Research @ UPEI
Start-Up Guide

Office of Research Services

updated March 2022
<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.3.</td>
<td>Research Contracts</td>
</tr>
<tr>
<td>10.</td>
<td>GRANT PROPOSAL SUBMISSION</td>
</tr>
<tr>
<td>11.</td>
<td>RESEARCH CONTRACT DEVELOPMENT</td>
</tr>
<tr>
<td>12.</td>
<td>COMPLIANCE AND CERTIFICATION</td>
</tr>
<tr>
<td>12.1.</td>
<td>Animal Care Committee (ACC) Certification</td>
</tr>
<tr>
<td>12.2.</td>
<td>Institutional Biosafety Certification</td>
</tr>
<tr>
<td>12.3.</td>
<td>Environmental Assessment</td>
</tr>
<tr>
<td>12.4.</td>
<td>Radiation Safety</td>
</tr>
<tr>
<td>12.5.</td>
<td>Research Ethics Board (REB) certification</td>
</tr>
<tr>
<td>13.</td>
<td>RESEARCH ACCOUNTING</td>
</tr>
<tr>
<td>13.1.</td>
<td>Opening a New Research Account</td>
</tr>
<tr>
<td>14.</td>
<td>RESEARCH ACTIVITIES &amp; REPORTS</td>
</tr>
<tr>
<td>15.</td>
<td>RESEARCH ACCOUNT MANAGEMENT</td>
</tr>
<tr>
<td>15.1.</td>
<td>Hiring Research Personnel</td>
</tr>
<tr>
<td>15.2.</td>
<td>Hiring Students for Research</td>
</tr>
<tr>
<td>15.3.</td>
<td>Transferring Funds to a Co-Investigator at another Institution</td>
</tr>
<tr>
<td>15.4.</td>
<td>Research Fee for Service Contracts</td>
</tr>
<tr>
<td>15.5.</td>
<td>Buying Material, Supplies or Equipment</td>
</tr>
<tr>
<td>15.6.</td>
<td>Monitoring your Account Balance</td>
</tr>
<tr>
<td>15.7.</td>
<td>Residual Funds</td>
</tr>
<tr>
<td>15.8.</td>
<td>Financial Reports</td>
</tr>
<tr>
<td>16.</td>
<td>RESEARCH PROMOTION</td>
</tr>
</tbody>
</table>
1. WHAT IS RESEARCH?

To assist in understanding whether the project is Research or Operations, UPEI has adopted the following definition for Research:

"Investigation or experimentation aimed at the discovery or interpretation of knowledge, the systematic collection or revision of knowledge in light of new facts or theories, the development and application of methodologies to increase knowledge and the practical application of knowledge to specific problems or circumstances." ¹

Further to the definition noted above, Research possesses all the following characteristics:

- the primary goal of the activity is to advance general knowledge in the academic, scientific, or professional community;
- the scope of work and experimental design is determined by the Principal Investigator, or jointly with the sponsor/partner; and,
- the activities are intended to lead to scientific or scholarly findings.

The above research can be funded through a multitude of sources. In addition to the above definition, Sponsored Research includes funding provided to the University by the Canadian federal or provincial government to support Research, infrastructure, and assets (e.g., Canada Foundation for Innovation) or the further development or commercialization of research outcomes.

This guide is intended to aid those involved in Research at UPEI. Research accounts at UPEI are prefaced with the digit "6" and often provide a simple indicator of Research activities.

1.1. If it is not Research, it is Operational

If the characteristics do not align with Research, it is an Operational Contract or Agreement. For clarity, Operational Contracts or Agreements include services and activities that have the following characteristics:

- The primary goal of the activity is to apply existing knowledge to solve a defined problem or generate data of limited general application;
- Industry/partner determines the scope of work and project design;
- The application of established publicly known or proprietary testing protocol or existing research Tools (without material modification) or specific expertise is aimed at achieving an industry/partner-driven outcome;
- There is no expectation of outcomes that would be publishable in peer-reviewed journals; and
- There is no expectation that the activity will generate patentable inventions or innovations.

When the activities meet the definition of an Operational Contract, the contract will be submitted for Operational review. Please complete the Contract Approval form and submit it to: contracts@upei.ca.

If you are unsure whether a contact should be classified as Research or Operations, please do not hesitate to contact Research Services or Contracts and Insurance Officer (See Directory).

