

Roles and Responsibilities of Employees Involved in Applied Research & Innovation Projects

A. Preamble

The Applied Research & Innovation (ARI) Standard Operating Procedures (SOPs) have been developed to guide responsible and ethical research and innovation activity at Humber College Institute of Technology and Advanced Learning. Canada's federal research and innovation granting agencies, the Natural Sciences and Engineering Research Council of Canada (NSERC), Social Sciences and Humanities Research Council (SSHRC), and Canadian Institutes of Health Research (CIHR) - collectively, the "Tri-Agencies" - are committed to fostering and maintaining an environment that supports the ethical and responsible conduct of research. As an institution that is eligible for Tri-Agency funding, Humber, and by extension all Humber researchers, is bound by agreements that govern, support and promote positive research environments. The information in this SOP reflects Humber's obligations to comply with these agreements for management and administration of funding for research and innovation projects¹, as well as internal best practices that have been established to promote effective research operations.

B. Humber Employees as Project Leads, Principal applicants and/or co-applicants

An employee may be listed as Project Lead or Principal Applicant on only one project at a time. An employee may be listed as a co-investigator or collaborator on multiple projects at a time. Involvement in multiple projects has the potential to cause undue workload and compromise the quality of the research projects.

Therefore, if an employees want to be involved with multiple concurrent projects, they must 1) be prepared to justify how they will manage the time commitments of the proposed projects in addition to their existing responsibilities as Humber employees; 2) have specific approval to do this from their deans or managers; and 3) receive approval from ARI.

ARI approval of internal and external funding applications signifies that the project is feasible and the applicants have the time, resources and expertise to complete a project within a proposed timeline. ARI may refuse approval of funding applications that represent an unreasonable workload for one or more Humber employee applicants.

C. Financial Compensation for Time

Generally, employees involved in a project will fall into one of the following categories.

Partnered:

- Full time employee with no prior connection or relationship to the partner
- Part time employee with no prior connection or relationship to the partner
- Full time employee with an established but not compensated relationship to the partner

¹ This includes the [Tri-Agency Framework: Responsible Conduct of Research](#).



- Part time employee with an established but not compensated relationship to the partner
- Full time employee with an established and compensated or potentially compensated relationship to the partner
- Part time employee with an established and compensated or potentially compensated relationship to the partner

Non-partnered:

- Full time employee with an innovation idea they want to move to a commercialization
- Part time employee with an innovation idea they want to move to a commercialization
- Full time employee with an innovation or idea that is unlikely to be commercialized or profitable
- Part time employee with an innovation or idea that is unlikely to be commercialized or profitable

In all instances, the following guidelines apply.

Full-time employees:

- May never receive direct compensation from a grant or the college as a result of their involvement in a research and innovation project;
- May be given release from their teaching or administrative duties to participate in an ARI project, in compliance with relevant funding guidelines.

Part-time employees involved in an ARI project may receive direct compensation for time spent on a grant as follows:

- Maximum salary cannot exceed that of a full-time employee (when calculated on an annual and hourly basis), in accordance with NSERC guidelines;
- The hours and expectations must be agreed upon in advance and must be approved by the departmental Dean or Director;
- All parties must sign an agreement outlining the roles and responsibilities of project team members, identifying anticipated milestones and deliverables, and acknowledging all project funding sources, including in-kind contributions of the college, partners, and other project stakeholders.

The following applies to a Humber employee who may personally profit from the proposed idea or innovation by having a role within a partnering organization (e.g. as a partner or patent holder (actual or potential)) or having an innovative product, service, or idea that the employee wants to commercialize; (refer also to Standard Operating Procedure III: Conflict of Interest in Applied Research & Innovation):

- The employee can only be compensated for time spent training students outside of the classroom; Fulltime employees cannot receive direct payment to develop their business innovation; Part-time employees must contribute a portion of time committed to a project as an in-kind contribution; and - An employee can never be both the partner and the Humber project lead.

This SOP does not apply to agreements separately negotiated between Humber employees and external partners, though conflicts of interest must be declared and managed as per the Standard Operating Procedure III: Conflict of Interest in Applied Research & Innovation and Humber's [Integrity in Research and Scholarship Policy and Procedure](#).



The above stipulations are not meant to limit the opportunities for employees to benefit from a fruitful collaboration. However, it is possible that as a result of a positive collaborative experience, an employee may:

- Be named as a co-inventor on a patent application; and/or
- Become a shareholder or partner in an existing business; and/or
- Develop a new business with their collaborators.

In the event of a situation wherein an employee has the potential for personal benefit, the benefit must be declared. If an agreement for personal financial benefit is reached during a project, there must be a discussion regarding possible courses of action regarding compensation and declaration of conflicts of interest to ensure appropriate action and/or precautions can be implemented.

D. Project Agreements

All projects will have a signed agreement in place among all partners. This agreement must be signed by the Dean of ARI, the Dean of the involved school(s), the project lead, and any external partners. Depending on the terms of the contract, the signature of the Humber Vice President, Academic may also be required.

For projects with external partners, the agreement must also be signed by Humber's Associate Vice President, Administrative Services. The signatory from the partner organization must be an individual with signing authority who can ensure and enforce the contents of the agreement.

In some circumstances, a grant application may serve as the agreement. However, an additional agreement is required when: - Required by the funding agency;

- Requested by the external partner;
- A project is supported with internal funds only; and/or
- Deemed necessary by the Dean of ARI to ensure obligations are clearly specified and agreed upon by all parties.

E. Ethical Conduct for Research Involving Humans

All employees involved in a project requiring Research Ethics Board (REB) approval must complete the [TriCouncil Policy Statement 2: Course on Research Ethics \(TCPS 2: CORE\)](#) and provide the completed certificate to the REB along with their ethics application. Completion of the TCPS 2: CORE is only required once, though updated versions of the TCPS may require additional training obligations in the future.

For projects that involve human participants, continued access to funding requires active REB approval for the duration of the study.

F. Research Assistant Recruitment and Supervision

It is the responsibility of the project lead to identify students for a research and innovation project. Provided that the potential students will receive either compensation appropriate for the position or academic credit directly relevant to their program of study, ARI staff will assist in recruiting by:

- Providing a template for developing a job posting;
- Posting the position with the Humber Career Centre; and/or
- Disseminating the opportunity to relevant Humber programs, schools or departments. ARI staff will not assist in the recruitment of volunteer research assistants.

All employees responsible for supervising students must complete the Humber Employee Health & Safety Training – Supervisor Training. The project lead or a designate must be physically present and available during the supervisory period. If the project lead is on leave from the college (i.e. sabbatical, parental leave, sick leave or any other type of administrative leave), s/he must identify an eligible Humber employee member to supervise the student(s) in her/his absence. If research assistants are required to work during breaks (i.e. December holidays, reading week, summer break), a Humber employee must be available on site to supervise.

G. Reporting Obligations

The project lead must complete any reporting in compliance with internal and/or external funding requirements. These requirements will normally be specified at the beginning of a project. A final report is required at the end of each funding period, regardless of whether the project is complete.

Project leads must comply with end of study reporting requirements for both internal and external funds regardless of whether requirements change during the course of a project. Research findings must be shared with Canadians for the benefit of Canadians. Humber does not support secret or classified research; this does not mean that trade secrets or patented materials must be shared, but rather the general outcome of the ARI project including the student experience.