

UNIVERSITY of TORONTO

MISSISSAUGA

NEW FACULTY RESEARCH GUIDE



Request Form Connaught Start-up Award

Name of New Tenured/Tenure-Stream A	Appointee:	
Please note: Status-only	appointees are not eligible for support un	nder this program.
Appointment Start Date:		
Academic Rank:		
University Unit of Primary Appointment	:	
Cross Appointment(s), if any:		
Area(s) of Research Specialization:		
Title of Research Project to which these	funds will be applied:	
Location of Research:		
It is intended that these start-up funds wi	ill be used for research involving:	
Human Subjects	Animals	Biohazardous Agents
The awardee must complete the appropr	iate section of the RIS application attachm	nent enclosed.
in my unit and that the above informa	we has taken up a new tenured or tenu ation is correct. I confirm that this ind imation, is worthy of support from the	ividual has sub-
Signature (Department Head)	Print Name and University Unit	Date

An account will be established in the name of the appointee as soon as possible following submission of this form. Questions may be referred to the Connaught Secretariat at 416-978-6475.

Please return this form and a completed RIS application attachment to:

Assistant to the Connaught Committee Connaught Secretariat, Room 133S, Simcoe Hall 27 King's College Circle

UNIVERSITY OF TORONTO

http://www.research.utoronto.ca/utindex.html

RESEARCH AND INTERNATIONAL RELATIONS: RIS Application Attachment

ELUT ARBOR	For Off	ice Use Only:	Status of Pages 3 & 4	Date Received	Time Received	Application Number			
	Researcher's LAST r	name		Researcher's FIRS	ST name	Appointment Status			
		Phone #	Fax#	e-mail address		Tenured Tenure Stream CLTA			
	Department of primary appointment			Administering Unit	Administering Unit if different from Dept. Status On				
P	Sponsor (Agency from	n which funds are bein	g requested)	Electronic Submis	sion? YES NO	Other			
R O J	Are there collaboratin	g sponsors? Nar ES	ne of collaborating sponsors						
E C T	Title of Research	Fitle of Research							
	For fellowships/stude	Student Number							
	Competition Deadline Date								
	O NEW O RENEWAL			○ GRANT	○ GRANT ○ CONTRACT ○ STUDENT/FELLOWSHIP				
	Does this project have a possible commercial application?				Poes this project have an international (outside Canada) component?				
	○ NO ○ YE	the University services m	ver "Yes", someone from sity's technology transfer ay contact you, or you can 133 for more information.	O NO (YES If you answ the Univers may contac	ver "Yes", someone from sity's International Office ct you, or you can call or more information.			
co-	INVESTIGATORS	Co-Investigator 1	Name, Address, Institutional	Affiliation Co-Ir	nvestigator 2: Name, Address	s, Institutional Affiliation			
**	*New for 2003**								
			For addition	nal names, please a	ttach a separate sheet.				
Ļ	St. George Camp	us - Bldg.	□	Downsview	Erindale College	Scarborough College			
LOCAT-0	Hospital - Name Other (in Canada) - Names								
ON	Other Countries -	Names							
	If more than one research location, please specify primary location								
%%⊁T C -	KEYWORDS								
C A T I O N									
M E D	For the use of Disease Code	of Faculty of Me	dicine Applicants of Areas of Resear						

*
<u> </u>
VELUT AREGR CVO

Researcher Name (last name, first name)	Telephone #	For Office Use Only:	Application Number

	A. ANIMALS will be used in the research <u>at the University of Toronto</u> :	0	NO	\circ	YES							
	If "yes", please provide the following information:											
	UACC approved protocol number(s)											
	UACC approved protocol expiry date(s)											
	UACC approved protocol holder's name											
	Original title(s) on protocol(s)											
	B. Animals will be used in the research at another location (e.g., hospital or other University)		of Toron	_	ted YES							
Е	If "yes", please provide the following information:											
T H	Location											
ı	Location's approved protocol number(s)											
C A	Location's approved protocol(s) expiry date(s)											
L	Location's approved protocol holder's name											
R E	Original title(s) on protocol(s)											
۷ ا	A. HUMAN SUBJECTS will be involved in the research:	0	NO	0	YES							
E W S	(including interviews, questionnaires, observations of behaviour, use of non-public r information, administration of drugs, blood samples, tissue samples, tests, or other			ontain ic	lentifying							
	If "yes", you must apply for and receive approval by a University research ethics box (If the research is to be carried out at a <u>single</u> University-affiliated teaching hospital the study to the hospital REB, and provide a copy of the REB's approval letter, whe Research Services, Ethical Review Unit, Room 133S, Simcoe Hall. <u>In all other cas</u> the hospital does not have an REB, submit the study to the University for review.) Information regarding REB applications (including REB meeting schedules) is on th http://www.research.utoronto.ca/ethics_home.html, or may be obtained from the Off Services, Ethical Review Unit, Room 10A, Simcoe Hall, 978-3273.	that n ava <u>es,</u> ir e We	has its cailable, to cluding eb at:	o the Off those in	ice of							
	B Does the application for funding seek support for a project that has already been ap Toronto REB?	prov	ed by a l	_	y of YES							
	If "yes", please provide the following information: a. Protocol Reference Number											
	b. Date of Approval											
	c. Does the proposed research involve procedures that are different from those for ethical approval?	whic	•	ave rece	ved YES							
	if "yes", please submit an amendment to your approved ethical protocol descr approved project to: Office of Research Services, Ethical Review Unit, Room 27 King's College Circle. For guidance, refer to the information regarding RE at: http://www.research.utoronto.ca/ethics_home.html	10A	, Simco	e Hall,								
	A "no" answer means that the application for funding seeks additional support new or different procedures from those already approved by the REB are pro			, but tha	t no							

