approval of the Dean/Director.</p> <p>3.1.4 The recommendation and approval for appointment will be reported to the Senior Academic Committee/President's Council.</p> <p>3.2 Terms of Appointment</p> <p>3.2.1 Appointment to Adjunct Researcher shall be for a term of up to three (3) years. The appointment may be renewed at the expiration of the term. The length of the term must reflect the time required to perform the duties specified.</p> <p>3.2.2 This is a nil salaried academic appointment.</p> |

3.3 Rights and Responsibilities

3.3.1 The rights and responsibilities of an Adjunct Researcher shall include:

- (a) An Adjunct Researcher may be involved in the research activities of a department, in co-operation with a faculty or staff member or be a supervisor or co-supervisor of, or serve on the practicum committee for applied research projects for students.
- (b) An Adjunct Researcher will normally not participate in the formulation and execution of policy in the department/unit.
- (c) An Adjunct Researcher is responsible for maintaining a high level of scholarship and research during his/her appointment.
- (d) If the Adjunct Researcher finds that he or she is unable to continue to perform the duties associated with the appointment, he/she should then relinquish the appointment.
- (e) Adjunct Researchers are encouraged to apply, where applicable, for external research grants to appropriate agencies (e.g. Social Sciences and Humanities Research Council, Canada Council, Natural Sciences and Engineering Research Council, Canadian Institutes of Health Research, etc.) to support their research programs.
- (f) Adjunct Researchers are expected to acknowledge their affiliation with Red River College in all publications and scholarly works resulting from the Adjunct appointment.
- (g) It is the responsibility of the Chair/Manager of the department/unit in which the adjunct appointment has been made, to supervise and monitor the work of an Adjunct Researcher. Any inadequacies in the duties and/or performance of an Adjunct Researcher will be addressed by the Chair/Manager.
- (h) An Adjunct Researcher will be granted access to College libraries including remote access to on-line databases and be provided with a network account (e-mail) and access privileges.


3.4 Financial

- 3.4.1 External Adjunct Researchers will receive no stipend and are not be eligible for any college employee benefits because of their appointment.
- 3.4.2 An Adjunct Researcher entails no employee / employer relationship.

3.5 Guidelines for the Recommendation for Appointment of External Researchers

The following documentation is to be submitted to the Senior Academic Committee / President's Council, for information, with regard to the appointment of external Adjunct Researcher:

- 3.5.1 A summary of the appointee's relevant education or experience and evidence of demonstrated commitment to research and scholarship. The academic and scholarly qualifications and expertise must be relevant to the sponsoring department/unit's activities. The department/unit will determine that the qualifications of the Adjunct appointee are suitable.
- 3.5.2 An outline of the anticipated scholarly/research activities of the Adjunct Researcher.
- 3.5.3 A comprehensive list of research projects, presentations and publications.
- 3.5.4 Written approval of the appointment from the VP or designate.
- 3.5.5 The reason for appointment and the length of term.

<div>Appendix O</div> <div> RED RIVER COLLEGE OF APPLIED ARTS, SCIENCE AND TECHNOLOGY</div> <div>POLICIES & PROCEDURES</div>	# Pages5	Number
	<div>Originator: Director, Curriculum and Learning Resources</div> <div>Approved by: President's Council</div>	
	Effective Date	Replaces
TITLE: INTELLECTUAL PROPERTY AND COPYRIGHT	March 18, 2003	September 1993

INTRODUCTION

Red River College values the creative and innovative process that sustains academic excellence. The College recognizes and encourages those individuals involved in creating endeavours on behalf of the College. To that end, the College has developed this policy on Intellectual Property that provides the guiding principles and goals related to Copyright ownership of original Copyright Material and Intellectual Property including inventions, patents and trademarks.

1. POLICY STATEMENT

Employees and students of Red River College shall comply with the provisions of the *Copyright Act (Canada) R.S. 1985, c. C-42* as amended from time to time.

The College asserts its rights under the *Copyright Act* including its right to claim ownership as employer under subsection 13(3) for Work made by employees in the course of their employment.