¹ UPEI has modified and adapted definitions that were initially posted by University of Toronto
Contact:

- Contracts and Insurance Officer: contracts@upei.ca
- See Directory

2. UPEI RESEARCHER PORTAL

Research-related forms are submitted through the UPEI Romeo Researcher Portal. The online Portal was instituted to improve the processing associated with submitting, reviewing, and approving research-related grants, contracts, and certification forms.

This video provides a brief overview of the UPEI Researcher Portal. Using the UPEI Researcher Portal provides benefits that permit:

- all faculty researchers and staff online access to all their current Research related certification and funding files;
- access to all Research Services application forms, including UPEI internal forms associated with Research-related funding and certification applications, so researchers can easily access, complete, and submit the appropriate form/s within this password-protected site; and
- automated, electronic approval process for new submissions.

The following links provide step by step instructions for several processes in the Researcher Portal:

- How to log into the UPEI Researcher Portal
- How to complete and submit application* forms
- How to complete and submit event** forms - (rev. December 2020)
- Instructions for Department Chairs and Faculty Deans for the review and approval of documents
- UPEI Researcher Portal Frequently Asked Questions (FAQ)

Contact:

- Research Services Liaison: See Directory

3. EQUITY DIVERSITY AND INCLUSION

As outlined in the University of Prince Edward Island Equity, Diversity, and Inclusion (EDI) Strategy, one of the five focus areas is the "Success of Faculty, Researchers and Staff". UPEI recognizes that meaningful incorporation of equity, diversity, and inclusion into Research is important for ensuring the high quality and relevance of Research and strengthening the research community at UPEI.
Various guidelines and training for incorporating EDI into Research are available on my.upei.ca by searching for “Research and Equity, Diversity and Inclusion”. The materials will also assist researchers in responding to equity, diversity, and inclusion requirements of grant applications.

The University of Prince Edward Island is committed to creating an environment that respects and supports the dignity of people from various backgrounds and needs. All kinds of harassment and sexual violence are prohibited under the Fair Treatment Policy and the Sexual Violence Policy. All University members have the right to engage in activities without fear of discrimination or harassment.


For further information regarding the sexual violence policy or reporting sexual harassment, please contact Eileen Conboy, Sexual Violence Prevention and Response Office (SV-PRO (Sexual Violence Prevention and Response Office)), email: econboy@upei.ca

For further information regarding the fair treatment policy or reporting discrimination or harassment, please contact: Fair Treatment Advocate, call: 902-566-6498, email: fairopartment@hratlantic.ca

Contact:

- Equity, Diversity, and Inclusion Officer: See Directory

4. INDIGENOUS RESEARCH

Indigenous research embraces the emotional, physical, spiritual, and intellectual ways of knowing. Indigenous worldviews, languages, and the interconnected relationships with the land and all beings are critical aspects of the research journey.

As an academic community, UPEI realizes the role we must play in promoting an understanding of indigenous history and culture, and supporting respectful relationships, including research. UPEI recognizes that discussions in this era of truth and reconciliation will unveil difficult facts within our country’s history.

Committed to equity, diversity, inclusion, and Indigenization, the Advisor to the VPAR on Indigenous Affairs will work in collaboration with the UPEI campus community to facilitate a growing level of idea sharing, information and knowledge exchange, and a better understanding of Indigenous history and culture.

Please also consult section 12.5 Research Ethics Board (REB) certification for additional information.

Contact:

- Advisor to VPAR on Indigenous Affairs: See Directory
- Research Compliance and Awards Coordinator: See Directory
5. FUNDING OPPORTUNITIES

5.1. Finding Funding Sources
Research Services can help you identify potential funding sources.

The "rrc" email distribution list sends information on funding opportunities to your mailbox.

- You may choose to receive notices in only the social sciences and humanities; natural sciences, health sciences, and engineering; or all messages.
- Contact the Research Grants Coordinator to be added to the list.

The Funding website (https://data.upei.ca/funding) lists all funding opportunity information sent to the "rrc" list, as well as a listing of key internal and external deadlines.

Contact:

- Research Grants Coordinator: See Directory

5.2. Internal Funding
For information on current internal funding sources, please visit https://www.upei.ca/research-services/resources-and-tools/internal-funding or contact the Research Grants Coordinator.

Researchers in the Faculty of Veterinary Medicine should contact the Office of Graduate Studies and Research, AVC, for information on possible funding opportunities https://www.upei.ca/avc/graduatestudies.