*
₩
VCUUTARBOR CVO

Researcher Name (last name, first name)

	, ,	Researcher Name (last name, first name)		Telephone #	For Office Use Only:	Application Number
ETHICAL S	For i 978- Univ Nam	HAZARDOUS AGENTS will be involved in the information regarding approvals for the use of 3981, john.valant@utoronto.ca ersity of Toronto Certificate #	of biohazardous	Expiry date	rironmental He	
UNDERTAK-NG UNDERTAK-NG	p T th 2. A C 3. I a U h 4. T th 5. *	this application is submitted in compliance wi rocedures. The research shall be performed and administ the University's policies and procedures. It staff and students engaged on the project conditions. Understand that neither I nor any staff or student in the staff of the project on the project conditions. Understand that neither I nor any staff or student in the staff of the project in the staff of the project in the staff of t	stered in accord shall be fully in dents engaged materials without arding application e.html Human Rights i.e.) FEDERAL GRA If funding admin pspitals, will ge	ance with the Sponse formed of, and agree on the project may use the prior written approxal may Policy. (If in doubt, parting COUNCIL Agriculture indirection of the Uniterest o	or's terms and to be bound to indertake research proval of the abefound on the olease seek the operation of the olease seek the operation of the olease seek the operation of th	conditions and by, the award arch with humans appropriate ne Web at: e assistance of ONLY: onto for ents, a portion
S I G N A T U R E S	Nam	search to be performed at a Hospital or othe nstitution's Executive Head:	Signature			Date

Telephone #

Application Number

University of Toronto Research Services (UTRS) Room 133 Simcoe Hall Tel: 978-2163 Fax: 971-2010

Funded Research Digest

			0			
Principal Investigator:		2 UTRS Application: 21212	Funded Research No.: 77008811	Page:		
Surname, FirstName		21212	77008811	1		
5 Department:		6 Fund No.:	Type of Agreement:			
SURGERY		123456	Multipurpose Grant			
8 Sponsor:		9Sponsor's Reference:	10Fund Period:			
300474 Medical Resea	arch Council	MT-12121	October 01, 1996 to September 30, 2001			
11 PI Fund Center	12 Departmen	t Fund Center	13 Grant Period:			
123456 900900 - Med:		Dept of Surgery	October 01, 1996 to September 30, 1999			
14 Location of Research:		15 Fiscal Year	16 Internal Order:	Cost Center		
The Toronto Hospital -	- General Div.			12345		

18 Short Title of Research:

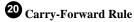
Use of surgical procedures to lighten your load.

 Oct 1996
 Apr 1997
 Apr 1998
 Apr 1999

 Total Expense
 125,675.00
 175,000.000
 200,000.00
 125,000.00

Notes on Budget

Interim Payroll Account: 3-777-888-99



Within the grant period, unspent funds will be carried out to the next fiscal year. The Principal Investigator will have an additional two years beyond the grant end date to spend any unspent funds.

21 TERMS AND CONDITIONS

Sponsor's Representative

Mary Ann Linseman, Deputy Director Programs Branch Medical Research Council, Ottawa, Ontario K1A 0W9

Method of Payment

Payments are made to the University in bi-monthly instalments.

Central Financial Report

The University shall submit annual financial reports at 31 March and a final report at termination.

Research Reports

Five year grants are subject to a mid-term review during the third year of support. Grantees are asked to submit Form MRC 44 describing progress made and publications issued since commencement of the grant.

Reference Documents

All other terms and conditions are as stated in the 1995-96 Grants and Awards Guide.

Other Terms

Notification of award dated July 6, 1996.

PLEASE NOTE: Research involving human subjects, vertebrate animals or biohazardous materials may not be undertaken without prior written approval of the appropriate University Review Committee.

Other questions related to this Funded Research Digest should be referred to Tammy Chan at 978-7146 or by E-Mail tammy chan@utoronto.ca

23 Distribution:	Principal Investigator	FReD Release	
	Chair/Director	Date:	August 15, 1996
	Dean/Principal	Type:	Original
	Business Officer	Authorized by:	Tammy Chan