The College also asserts its right to claim ownership as employer for Intellectual Property created by employees in the course of their employment.

2. DEFINITIONS

“Copyright” means the rights as set out in the *Copyright Act*. In relation to a Work, this means the sole right to produce or reproduce the Work or any substantial part thereof in any material form whatever, to perform the Work or any substantial part thereof in public or, if the Work is unpublished, to publish the Work or any substantial part thereof in any format.

“Copyright Material” means all original literary, dramatic, musical, artistic and cinematographic works and sound recordings, etc., including books, periodical articles, printed materials, music, photographs, films, broadcast materials, compact disks, audio and video tapes, computer software, and digital material.

“College Support” shall include the specialized knowledge and skills or support and technical staff, hardware and software resources, Copyright clearances, illustrations, editorial and instructional design services, financial support, production and reproduction services, internal structure in which the materials can be created and sold, a distribution system in the form of the bookstore, a market of students to purchase the materials, and the College’s name and reputation.

“Employee Work(s)” shall mean Work produced by employees that may be related to employment, study or curriculum at the College that the College has not provided the employee with any type of College Support.

“Intellectual Property” shall mean any form of expression or knowledge created with one’s intellect, including inventions, computer software, patents, trademarks, literary, artistic, musical works and know-how.

“Personal Work(s)” shall mean Work produced by staff or students that are not directly related to employment, study or curriculum at the College or that the College **has not** provided the creator with any type of College Support.

“Work(s)” shall include but not limited to teaching support materials, instructional by-products, curriculum support material, teaching/learning resources produced on assignment, administrative materials, College publications, applied research products, and professional, technical and artistic work produced on assignment.

3. GOALS AND GUIDING PRINCIPLES

This policy is intended to meet the following goals:

- Recognize the College’s rights within Canadian Copyright laws while respecting the rights of individuals;
- Encourage educational innovation and promote and provide the resources for the development of Work and Intellectual Property;
- Promote new ventures for the best interest of the College and its students, and encourage the marketing of educational Work and Intellectual Property originally designed and created for the College’s use;
- Define an equitable balance between the interests and rights of the authors in their Work and Intellectual Property and the interests and rights of the College;
- Determine an equitable balance and sense of fair practice amongst College employees;
- Acknowledge student rights to Work and Intellectual Property they create as part of their training and education at the College.

4. SCOPE

This Policy applies to all College employees, students and to any third party that has entered into an agreement with the College.

5. POLICY TERMS

5.1 Determination of Ownership

- (1) Within the context of this Policy, the College asserts sole ownership of all Work and Intellectual Property that is:
 - a) created in the course of the individual’s employment with the College; or
 - b) specifically commissioned by the College under a written agreement in which the individual assigns Copyright to the College; or
 - c) created in whole or in part with the assistance of College Support.
- (2) Where appropriate, in cases where there is a combination, or perceived use of Personal Work and Work, shared ownership shall be determined in advance through negotiations on a case by case basis.
- (3) The College has the sole right to determine the disposition of all Copyright and Intellectual Property in any format and in any manner.

5.2 Personal Work

The College recognizes an employee's ownership of the Copyright of Personal Work created outside the scope of his or her employment by the College, on his or her own initiative and time and without College Support. Development of Personal Work that is to be used within the College must adhere to appropriate professional and College conflict of interest procedures.

5.3 Development of Specialized Work/Use of Personal Work

- (1) The College is responsible for maintaining the quality and integrity of curriculum and material used within the classroom and has the right to approve all materials to be used within the College for teaching purposes.
- (2) The College recognizes that appropriate externally produced teaching and learning material may not always be available and that employees may create their own material for use as part of the curriculum or teaching resource material. It is also acknowledged that administrative employees may create material for professional organizations or affiliated entities that may be relevant and useful to the College. College approval of curriculum is imperative in order to limit any perceived conflict of interest when students are required to purchase learning materials developed by the course instructor. If an employee wishes to use such Personal Work during their course of employment at the College the following shall apply:
 - a) The employee must self declare such use to the College and will discuss the proposed use of the Personal Work in advance with the appropriate College personnel before the work is included in curriculum or any other College function or process;
 - b) The College may commission the employee to prepare the necessary material under a written agreement on terms acceptable to both parties, including assignment of Copyright.
 - c) Reproduction and distribution of Personal Works that are to be used by the College, shall be arranged in conjunction with College best practice guidelines.
 - d) The employee grants the College a non-exclusive, royalty-free perpetual license to use the Personal Work.