Contact:

- Research Grants Coordinator: See Directory
- Administrative Assistant, AVC Dean's Office: See Directory

5.3. Student Awards
There are numerous scholarships and fellowships available to allow students to do research. Federal granting agencies support graduate awards and postdoctoral fellowships; some agencies also support undergraduate student researchers. Information on these awards may be found on the funder's website. Please note that many scholarships require internal adjudication. Calls for applications will be distributed to students and faculty.

Contact:

- Administrative Assistant, Graduate Studies: See Directory
- Research Grants Coordinator: See Directory

6. NEW FACULTY START-UP FUNDS

All new tenure-track faculty are provided with a minimum of $2500 of start-up funds. Some Faculties may provide additional funds. Faculty must complete the Authorization to Transfer Funds form. Applicants should include:
• Title for the Research/Scholarly Project
• A description of the research/scholarship to be undertaken. At a minimum, this should be 1 page in length outlining:
  o the specific research/scholarly activities that will be supported;
  o the anticipated results the research/scholarship is expected to produce (e.g., new knowledge, a manuscript/recording, new skills); and
  o budget for the usage of funds (e.g., how much for travel, how much for consultants, accompanists, equipment (name the equipment to be purchased).
• For funds >$2500, the Dean for that funding must also provide a signature on the form.

Email completed applications to: researchservices@upei.ca.

7. SIGNING AUTHORITY

All contractual obligations of the University must be signed in accordance with the Signing Authority Policy. The following table provides an outline of what contractual obligations specific positions can sign.

<table>
<thead>
<tr>
<th>POSITION</th>
<th>CONTRACTUAL OBLIGATIONS</th>
<th>POLICY REF</th>
</tr>
</thead>
<tbody>
<tr>
<td>One Official Signing Officer</td>
<td>Contracts valued at up to $100,000</td>
<td>s. 5.1</td>
</tr>
<tr>
<td>Two Official Signing Officers</td>
<td>Contracts valued over $100,000</td>
<td>s. 5.5</td>
</tr>
</tbody>
</table>

Per Section 4.1 of the Signing Authority Policy, the following positions are defined as Official Signing Officers:

• Chair of the Board of Governors
• President
• Vice-President, Administration and Finance
• Vice-President, Academic and Research
• Comptroller

All research agreements routed through the UPEI Researcher Portal will ensure contracts align to the Signing Authority Policy.

8. FUNDING PROPOSAL & BUDGET DEVELOPMENT

8.1. Proposal Development

While proposal development is the applicant's responsibility, Research Services can facilitate the process in the following ways:

• Provide information on possible funding sources;
• Provide advice regarding sponsor guidelines and instructions;
• Review draft application to assess compliance with sponsor instructions, university policy, eligibility, and selection criteria, and recommend adjustments;
• Provide guidance on proposal budget development;
• Draft institutional elements of proposals (if applicable);
• Provide technical assistance with electronic forms;
• Develop tools, university agreement templates, and processes for effective proposal development; and
8.2. Preparing a Research Budget Proposal

In preparing a budget that accompanies a contract proposal or award application, it is important to consider both the direct and indirect costs of Research.

8.2.1. Direct Costs:

It is important to identify and budget for all direct costs. The eligibility of direct costs may differ depending on the project sponsor(s). Some examples of direct costs include:

- Salaries
  - Salaries must be within the range for the appropriate University position classifications;
  - Allowances must be made for annual salary increases. Please consult with the Human Resources Department to determine reasonable estimates;
  - Fringe benefits; and
  - Please consult with the Human Resources Department or visit [http://hr.upei.ca/](http://hr.upei.ca/) for more information on determining benefit estimates.

- Professional/consultant fees
  - Professional/consultant fees will require a separate quote or contract to be in place with the sub-contractor before payment (i.e., Fee for Service, Research Agreement). A Purchase Requisition is also required to create a Purchase Order for the sub-contractor.
  - Contact the Research Contracts Advisor, researchcontracts@upei.ca, for more information on the preparation of sub-agreements.

- Materials & Supplies
- Equipment - [UPEI Procurement Policy and procedures](http://policy.upei.ca/) must be followed
- Travel
  - The sponsoring agency may have guidelines or limits for travel costs. Refer to University's Travel Expenses Policy which can be found at [http://policy.upei.ca/](http://policy.upei.ca/) for University regulations for eligible and ineligible travel costs.

- Renovations and alterations. Before including renovation or alteration costs, Facilities Management must be contacted to ensure a) the required work is possible and b) that a reasonable cost estimate is used in the application.

- The sponsoring agency may have guidelines or limits for telephone costs. In addition, please refer to the University's Wireless Communications Devices policy which can be found at [http://policy.upei.ca/](http://policy.upei.ca/) for guidelines regarding the use and cost eligibility of wireless communication devices.