	FIELD NAME	DESCRIPTION	Source
0	Researcher	The name of the U of T employee or position (e.g., Chair) who is the primary researcher on the application.	HRIS
2	UTRS Application	Application Number assigned on entry into RIS.	RIS
3	Funded Research No.	Number assigned on creation of Funded Research Digest.	RIS
4	Page	Current page number.	
5	Department	Department credited with award in RIS reports.	HRIS
6	Fund #	Fund # assigned in FIS.	FIS
7	Type of Agreement	Defines purpose and specifies if grant, contract, donation, etc.	RIS
8	Sponsor	The agency who will fund the research.	RIS
9	Sponsor's Reference	Number assigned by the Sponsor for application/award.	RIS
10	Fund Period	Award start and end dates, plus any grace period allowed by Sponsor. Includes the entire history of the award the original award plus any renewals	RIS
•	PI Fund Center	Fund Center corresponding to the primary researcher.	FIS
12	Department Fund Center	Fund Center number and description for the department where fund is held.	FIS
13	Grant Period	Award start and end dates, usually defined by Sponsor. Refers to only the award period of that application, i.e., ignores originals or renewals, or any grace period.	RIS
4	Location of Research	Building and/or institution and/or country where research is conducted.	
15	Fiscal Year	Sponsor's grant year, e.g. MRC's grant year is April - March	RIS
16	Internal Order	Box where end-user can manually enter the internal order number if applicable.	
•	Cost Center	Box where end-user can manually enter the cost center number. A FReD has either an internal order number or a cost centre number, but not both.	
18	Short Title of Research	The title of the research project.	RIS
19	BUDGET	Displays the spending limits approved by the Sponsor for the various categories of expenditures (commitment items) and at the various times when the amounts become available. When coinvestigators have direct access to portions of the budget, this is broken down further by fund center.	FIS
20	Notes on Budget	Text in budget box may contain notes on budget, budget transfer rule, carry-forward rule, extension request deadline, sub-grant details and lists of eligible/ineligible expenses.	RIS
4	TERMS AND CONDITIONS	Contains relevant information under the following possible headings: sponsor's representative, method of payment, central financial report, divisional financial report, researcher's report, external audit, intellectual property, publications, copyright, invention, reference documents, overhead distribution, ownership of equipment, and other terms, as applicable and as defined by the Sponsor and the University.	RIS

Funded Research Digest Page 2

	FIELD NAME	DESCRIPTION	Source
22	Please Note	Contains a statement on ethical reviews and contact information for the grants officer responsible for the award file.	RIS/HRIS
23	Distribution	Distribution list of FReD.	
24	FReD Release Information	Date FReD is issued, type of FReD (original, interim, revision1, etc.) and name of the grants officer who authorized the release of the FReD.	RIS

ASSUMPTIONS

- 1. Only one researcher can be Principal Investigator.
- 2. The Principal Investigator holds his/her major appointment in the Department specified. This will be true unless the Principal Investigator specified that the grant was to be administered through another Department.
- 3. The Grant start date may differ from the fund start date in cases of grant renewals.
- 4. The Grant end date does not include any spending grace period allowed by the Sponsor. However, this grace period is included in the fund end date displayed on the FReD.
- 5. The budget on the FReD is the same as in the FIS report for "Funding: FC or Fund" when viewed at the relevant period level.

PATH TO REACH FRED

RIS >> Funded Research >> Display >>

January 2000

Funded Research Digest Page 3

REQUEST FOR SETUP OR CHANGE - ADMINISTRATIVE MANAGEMENT SYSTEMS (AMS) PI Web Access

CONFIDENTIAL when completed. Fax to: AMS HQ 215 Huron Street, $\mathbf{4}^{\text{th}}$ floor, 416-971-2426

1.	Complete the following information to identify yourself:							
	Name:	Last name	(Please print):			First name:		Initial :
		Departmen	nt/Faculty:			Date:		-
		Your job tit	tle:			Personnel #:		-
	AMS ID:					Phone:		
	Check one:	<u>Set</u>	tup new AMS I	D 🗌	<u>Update</u>	e existing AMS ID	<u>Delete</u>	AMS ID
2.						rk for addition or delecentre at the top of		
	Commitme Centre N		Commitmen	t Fund	Centre De	escription	Addition	Deletion
3.	Form must co	ontain Cor	ntact Person fo	r Pl.				
	Person to conta	ct (Please pr	int)	Title)		Univ.Te	el.#
	E-Mail address						_	
4.	Form must co approval.	ntain the B	Business Office	ers signa	iture and y	your Department Hea	ad's signatur	e of
	Business Office	r's Signature)	Date)			
	Department Head's Name (Please print))		Univ.Te	el.#
	Signature			Date	9			



University of Toronto

PRINCIPAL INVESTIGATOR

ANNUAL ADMINISTRATIVE ACCOUNTABILITY REPORT

TO:				
	One level up (usually a Principal, Dean or senior administrator)			
FRC				
	Principal Investigator			
reso	the past year, this report provides all the relevant information in connection with the finan urce management of my research grants and contracts. I have certified with a check man wing statements is true, or if I have been unable to answer "Yes" to any of them, I have pw.	k that ead	ch of the	
1.	I have read and agree with the summary of conditions of my research project(s) as presented in the funded research digest(s).	Yes	No	N/A
2.	I believe I have complied with the terms and conditions of the grants and contracts I have received. All the expenditures were:	Yes	No	N/A
	 a) for the purpose of the project or program for which the award was made b) in accordance with the approved budget, and c) necessary to the research endeavour being undertaken. 			
3.	I have approved all expenditures from my research accounts (including review of original vouchers, stubs, receipts and other documentation), by personally approving or delegating authority in writing to another individual to approve expenditures, describing the necessity for it. I have retained the documentation confirming the delegation.	Yes	No	N/A
4.	I have personally reviewed financial reports for my grants and contracts and have satisfied myself as to the accuracy and completeness of these records.	Yes	No	N/A
5.	I have scrutinized the payroll distribution report for legitimacy of payroll expenditures on at least a quarterly basis.	Yes	No	N/A
6.	Uncommitted balances have either been refunded or proposals for alternate uses submitted to sponsors.	Yes	No	N/A
7.	I believe I have followed all applicable University policies and procedures, including University purchasing policies and procedures when obtaining goods and services, and University human resources policies and procedures with respect to the hiring and termination of employees.	Yes	No	N/A
8.	I am aware of my responsibilities for health and safety as outlined in the University's Occupational Health and Safety Management System and have carried them out to the best of my ability.	Yes	No	
9.	I have received a copy of the University's policy on conflict of interest which pertains to my position, read it, and am in compliance with it.	Yes	No	N/A
10.	I have received a copy of the University's policy on ethical conduct in research and the relevant guidelines from my division, read them, and am in compliance with them.	Yes	No	N/A
11.	I have put procedures in place to ensure that the faculty and staff who report directly to me have been made aware of the Conflict of Interest Policy relevant to them, and I have received written acknowledgement from any staff who is a member of the senior management group as required.	Yes	No	N/A

