

Completing the Investigator's Checklist: Instructions, Guidelines and Outline of Responsibilities
Office of Research Services
September 2023

1. BUDGET

All queries should be directed to Facilitators within the Grants & Contracts (grantsandcontracts@Dal.ca) or the Institutional & International Programs units (ird@dal.ca; cfi@dal.ca).

The expenses below must be included in all budget calculations. Researchers using any of these services, resources, or facilities are fully responsible for payment of all charges resulting from their use. If you require the assistance or services of any of the following, you will need to obtain cost estimates.

- a) *Associated Costs of Research – refer to Dalhousie's [Associated Costs of Research Policy](#) (formerly titled [Overhead on Research Funds Policy](#))*
Associated costs of research (commonly referred to as indirect costs or overhead) must be budgeted from the outset and included on all grants from government agencies, industry, private foundations or other institutions. If the funding agency has a policy that explicitly does not permit the payment of associated costs of research, this must be reviewed by a Facilitator within the Office of Research Services and brought forward to the OVPRI for approval.
- b) *Salaries/Stipends - please consult the [Faculty of Graduate Studies](#) for Dalhousie's recommended minimum funding levels*
When budgeting for salaries or stipends, please refer to the funding agency's or Faculty's guidelines concerning levels for students and post-doctoral fellows.
- c) *Fringe Benefits– be sure to consult the Grant-paid [Employer's Fringe Benefits](#) table*
The employer's contributions should be included within the budget. Fringe benefits are calculated as a percentage of salaries requested for regular employees (full and part time), casual employees, students and PDFs.
- d) *Harmonized Sales Tax (HST)*
Budget items that are subject to Goods and Services Tax must add 4.95%. This rate includes the Federal GST of 5% and the Provincial Sales Tax of 10% (15% HST less the 67% rebate that applies to the university).

2. CERTIFICATIONS

- a) *Research involving humans*
Researchers who are conducting research involving humans must have this research approved by a Dalhousie [Research Ethics](#) Board or affiliated teaching hospital's research ethics board at Nova Scotia Health, IWK Health Centre or Horizon Health Network prior to beginning this research. Research Ethics Board approval must be renewed annually for the duration of research involving humans to continue access to funding.

b) *Experimental Animals*

Applicants based in Halifax must complete the [University Committee on Laboratory Animals](#) (UCLA) protocol form to obtain certification for their experimental procedures. Applicants based in Truro must complete the [Animal Care and Use Committee](#) (ACUC) protocol form.

c) *Microorganisms, Living Cells, Biohazards, and Radiation*

Applicants should consult the [Environmental Health and Safety Office](#). Certificates must be renewed every two years.

As outlined in the [Research Accountability Statement](#), it is the responsibility of the Principal Investigator to ensure that the appropriate certifications are obtained and shared with ORS.

3. INDIGENOUS COMMUNITY ENGAGEMENT

If an application or workplan includes or seeks to include any Indigenous people(s), communities, organizations, perspectives, data, lands, waters, etc., appropriate documentation is required confirming Indigenous community consent and/or partnership evidence for the project. **This confirmation should be obtained prior to submission of an application to a funding organization or legal review of a research contract, as applicable.** This is a best practice – the whole Dalhousie research community has a collective responsibility to encourage and support best practice in working with Indigenous communities.

This includes research (or other activities) in any field or discipline that is conducted by, grounded in, or engaged with First Nations, Inuit, Métis or other Indigenous nations, lands, communities, societies or individuals, and their wisdom, cultures, experiences, or knowledge systems, as expressed in their dynamic forms, past and present.

4. INSTITUTIONAL AUTHORISATION

Whether a funding agency or other funding partner requires it or not, **all applications and/or related contracts and agreements for faculty members for external funding/other support to be administered by Dalhousie must be reviewed by the Office of Research Services (or the Office of Commercialization and Industry Engagement, as appropriate) and receive approval by the Vice-President Research and Innovation (or designate). For funding applications, such approval by the VPRI or delegate must be obtained before the applications are submitted to a funding agency.** Institutional Authorization is obtained through the following process:

Applications – including the application form/proposal, budget, and completed Investigator’s Checklist, Research Accountability Statement and PI Agreement – must be submitted via the Romeo Research Portal and receive Departmental and Faculty approvals. The Romeo file with the completed application must be received by the Office of Research Services a minimum of five (5) working days prior to the submission deadline, to allow sufficient time for review by ORS staff. Applications requiring institutional signature or endorsement (e.g., portal submissions) from the VP Research & Innovation (or designate) must be received **a minimum of ten (10) working days prior to the submission deadline.**

NB: Due to the volume of applications, some competitions will have internal university deadlines which will be established much earlier than the stated competition deadline. These internal deadlines will be communicated to applicants in advance.

Contracts and Agreements – all research contracts and agreements, whether associated with research funding or not, must be submitted via the Romeo Research Portal and receive Departmental and Faculty approvals. Review of contracts and agreements will require 3-4 weeks, provided there are not delays outside of the control of the Office of Research Services. All research contracts and agreements must be signed by the VPRI or delegate.

1. Applicant

Through submission of the Investigator Checklist and the accompanying Research Accountability Statement and PI Agreement, the applicant accepts academic, professional, and scientific responsibility for the project, and agrees to comply with the regulations and policies of the University and the funding agency.

2. Department Head/Chair/Director

Approval of the Investigator Checklist in Romeo indicates that the applicant is a faculty member at the University, is eligible to apply for external funding, and has time, space and basic facilities available to undertake the proposed project. It also indicates willingness by the Department Head/Chair/Director to recommend leave or other special arrangements as specified in the application.

4. Dean

Approval of the Investigator Checklist confirms eligibility and academic appointment of the applicant, and signifies awareness of faculty research activities and acceptance of resource commitments by the applicant, the Department and/or the Faculty, as needed, to support the project.

5. Hospitals: Vice-President Research for IWK/NSH (if applicable)

If the grant applied for is to be administered by Dalhousie, but the research is to be conducted at one or more hospitals (or related institutions), approval by the Vice-President Research (or designate) for that hospital is required on the Investigator's Checklist. This approval indicates that the hospital is aware of the grant activity to be undertaken, and will provide all necessary support and facilities.

However, please note that if a Dalhousie faculty member in Medicine wishes to apply for funding which would be administered by the IWK or NSH, the application and Investigator Checklist should be submitted to that hospital's Research Office (rather than to Dalhousie's Office of Research Services).

6. Research Office

Approval by appropriate personnel in the Office of Research Services signifies that all institutional requirements for the submission of the application have been undertaken.

7. University

As noted above, whether funding agencies require it or not, final signature/approval on behalf of the University must be obtained in the Office of Research Services for all grants administered by the University.

This approval confirms that the institution, with agreed supports from the Faculty, will accept and administer funds in accordance with agreed terms and conditions, or will negotiate acceptable terms if these are not established at the time of application. Also, where applicable, the approval indicates that the project's use of animals, human subjects, radioactive materials and biological research hazards has been or will be reviewed by the appropriate university/hospital ethics committee.