5.4 Moral Rights

- (1) The College acknowledges that the author of a Work has the right to the integrity of a Work and where reasonable in the circumstances, the right to be associated with the Work as its author by name or under a pseudonym and the right to remain anonymous. These rights are created by the *Copyright Act* and are known as moral rights.
- (2) Where the College requires revisions to a Work created by an author who is still a College employee, the College will request that the employee make the revisions (as part of his or her employment.) If the author is unable or fails to perform these revisions, the College may assign this task to others.
- (3) The College may ask the author to waive his or her moral rights in a Work on terms to be negotiated by the College and the author.

5.5 Student Works

- (1) The College recognizes that students generally own the Copyright and moral rights to materials they produce in their course of study.
- (2) The College may claim joint or sole Copyright ownership to material developed by students if compensation is provided to the students from the College, or the creation of the Work required extensive College Support.

5.6 Material Created by Separate Agreement

- (1) When a Work or Intellectual Property is to be created on behalf of the College by individuals that are not employees or students, the College shall use a written agreement (*as specified in College Best Practice Guideline*) that stipulates ownership of the finished product. In most cases, the College shall require the individual to assign ownership to the College and the College may also require the individual to waive his or her moral rights.

5.7 Disclosure

- (1) Disclosure of Intellectual Property rights by a College employee is intended to ensure clarity of activity and to encourage cooperation between an employee and the College in the development of Work and Intellectual Property.
- (2) Works and inventions and related Intellectual Property rights that fall within the scope of this Policy shall be disclosed by employees to the College prior to any publication or presentation that would have the effect of putting the Work or invention in the public domain.
- (3) No employee will enter into any agreements or contracts with any third party in respect of the Work or invention and related Intellectual Property, including but not limited to the commercialization of the Intellectual Property. The College reserves the sole rights to any such agreements or contracts.
- (4) Disclosure shall be made to the President or designate.

5.8 Recognition of Employee Contributions

- (1) The College believes that the interests of society are served by creating an intellectual environment that encourages educational excellence, innovation and creative effort. New ideas, discoveries and inventions need to be communicated to the public and deployed for the benefit of society. Employees provide the creative energy for inventive endeavours.

The College recognizes that employees may expend significant time and effort to create Work or Intellectual Property in which the College has ownership or Copyright. The College also recognizes that many Works and Intellectual Property are created by more than one individual or department within the College. The College will endeavour to acknowledge or provide appropriate credit to employees involved in the development of such projects.

- (2) The College is committed to recognizing the generation of Work and inventions and related Intellectual Property rights by employees. The commercialization, costs, licensing and revenue related to Work and Intellectual Property will be addressed in a separate policy. This separate policy will describe fair and consistent distributions of income from the sale, lease, use or other transfer of Intellectual Property, recognizing the contributions of employees. In the interim, such arrangements are on a case by case basis.

5.9 Use of Classroom Recordings and Still Images

- (1) The College owns the Copyright to audio and video recordings of classroom proceedings and recognizes the personal rights of the participants. Any recordings or teleconferencing are for the educational benefit of students enrolled in that particular class and no one is permitted to use these recordings for reasons other than stated herein and without the prior written consent of all participants.
- (2) The same parameters as outlined above apply to any still images of classroom proceedings including photographic or digital images.

Related Policies:

Acquisition or Licensing of Curriculum and Academic Material (Under development)

Acquisition, Commercialization, or Licensing of Intellectual Property (Under development)

Related Best Practice Guidelines:

IP: Production, Reproduction and Use of Copyright Materials (Under development)

B104 - Development and Administration of Agreements