12	 I have personally reviewed and approved all re- reimbursements and accountable advance settl report directly to me. 		Yes	No	N/A
13	. I have evaluated the performance of the faculty and have confirmed their evaluations in writing.	and staff who report directly to me	Yes	No	N/A
Cc	omments (if additional space is required, please atta	ach additional pages)			
Siţ	gnature of Principal Investigator Unit	Date			
Se	ee below for locations of applicable policies an	nd procedures.			
	ANNUAL ACCO	OUNTABILITY REPORTS			
	LOCATIONS OF PO	DLICIES AND PROCEDURES			
Manua	ls				
1.	FINANCIAL	Guide to Financial Manageme	nt		
2.	HUMAN RESOURCES	Chapter 1, Section 1.2 Manual of Staff Policies (Blue	or Green	Book)	
3.	PURCHASING	Purchasing Policy			
4.	CONFLICT OF INTEREST	Manual of Staff Policies (Blue	or Green	Book)	
5.	BUDGETS AND LONG TERM OPERATIN PLANS	G Budget (Blue Book)			

6. ETHICAL CONDUCT IN RESEARCH

7. RECORDS MANAGEMENT

8. HEALTH AND SAFETY

Research policies and Procedures (Purple Book)

Records Management Manual (Grey Book)

Health and Safety Manual

Web Documentation

1. FINANCIAL <u>Guide to Financial Management</u> Chapter 1, Section 1.2

2. HUMAN RESOURCES HR Home Page

http://www.utoronto.ca/hrhome

3. ETHICAL CONDUCT IN RESEARCH Research Policies and Procedures

http://www.rir.utoronto.ca

4. RECORDS MANAGEMENT AMS Home Page

http://www.utoronto.ca/ams

5. HEALTH AND SAFETY EHS Manual

http://www.utoronto.ca/safety/manindex.htm

Occupational Health and Safety Management System

http://www.utoronto.ca/safety/mgsys0.htm

6. INTERNAL AUDIT Procedure Reporting incidents of Suspected Financial

Impropriety

http://www.internalaudit.utoronto.ca/English/Reporting-Incidents-of-Suspected-Financial-Impropriety.html



UNIVERSITY OF TORONTO INVENTIONS POLICY CONFIDENTIAL INTELLECTUAL PROPERTY DISCLOSURE

Office of the Vice-President - Research and International Relations 27 King's College Circle, Room 133-S Tel: (416) 978-7833 Fax: (416) 9

Fax: (416) 978-5821 email: monique.mcnaughton@utoronto.ca

	UNIVERSITY PERSONNEL NO.	DEPARTMENT (LIST ANY CROSS APPOINTMENTS OR AFFILIATED INSTITUTIONS)	AFFILIATION WITH UNIVERSITY (i.e. faculty, res. assoc., post-doc, student, staff, visitor, etc.)	CURRENT ADDRESS, PHONE, FAX, EMAIL
p) External Invent Please provide names ntellectual Property, i.e	and affiliations of r	tributors: non-University of Toronto industrials, academic collaborators, e	dividuals who have made a dtc.)	creative contribution
Description: Please highlight the no	velty or patentable a	aspects of this Intellectual Pr	operty; attach a separate she	eet if necessary)
	velty or patentable a	aspects of this Intellectual Pr	operty; attach a separate she	eet if necessary)
	velty or patentable a	aspects of this Intellectual Pr	operty; attach a separate she	eet if necessary)
	velty or patentable a	aspects of this Intellectual Pr	operty; attach a separate she	eet if necessary)

	GIV	ANT OR CONTRACT FUND #	INTELLECTUAL PROPERTY TERMS & CONDITIONS
Vhere did the work l	eading to this Intel	lectual Property take pla	ce?
	boration or other a	any software licence, ragreement, written or ora	I, not referenced in Sect
Vhat are the potentia	al applications and	or sources of revenue fr	om this Intellectual Prop
Varranty:			
We, the Inventors/Contribu	ed in this disclosure is o	a), have read, understood and ag omplete and correct. To the bes Property are identified in Section	st of our knowledge, all persons
We, the Inventors/Contribull of the information providegally make an ownership	ed in this disclosure is o claim in this Intellectual F	omplete and correct. To the best Property are identified in Section	et of our knowledge, all persons 2(a) and 2(b).
III of the information provide	ed in this disclosure is o	omplete and correct. To the bes	st of our knowledge, all persons

For more information on University of Toronto intellectual property policies, please call 416-978-7833 or access http://www.library.utoronto.ca/techtran/.

