Western Research

CERTIFICATION COMPLIANCE FOR RESEARCH FUNDS

PURPOSE
The purpose of this policy is to ensure compliance for certifications is maintained throughout the full term(s) of awards and contracts for all research funds held at Western University.

INSTITUTION RESPONSIBILITY
Research Grants Management & Services office (RGMS) holds responsibility for:
- ensuring that all research is conducted in compliance with applicable international, federal and provincial regulations
- ensuring that all research is conducted in compliance with the integrity and policies of Western University and relevant granting sponsors, including the TriAgency.

POLICY
RGMS maintains the record of certification compliance for all research funds in the Research OnLine Administration (ROLA) system.

Prior to the initial release of research funds for awards and contracts, the PI must provide RGMS all relevant certification approval numbers, or a Release of Funds agreement. RGMS will monitor for continuing compliance of certifications throughout the full duration of each award and contract term.

To maintain compliance, the PI must provide to RGMS and the appropriate Certification Offices the information to correctly match all certification protocols to all relevant research funding. This information is provided by the PI, as only the PI can appropriately identify the correct matches of certification(s) for their research project(s).

SCOPE
Certification compliance is required for all research involving: humans, animals, and biosafety (radioactive materials, biological agents and/or dangerous goods). RGMS requires that anyone applying for, receiving, or transferring research funds to be held at Western comply with this policy.

DEFINITIONS
Animal Use requires all research involving animals (vertebrate or cephalopod) conducted by faculty, staff or students at Western or its affiliated hospitals or research institutes be approved by Western's Animal Use Subcommittee (AUS). The AUS policies and procedures are governed by the university senate committee, University Council on Animal Care (UCAC).

Biosafety refers to the safety measures taken with respect to the effects of biological research on humans, animals, plants and the environment. The Biosafety Committee is a sub-committee of the University Health and Safety Committee (UHSC), which makes recommendations to the UHSC on all matters pertaining to biosafety at Western. The Biosafety Committee is mandated to fulfill the responsibilities of a Research Institution Biological Safety Committee as described in the Canadian Biosafety Standards and Guidelines. These responsibilities include verifying that all work with

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biohazardous agents carried out at Western is performed in accordance with the safety practices as stated in the Canadian Guidelines.

Certification means approvals verified by Western's Certification Offices for animal use, biosafety, and/or human ethics.

Certification Offices are the offices authorized by Western with the responsibility and oversight for animal use (Animal Care and Veterinary Services), biosafety (Human Resources), and human ethics (Office of Research Ethics).

Human Ethics means all research involving humans conducted by faculty, staff or students at Western or its affiliated hospitals or research institutes. All research involving human ethics must be approved by a Western-sanctioned Research Ethics Board (REB). The Office of Research Ethics is the authorized body to approve the use of humans in research for Western and the London hospitals.

PI means the principal investigator or account holder for the research funds.

The **Release of Funds** process enables the PI to request conditional approval for release of research funds on any research project where animal use or human ethics will take place at a future date in the award term.

ROLA means the Research OnLine Administration corporate business system maintained by RGMS.

ROLA Proposal is the initial record created within the ROLA database for every research contract and grant application.

Sponsor is any entity which has a funding relationship with Western.

RELATED POLICIES
MAPP 7.0 – Academic Integrity in Research Activities
MAPP 7.5 – Research Grants
MAPP 7.12 – Policy and Procedures for the Use of Animals in Research and Teaching
MAPP 7.14 – Policy and Procedures for Ethical Review of Research Involving Human Participants

PROCEDURES
In each ROLA proposal, the PI identifies the requirement for Animal Use Subcommittee protocol approvals, Biosafety permits, and/or Human Ethics protocol approvals during the specified term(s) of the research funding, by checking all appropriate boxes in the Certification Tab in ROLA.

If available at the time of the ROLA proposal submission, the PI also provides all relevant certification approval numbers in the Certification Tab in ROLA.

Upon receipt of award by RGMS, the PI receives a notification from ROLA with a link to provide any outstanding certification approval detail. When involvement of humans or animals use does not occur until a future date, the PI must apply to RGMS for a Release of Funds agreement (detailed in Section 2).

1.0   CERTIFICATION REQUIREMENTS
1.1   All **Biosafety** active permits must be held by the PI or account holder who holds the award, in accordance with the policies of Western's Biosafety office, as outlined at:
http://www.uwo.ca/hr/safety/topics/biosafety/index.html

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1.1.2   To maintain ongoing compliance and access to research funds throughout the full term of all research funding periods, the PI must provide information on biosafety permits to RGMS and the Biosafety office, upon request.

1.2   The PI is required to follow Western's protocol for **animal use** in research, as outlined by Animal Care and Veterinary Services at:
http://www.uwo.ca/animal-research/compliance/protocols/protocol_review.html

     1.2.2   To maintain ongoing compliance and access to research funds throughout the full term of all research funding periods, the PI must provide information on animal use protocols to RGMS and Western's office of Animal Care and Veterinary Services, upon request.

1.3   The PI is required to follow Western's Office of Research Ethics protocol for **use of humans** in research, as outlined at: http://www.uwo.ca/research/services/ethics/index.html

     1.3.2   To maintain ongoing compliance and access to research funds throughout the full term of all research funding periods, the PI must provide information on human ethics protocols to RGMS and the Office of Research Ethics, upon request.

2.0   RELEASE OF FUNDS (DEFERRAL) FOR ANIMAL USE OR HUMAN ETHICS

2.1   The Release of Funds process enables researchers to request access to their research funding prior to obtaining approval for research involving humans or animals. In cases where projects are insufficiently advanced for review of the study protocol (e.g., questionnaires not yet developed), or where the portion of the research involving humans or animals does not occur until subsequent years of the project, investigators may apply to have their research funding conditionally released.
Link: http://www.uwo.ca/research/services/resources/procedures/release_of_funds.html

     2.1.1   The PI submits the Release of Funds agreement to RGMS, providing the following information:
- a brief description of the research,
- explanation why full approval is not being sought immediately, and
- the anticipated start date for research involving humans or animals.

2.2   If certification approval has not been provided to RGMS by the PI or the certification office, RGMS contacts the PI ninety (90) days prior to the expiry date of the Release of Funds to request follow up information.

To maintain access to research funds through the term of the project, the PI must forward to RGMS at rwrecords@uwo.ca, as appropriate:
- certification approval(s), or
- a request for an end date extension with an explanation as to why they require an extension via email.

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