The acquisition of all goods and services should adhere to the University's Procurement Policy located at [http://policy.upei.ca/](http://policy.upei.ca/). For more information, please consult with Procurement Services.

8.2.2. In-Kind Costs

Check the sponsor guidelines to determine whether in-kind contributions are allowed and what the reporting requirements are. Check with Research Services or Research Accounting if you have any questions about how to calculate and record in-kind contributions.
8.2.3. Indirect Costs

It is a UPEI requirement that an appropriate provision is made for indirect costs. Indirect costs are costs that are not readily apparent but are real. They include the costs associated with the operation and maintenance of facilities, including building depreciation, library expenses, space, utilities, payroll, accounting, and other services.

As outlined in the **UPEI Contracts Policy**, indirect costs are charged at 40% of direct costs with the following exceptions:

- Indirect costs are not charged on student stipends, salary, or benefits paid to University students (UPEI);
- Indirect costs are not charged on equipment that the University will retain;
- Indirect costs are reduced to a 10% rate on travel costs;
- Indirect costs are reduced to a 20% rate for registered charitable organizations;
- Sponsors and/or funding agencies may place restrictions on the level of indirect costs that can be charged;
- All indirect cost rates that deviate from University policies must be approved by the appropriate University Dean and Vice President Academic and Research (VPAR); and

For **AVC research contracts only**: AVC research contracts should include a provision for Biomedical Engineering fees at 1.5% of total project cash costs. If the budget includes a maximum overhead provision as noted above, biomedical engineering fees are waived. Additionally, AVC has a distinct policy for Distribution of Overhead. It is available on [my.upei.ca](http://my.upei.ca).

For more information on UPEI indirect research cost policies, please refer to the **Contract Research Policy**.

8.2.4. HST Impacts on Research

Although there is no HST charged on research salaries and wages, many other goods and services purchased for research activities are subject to HST, and HST must be considered when estimating costs of Research.

Many sponsors and funding agencies typically do not require budgets to break out the applicable taxes. However, it is important to ensure that the impact of taxes on research goods and services is accounted for within the budgeted cost categories.

8.2.5. Helpful University Policy Links:

The following University policies will provide necessary clarifications on various items and processes throughout your budget preparation and project execution. These policies can all be found on the University's policy page (
http://policy.upei.ca/):

- [Travel Expenses Policy](http://policy.upei.ca)
- [Contract Research Policy](http://policy.upei.ca)
- [Procurement Policy](http://policy.upei.ca)
- [Student Hiring and Employment](http://policy.upei.ca)
9. GRANT OR CONTRACT

9.1. What is the difference between a Grant and a Contract?
There are unique forms and processes on the UPEI Researcher Portal for grants compared to contracts. This section outlines the main differences between a grant and a contract to ensure the application is submitted correctly.

9.2. Research Grants
A Research Grant is financial support for an individual or group of individuals (or a research center or institute) to do research in a particular subject area or field. Although the research area may be defined, there are usually no conditions about the research directions. Usually, in a grant:

- there is no direct or indirect remuneration to the principal investigator(s);
- the objectives are defined generally not specifically;
- there are no limitations on publication;
- results do not get transferred to the funder (a final report may be requested); and
- payment is usually made in advance of expenditures, without "deliverables".

9.3. Research Contracts
A Research Contract is a legal agreement between two parties to carry out a specific research project with specific stipulations and conditions. UPEI's Contract Research Policy can be found at: https://files.upei.ca/policy/contract_research_policy_admordgnl0006.pdf.

There are several types of research contract arrangements depending on the scope and nature of the project and deliverables. The following are a few examples of research contract partnerships:

- **Collaborative Research Agreements (CRAs)** facilitates collaborative Research of mutual interest to UPEI, UPEI researcher(s), and the partnering institution(s), in which project results may be shared or have clauses specific to the ownership and management of the intellectual property.
- **Research Service Agreements (RSAs)** are contracts in which UPEI will perform work of a routine nature such as analytical, testing, or other services requiring little or no original intellectual input.
- **Fee for Service Contracts (FFS)** are contracts in which UPEI contracts with others to perform work of a routine nature such as analytical, testing, or other services requiring little or no original intellectual input.
- **Material Transfer Agreements (MTAs)** are used when transferring materials from one organization to another.
• **Memorandum of Understandings (MOUs)** are used to formalize general understandings and alignment of intentions between parties. MOUs should not be used to try and arrange legally binding commitments.