For information on commercialization processes and procedures please call the Innovations Foundation at 416-978-5117.

4.

p.3 First Things First

- \$10,000 Connaught Start-Up Grant
- Transferring Grants from Another Institution

p.4 Forms & Signatures

- RIS Form
- Grant Application Signatures
- Research Agreement Signatures

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- Funds & FReDs
- My Research Online
- Administrative Coordinators
- Administrative Accountability Report

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- UTM: Research Office
- Simcoe Hall: UTRS

p.10 Research-Related Policies

- Publication Policy
- Copyright Policy
- Inventions Policy
- Conflict of Interest

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- Connaught New Staff Matchin Award
- SSHRC Standard Research Grant
- NSERC Discovery Grant
- CIHR Operating Grant
- NIH R01 Grant
- Self-Funded Research Grant
- Infrastructure Grants

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- UTM's Research Website
- UTRS Website & Funding Database
- Community of Science Funding Database

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- RIS Application Attachment
- Sample FReD (Funded Research Digest)
- AMS Access Form
- Administrative Accountability Report
- Confidential Invention Disclosure Form



An important component of the mission of the University of Toronto is for the institution to serve an internationally significant research role. U of T Mississauga is one part of an expansive research institution—the University of Toronto is Canada's largest and most distinguished university, with active research across three campuses and in its nine fully affiliated hospitals. In such a complex research environment it can be easy for confusion to arise about the administrative policies and procedures that govern the research enterprise. This guide is intended to give all new faculty a practical overview of the research policies and procedures at U of T Mississauga.

The very first thing all new faculty should do upon their arrival at U of T Mississauga is to complete the application for the Connaught Start-Up grant. This grant provides \$10,000 to all new tenured and tenure-stream faculty in order to help meet some of the immediate costs of initiating research. The Connaught Start-Up grant is awarded to all eligible applicants, regardless of professorial rank, who apply, but the application must be received within one year of the faculty member's appointment date at the University of Toronto. There is really no reason to delay applying for the \$10,000 start-up grant—the application form (Appendix A) is probably the shortest and simplest grant application in existence.

\$10,000 Connaught Start-Up Grant

Faculty who are transferring to U of T Mississauga from another institution may have existing research grants, contracts or other awards which will need to be transferred to the University of Toronto. The procedures for transferring grants between institutions vary depending on the policies of the research sponsor, so faculty looking to transfer a grant(s) should contact the U of T Mississauga Research Office for specific advice on the necessary administrative procedures. Transferring grants between institutions can be a complex process, and can take many months, so it is wise to begin this process as soon as possible.

Transferring Grants from Another Institution

Expertise Database

It is completly optional, but why not add your contact details and information about your research interests to the U of T Mississauga Expertise Database? This on-line resource allows potential research partners and industry sponsors to readily identify faculty with whom they may wish to pursue collaborations.

■ www.utm.utoronto.ca/users.0.html

First Things First

connaught Start-u cointee: cointees are not eligible. ds will be applied:		under this	s program.
ointees are not eligibl	e for support i	under this	s program.
ointees are not eligibl	e for support t	under this	s program.
ds will be applied:			
ds will be applied:			
ds will be applied:			
ds will be applied:	-		
ds will be applied:	-		
ds will be applied:	-		
	_		
e used for research inv Animals	olving:		Biohazardous Agen
section of the RIS app	lication attach	ment enc	losed.
tion, is worthy of sup	port from th	e Conna	ught Fund.
boint Mama and Univer	city Unit	_	Date
min rume and Oniver	my Cult		1741C
be referred to the Co	nnaught Secr	retariat a	t 416-978-6475.
RIS application attac	hment to:		
	Animals section of the RIS appi ns taken up a new te ns is correct. I confirm tion, is worthy of sup rint Name and Univers ns of the appointee as the referred to the Co RIS application attace stant to the Connaugus	section of the RIS application attach that staken up a new tenured or ter in is correct. I confirm that this is tion, is worthy of support from the trint Name and University Unit the of the appointee as soon as power referred to the Connaught Sec. Section 21 to the Connaught Sec. Section attachment to: stant to the Connaught Committee stant to the Connaught Committee.	Animals I I Animals I I I section of the RIS application attachment enc has taken up a new tenured or tenure-stree n is correct. I confirm that this individual tion, is worthy of support from the Conna reint Name and University Unit ne of the appointee as soon as possible follo he referred to the Connaught Secretariat at

The Connaught Start-Up grant application is a simple, one-page form.

RIS Form Faculty new to the University of Toronto will quickly become intimately familiar with the (Research Information Systems) RIS Application Attachment form (Appendix B). Each grant application or research contract proposal prepared by a researcher must be accompanied by a completed RIS form when it is sent to Research Services (UTRS), which is located in Simcoe Hall on the central campus, for institutional endorsement. Those who have been at UTM for a few years may refer to the RIS form as "the blue form", as in the days before form-fillable PDF files the RIS form was printed on blue paper.

> There are two important administrative sections of the RIS form to note: Ethical Reviews and Approval Signatures. If you will be using human subjects, animals, or biohazardous agents in your research, you will need to apply for an approved Ethics Protocol through the Ethics Review Office (ERO) on the downtown campus. Detailed information about Ethics at U of T Mississauga is available in the Research' section of the U of T Mississauga website.

The RIS form needs to be signed by three people prior to being sent to Research Services:

- the applicant;
- the applicant's Chair; and
- the UTM Vice-Principal: Research.

