

Responsibilities of Humber Applied Research & Innovation

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 & 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 – collectively, the “Tri-Agencies” – are committed to fostering and maintaining an environment that supports the 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 the obligation of Humber to comply with these agreements for management and administration of funding for research and innovation projects, as well as internal policies, procedures and processes that have been established to promote effective research operations.

B. Responsibilities of ARI: Overview

The primary responsibilities of the ARI are to:

- Identify funding opportunities and share them with the Humber community;
- Deliver workshops and seminars about conducting applied research to Humber employees;
- Provide oversight to Humber employees and/or partners during the preparation of grant applications;
- Provide assistance with the development of project-related budgets;
- Provide Human Resources (HR) support for project-related hiring and compensation;
- Liaise with project leads to ensure timely compensation for project team members;
- Liaise with funding agencies and other external stakeholders;
- Develop strategic initiatives that further Humber's research and innovation agenda;
- Assist with the preparation and approval of partnership agreements;
- Provide support for Humber staff who want to commercialize a new idea or prototype;
- Provide administrative support for internal and external funds in accordance with funding agency requirements and other obligations (see also SOP II: Financial Management);
- Provide opportunities for collaboration between Humber employees;
- Review and approve funding applications, provided that adequate time is given to accomplish this task;
- Provide guidance about compliance with the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans for projects that require Humber Research Ethics Board (REB) approval;
- Engage in outreach and communication of successful ARI projects; and
- Track project-related metrics and outcomes and report to internal and external stakeholders.

Note that the turnaround time for any given service depends heavily on volume and competing deadlines. As per the [Research Contracts, Grants and Fund Administration Policies and Procedures](#), faculty and staff who intend to apply for external funding must contact the ARI as early as possible to ensure appropriate support and proper allocation of resources.

C. Project Funding

Internal: There are several internal funding programs available to Humber employees who want to engage in applied research and innovation activities. All internal funding opportunities follow a competitive review process. These opportunities can be found on the [ARI website](#). ARI encourages Humber employees interested in applying to any internal funding program to contact ARI before preparing the application in order to ensure compliance with the guidelines and expectations of the respective program.

External: Many external research and innovation funding opportunities for colleges must be submitted by an administrative staff member (i.e. ARI staff or a Dean or Associate Dean). In these cases, ARI will work with the project lead, co-applicants, and collaborators to prepare and submit a funding application. Where the project lead can be the applicant, ARI will work with the applicant to develop a strong proposal.

Most external funding agencies, including NSERC and SSHRC, require institutional approval for all applications before they can be submitted. When ARI provides institutional approval, this indicates to the potential funder that:

- ARI has reviewed the entire application;
- The application is complete;
- The proposed budget is realistic and reflects the true cost to complete the project;
- The project lead expertise is as stated and adequate to supervise the proposed project;
- The Humber employee(s) involved will have the time and resources necessary to complete the proposed project; and
- ARI will manage the funds in compliance with the external funding agency requirements.

Therefore, it is important to leave sufficient time for ARI to complete a comprehensive review of an application. If ARI does not have sufficient time to review a proposal and request changes as needed, the application may be denied institutional approval. Approval is not guaranteed upon review. The time required for internal review and/or approval varies depending on the funding opportunity. Researchers are expected to work closely with ARI throughout the grant application preparation process in order to ensure that all internal and external requirements are met. This will help to ensure the development of a high quality application that can be approved and submitted by the appropriate funding agency deadline.

D. Project Execution

A project lead is responsible for the execution of an ARI project, as outlined in an approved grant application, project agreement, partnership agreement and/or Memorandum of Understanding (MOU). In order to support an applied research and innovation project, ARI will:

- Manage funds awarded for project-related purposes,
- Provide HR support for project-related hiring and compensation,
- Communicate with external funding agencies and other relevant stakeholders,
- Work with project leads to prepare and submit reports in accordance with internal and/or external funding guidelines, and
- Ensure compliance with funder expectations.

E. Research Ethics

The Humber REB ensures the ethical acceptability of research involving human participants in accordance with the [Tri Council Policy Statement: Ethical Conduct for Research Involving Humans](#) (TCPS 2; refer to the Humber policy on [Ethical Conduct for Research Involving Humans](#)). Detailed information about the Humber REB can be found on the [ARI website](#). ARI staff can advise researchers about compliance with the TCPS 2 and relevant Humber policies and procedures and provide feedback on REB applications prior to submission.

F. Including Students in ARI projects

All ARI projects should include student involvement. It is the responsibility of the project lead to provide supervision, training and guidance to all students involved in a project. However, ARI does provide support for students recruited for applied research and innovation projects under the following circumstances:

1. As hired employees: When students will be compensated financially, as a member of the research team (i.e. as a research assistant). In this circumstance, the following applies:
 - All paid project team members must comply with Humber HR policies and complete mandatory training.
 - Students paid through ARI must comply with ARI compensation processes, which are explained at the signing of a contract. Timesheets are to be submitted and approved by the posted deadline.
 - Students cannot begin work on project activities before signing a contract with ARI and attending orientation.
2. For course credit: When students will benefit academically with contribution counted as course credit (i.e. capstone projects, internships, etc.). In this circumstance, ARI will provide research training and can organize insurance for offsite placements as necessary.

ARI does not support the recruitment of students to be:

- Participants/subjects in a research study, regardless of whether the participation involves compensation or,
- Unpaid workers or volunteers.

G. Expertise and Resources

All projects supported by ARI must involve a Humber employee (staff or faculty member) as a project lead. External stakeholders may collaborate on a project if they provide their expertise and/or access to relevant resources as an in-kind contribution. In accordance with Tri-Council funding requirements, external consultants may only be engaged in a project if the expertise does not already exist internally at Humber.

H. Metrics, Outcomes and Final Reports

Humber is a provincially supported institution with multiple partners and stakeholders. As such, Humber is obligated to report on outcomes related to ARI activities to internal and external stakeholders. It is the responsibility of Humber project leads to pre-define specific milestones and deliverables, track these for the duration of the project, and report outcomes to ARI. The outcome measures can vary by project and funder. However, for all projects, Humber employees will report, at minimum, the following metrics:

- Number of students engaged in the execution of an ARI project (i.e. paid research assistants, volunteers, those working through classroom assignments, etc.);
- Number of employees engaged in ARI projects and their experience/credentials;
- Number and type (i.e. community, industry/for-profit, not for profit, or academic) of external partners engaged in a project;
- Dollar value of innovation and applied research grants awarded to Humber employees;
- Dollar value of all other contributions, cash and in-kind, from project partners.

It is the responsibility of the project lead to track the progress of an ARI project. ARI will support these initiatives by:

- Posting information on our website and/or sharing information with external stakeholders (i.e. funders, advocates, applied research groups);
- Taking pictures and/or videos and developing materials to promote ARI in collaboration with the project lead and other team members, including students;
- Hosting an [online database](#) to capture all research and innovation activity at Humber (project leads are responsible for submitting content and ensuring information is accurate and up to date); and
- Tracking metrics and reporting to stakeholders (i.e. NSERC, Polytechnics Canada, CICan, etc.).