Application Signatures

Approval signatures are often needed not only on the RIS form, but also on most grant applications themselves.

University Signature: Signing authority on grant applications rests with the University rather than the individual investigator or Chair. UTRS is the only place to obtain the institutional endorsement needed on most grant applications. The university's approval signatures confirm for the sponsor that:

- The applicant is affiliated with the university (consistent with any agency requirements with respect to rank), is undertaking independent research and has time, space, and basic facilities available:
- The research is consistent with university and sponsor policies; and
- The administration of, and accounting for, funds received by the university on behalf of the application will meet the sponsor's terms and conditions.

In confirming these points, UTRS relies on the prior assurances and approval signatures provided by the applicant, Departmental Chair, and U of T Mississauga Vice-Principal: Research.

U of T Mississauga Vice-Principal: Research & Departmental Chair Signatures: These signatures confirm for UTRS, and the research sponsor, that:

- The applicant is a faculty member at U of T Mississauga;
- The proposed research is consistent with university and sponsor policies;
- The academic unit is willing and able to administer the research funding, consistent with university and sponsor policies;
- Adequate space and facilities are available to allow the proposed research to be carried out; and
- The time is available for the applicant to do the proposed independent research.

All U of T Mississauga research funding applications must bear the signature of the Chair or Director and the U of T Mississauga Vice-Principal: Research, whether or not the sponsor requires this.

Signing authority for research agreements vests with the Vice-President, Research & Associate Provost and those designated by the Vice-President. Researchers themselves are not authorized to sign agreements on behalf of the University of Toronto. UTRS must review and approve all research-related agreements that name the University of Toronto, including:

Research Agreement Signatures

- Research Grants or Contracts;
- Collaboration, Licensing or Partnership Agreements;
- Material Transfer Agreements; and
- Confidentiality or Non-Disclosure Agreements.







Funds & FReDs A few weeks after the Connaught Start-Up grant application and accompanying RIS form are sent to UTRS, a fund will be established in the University's Financial Information System (FIS) in the name of the principal investigator. Every grant is set up in a separate fund, allowing UTRS to generate the necessary financial statements for research sponsors.

> Each time UTRS creates a research fund, they simultaneously create a funded-research digest, also known as a FReD (Appendix C). The FReD provides the principal investigator and his/her Administrative Coordinator with all the details of the award, including any budgetary restrictions. Copies of FReDs are no longer mailed directly to principal investigators, but FReDs may be printed by the Administrative Coordinators.

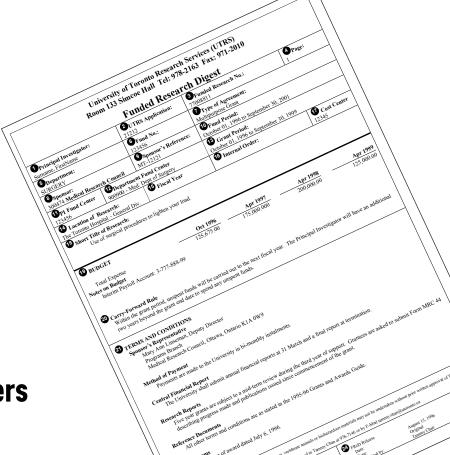
> One of the most important details provided on the FReD is the 'Fund End Date'. Keen researchers will ensure that the grant award has been entirely spent by the fund end date, whenever possible.

My Research Online

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AMS Access form.

My Research Online (MRO) is a web-based system that allows principal investigators to view their FReDs, the balance of their research funds, and the details of expenses that have been charged to their funds. Researchers must complete an AMS Access Form (Appendix D) to request access to their secure page on the MRO database, and the form must be signed by the faculty's Chair and Administrative Coordinator. Researchers are accountable for any funds that they may receive, and a standard expectation is that all accounts are reviewed monthly. Account review requires formal action by way of clicking on a specific acknowledgement button that the account(s) has been reviewed.



Financial Matters

Get advice from the Administrative Coordinator.

The Administrative Coordinators are vital resource people for new faculty, as they are intimately familiar with the day-to-day administrative issues regarding research grants. For instance, most grants are subject to rules regarding eligible and ineligible expenses, and the University of Toronto itself has policies and procedures to govern travel, equipment purchases and hiring. The Administrative Coordinators are experts at navigating the guidelines and policies, so it is the wise grant-holder who seeks their counsel when preparing the budgetary section of grant applications and after the grant has been awarded. The Research Office can also provide assistance in explaining policies and guidelines related to development of budget proposals.

The University of Toronto's primary accountability tool for principal investigators is the Administrative Accountability Report (Appendix E), which lists the researchers' financial, ethical and human resource management accountability responsibilities. All principal investigators must complete and sign the form annually. Typically the Administrative Coordinator and Chair will coordinate the collection of these reports. All policies, procedures and guidelines mentioned in the Accountability Report are available for access on-line.

Administrative Accountability Report

Accountability Reports must be completed annually.





As previously noted, the University of Toronto is Canada's largest and most distinguished university. As such, the University of Toronto offers a vast array of services to support the research enterprise—some centralized, serving the entire University out of Simcoe Hall, and some decentralized, serving the local U of T Mississauga community.

Research Office

The Research Office aims to serve in a facilitation role to help U of T Mississauga colleagues achieve their aspirations in research, and to help faculty develop and implement broad strategic visions at U of T Mississauga. In addition to serving as a liaison with the UTRS offices, the RGO administrators: maintain the 'Research' portion of the U of T Mississauga website, which serves to make up-to-date research news readily available to faculty; coordinate research publicity and community outreach activities; and work overall to enhance the research enterprise at UTM. The VP: Research also oversees U of T Mississauga's two research service units, the Vivarium and Machine Shop.

The Research Office also coordinates the efforts of two local research committees:

- Undergraduate Ethics Review Committee: Responsible for ensuring that all undergraduate research at U of T Mississauga that involves human subjects is conducted in accordance with the highest ethical standards as set in the Tri-Council Policy Statement for Ethical Conduct for Research Involving Humans.
- Local Animal Care Committee: Responsible for ensuring that all teaching and research at U of T Mississauga that involves animals is conducted in accordance with the ethical standards set by the Canadian Council on Animal Care & Ontario's Animals for Research Act.

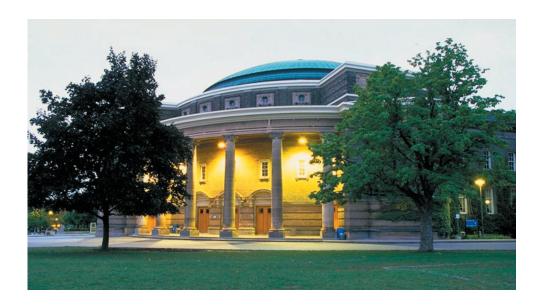
The Research Innovation Commercialization Centre (RIC) is closely linked to the Research Office, and has a significant presence on the U of T Mississauga campus. The RIC operates as the focal point mechanism for bridging academia with local industries and government, and offers many on-campus events of mutual benefit to scholars and entrepreneurs.



UTRS offers the centralized administration of research awards for all three University of Toronto campuses, and is the key office to provide institutional approval and/or endorsement for research applications. UTRS is the main office that most faculty will deal with at Simcoe Hall, but UTRS works very collaboratively with a number of other services offices that are sometimes also referred to as part of UTRS:

University of Toronto Research Services (UTRS)

- Government Research & Infrastructure Programs (GRIP): The GRIP office is responsible for coordinating and facilitating large-scale infrastructure funding applications.
- Ethics Review Office (ERO): The ERO is responsible for reviewing all graduate and faculty research activities that involve the use of human subjects, animals and/or biohazardous materials.
- International Research Development (IRD): This office supports international project development and identifies research funding sources for international endeavours.
- The Innovations Group: This office was established to assist faculty in commercializing the results of their research activities.



Below are brief summaries of the most relevant research-related policies in effect at the University of Toronto. All faculty are encouraged to read the full text of these policies, and other policies of interest, which are publicly available on the Governing Council's website.

Publication Policy

The University of Toronto's publication policy affirms that U of T Mississauga researchers, including faculty, staff and students, will always have the right to publish the results of their research activities, assuming that they do not disclose another's confidential information in the content of the proposed publication. In some circumstances there may be a contractual agreement between the University and a research sponsor which may grant the sponsor the right to review or delay a proposed publication. Such a delay should not exceed twelve months and should not ordinarily apply to the publication of a graduate student's thesis.

Copyright Policy

According to the copyright policy, in most circumstances the creator of a work owns the copyright for that work. If a work was created with a substantial use of University resources, then the University reserves the right to a 25% share of net revenue generated by the work and the right to use the work for research and teaching purposes. The University will only claim copyright ownership in works which are specifically commissioned by the University or which are created by administrative staff in the course of their employment at the University. While software is protected legally by copyright, for the purposes of the University's policies, computer software (excluding instructional applications) is to be considered an invention, and is subsequently covered under the inventions policy rather than the copyright policy.

The inventions policy states that the inventor and the University normally share the rights to an invention, unless a third party, such as a corporate sponsor, is granted rights in a preexisting contractual agreement. An inventor may choose to assume full responsibility for the legal protection and commercialization of the invention. In this case, the University will assign its rights to the inventor in return for 25% of future net revenues. If the inventor does not want to assume the legal and commercialization obligations for the invention, then the University may require the inventor to assign all his/her rights to the University in return for the first \$1,000 of, and 25% of subsequent, net revenues. The University will only claim exclusive rights to inventions which are made in the course of activities performed under the explicit direction of faculty or staff, specifically for the purpose of making the invention. The Inventions policy is not intended to apply to inventions created in the course of demonstrably private research unrelated to the inventor's University functions, or in the course of private consulting activities to outside bodies, when such activities do not involve any substantial use of University facilities.

Invention Disclosures: All University researchers have an obligation to disclose the details of their inventions and/or discoveries to the University through the Confidential Invention Disclosure form (Appendix F) which is submitted to the Intellectual Property Officer at UTRS. Upon disclosure to the Intellectual Property Officer, the University will work with the inventor or the team of inventors to determine the best course of action as per the Inventions policy.

Some research activities require the prior written approval of the U of T Mississauga Chair, Director, or Dean:

- All major paid professional activities, such as private research consulting activities;
- The use of U of T Mississauga facilities, supplies, support staff, or students for privately undertaken work or research consulting activities;
- The hiring of, purchasing from, selling to, or conferring or denying any financial or commercial benefit on any member of the faculty member's immediate family or a person with whom there exists, or has recently existed, an intimate personal relationship;
- Any research undertaken by a faculty member for a company or organization in which a significant financial interest is held by the faculty member, any member of the faculty member's immediate family, or any person with whom there exists, or has recently existed, an intimate personal relationship.

Inventions Policy

Invention Disclosure form.

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Conflict of Interest

With the Connaught Start-Up grant in hand, new faculty can begin their research, but the \$10,000 never lasts very long, and faculty must search for additional research funding sources. Common sources include:

Connaught New Staff Matching Award

Successful applicants to this annual competition will receive funding up to twice the amount contributed by the applicant's department or faculty, up to a maximum from Connaught of \$30,000. Those eligible to apply include all full-time tenure-stream appointees up to and including the Assistant Professor level, who are within the first two years of their first academic appointment at the University of Toronto. Deadline: December.

SSHRC Standard Research Grant

The annual Standard Research Grant competition held by the Social Sciences & Humanities Research Council provides a successful applicant with up to \$250,000 for a three year project. Deadline: October.

NSERC Discovery Grant

The Natrual Sciences & Engineering Research Council's annual Discovery Grant competition supports five-year, ongoing programs of research by individuals or groups. Notification of intent to apply dead-line: August. Full application deadline: November.

CIHR Operating Grant

The biannual Canadian Institutes of Health Research Operating Grant competition provides support for a research project by an individual or small group of investigators. Awards are usually awarded from two, to five years, but non-renewable short-term grants of six months, one year or two years may be awarded for discrete, time-limited projects such as pilot projects and feasibility studies. Notification of intent to apply deadlines: August & February. Full application deadlines: September & March.

The National Institutes of Health is the steward of medical and behavioral research in the United States. Grant applications from Canadian institutions are welcome, but reviewers will assess whether comparable work is being done in the U.S., and if it is, the project will not likely be funded. Highly qualified Canadian applicants who have unique expertise or resources not available in the U.S. have a good chance of getting an award. Deadlines: February, June & October.

NIH R01 Grant

The Self-Funded Research Grant program permits, under certain conditions, faculty to receive a research grant in lieu of salary through a mechanism that includes peer review. Once the self-funded research grant has been awarded, the funds are no longer considered to be salary, but instead constitute a research grant which is subject to the regulations of the program and the research-related policies of the University. Grants awarded under this program are regarded as taxable income for the recipient, but will be treated as T4A income for tax purposes and no income tax will be deducted. The grant recipient is responsible for reporting the income to the Canada Customs and Revenue Agency (CCRA) and declaring eligible expenditures against it. The peer review committee meets four times a year to review applications. Application deadlines: February, May, August & November.

Self-Funded Research Grant

The Canada Foundation for Innovation and the Ontario Research Fund both provide infrastructure support for university faculty. Researchers interesting in applying for infrastructure funding should review the Research Office website or contact the Research Office directly for additional program details.

Infrastructure Grants



UTM's Research Website

The U of T Mississauga Research website contains research news and funding announcements, and also detailed webpages for the common research funding sources. These pages are updated daily and can be relied on for succinct information. Check the main 'Research' page daily for news and announcements.

■ Website: www.utm.utoronto.ca/research

UTRS Website & Funding Database

The website maintained by UTRS is also a wealth of information, and includes a funding database of all the research sponsors who are funding or have funded researchers at the University of Toronto. This database is unfortunately not regularly updated, but can give researchers an excellent overview of the research funding opportunities available.

■ Website: www.research.utoronto.ca

■ Funding Database: http://link.library.utoronto.ca/rir/

Community of Science Funding Database

The Community of Science (COS) website is the crème-de-la crème of research funding websites. The COS site is updated daily and allows registered users access to search more than 23,000 records, representing over 400,000 funding opportunities, worth over \$33 billion. The University of Toronto subscribes to COS on behalf of all faculty, but individual users must still register in order to access the COS services. Once registered, users can subscribe to a weekly e-mail notification which provides a list of research funding opportunities in research areas chosen by the user.

■ Website: www.cos.com

■ Funding Database: http://fundingopps.cos.com/



■ CFI: Canada Foundation for Innovation

Glossary

- CIHR: Canadian Institutes of Health Research
- COS: Community of Science
- ERO: Ethics Review Office at the St. George Campus
- FIS: Financial Information Systems
- FReD: Funded Research Digest
- GRIP: Government Research & Infrastructure Programs at the St. George Campus
- IRD: International Research Development at the St. George Campus
- MRO: My Research Online
- NIH: National Institutes of Health (US)
- NSERC: Natural Sciences & Engineering Research Council
- RIS form: Research Information Systems Application Attachment
- SSHRC: Social Sciences & Humanities Research Council
- UTIF: University of Toronto Innovations Foundation at the St. George Campus
- UTRS: University of Toronto Research Services at the St. George Campus
- WGTACC: Western Greater Toronto Area Convergence Centre

Website Listings

University of Toronto Mississauga Research Office

■ Website: www.utm.utoronto.ca/research

University of Toronto Research Services

■ Website: www.research.utoronto.ca

University of Toronto Governing Council Policies

■ Website: www.utoronto.ca/govcncl/pap/index.htm

A: Connaught Start-Up Grant Application

B: RIS Application Attachment

C: Sample FReD (Funded Research Digest)

D: AMS Access Form

E: Administrative Accountability Report

F: Confidential Invention Disclosure Form