• **Non-Disclosure Agreements (NDAs) or Confidentiality Agreements** attempt to ensure confidential information is not disclosed to outside parties. A Non-Disclosure Agreement should always be in place before engaging in R&D discussions with outside parties.

There are UPEI templates for these agreements which can be found here. Please reach out for assistance.

**Contact:**

- Manager of Research Services: See Directory
- Research Contracts Advisor: researchcontracts@upei.ca
- Director, Office of Commercialization, Industry, and Innovation: See Directory

**10. GRANT PROPOSAL SUBMISSION**

If you are applying for External Grant Funding, these are the basic steps to follow:

- Advise the Research Grants Coordinator of:
  - your intention to submit a funding application;
  - the name of the funder and program; and
  - the deadline for submission.

- For optional internal review (clarity, completeness, compliance with agency requirements, etc.), provide a draft of submission to the Research Grants Coordinator no later than 10 working days before the funder’s deadline.

- Review the Signature and Deadline process for Grant Applications.

- Submit on the UPEI Researcher Portal no less than 5 working days prior to the funder’s deadline (see process above for non-standard deadlines). Further details about the forms and process can be found here: [http://www.upei.ca/research/forms](http://www.upei.ca/research/forms)

For greater clarity, the Signatures on Grant Applications in the UPEI Researcher Portal have this meaning:

**Approval of UPEI Principal Investigator/Lead (PI)** indicates acceptance and willingness to carry out the work as described in the proposal, in accord with the various regulations governing such work and within the established budget of the proposal. All research activities will be undertaken in accordance with the policies and procedures of the University of Prince Edward Island and the terms and conditions of the Sponsor, as approved by the designated signing officer of the University. The PI also accepts responsibility for any over expenditure on the award and for reporting any changes or delays in the research or research expenditures. It is the responsibility of the PI to complete and/or assist the University in completing all reporting required by the sponsor on time.

**Approval of the Chair and Dean or Designated Authority** indicate awareness of the research project, and acknowledgement that the academic unit/ faculty/school will be able to accommodate the project if funded (including any space, facilities, and personnel requirements). Approval of the Dean also indicates acceptance of the proposed overhead rate and acknowledges that any variance in overhead rates applies first to that component distributed to the Faculty/School.
Signature of the Vice President, Academic and Research indicates that the University will administer the project in accordance with the terms and conditions of the agreement, the sponsor’s guidelines, as well as the University’s policies, practices, and guidelines, and indicates approval of the overhead rate that will be used.

Contact:

- Research Grants Coordinator: See Directory

11. RESEARCH CONTRACT DEVELOPMENT

All research contracts are between the University and the Sponsor(s) and fall under the Contract Research Policy https://files.upei.ca/policy/contract_research_policy_admordgri0006.pdf

Research Services will assist you in developing and negotiating your contract.

- If you are in discussions with a research funding sponsor (e.g., industry, government, NGO, etc.) on a potential research project or if you have been provided with a contract by a research sponsor, contact both UPEI’s Office of Commercialization, Industry, and Innovation (OCII), and Research Contracts Advisor.

- Again, refer to the Research Services website for complete instruction on all processes on the Researcher Portal. https://www.upei.ca/research-services/forms

- Research Services will work with you and OCII (UPEI's technology transfer arm) to address issues related to IP, commercialization, publication, and freedom to operate if they arise.

- Contracts for review and approval must be submitted online to the Researcher Portal at: https://upei.researchservicesoffice.com/Romeo.Researcher/

- Once the contract has been finalized and executed then researchers will be notified. Fully executed contracts will be retained and accessible to the researcher in the UPEI Researcher Portal.

- It is important to note that your account cannot be activated, and you cannot begin to spend the funds until the contract has been fully executed. Additional constraints for release of funding and initiation of the research/work are also conditional on appropriate compliance and certification requirements (See Section 11 on Compliance and Certification).

Research Services will notify Research Accounting that the account opening process should be initiated when all the above requirements have been met. Contact:

- Research Contracts Advisor, researchcontracts@upei.ca
- Manager of Research Services: See Directory
- OCII Industry Contract Officer (for Partnered Research): See Directory
12. COMPLIANCE AND CERTIFICATION

12.1. Animal Care Committee (ACC) Certification:
If your research involves animals, then it requires ACC review and approval.

The ACC guidelines and Animal Utilization Protocol (AUP) forms can be found at:
https://www.upei.ca/research-services/research-certifications/animal-care

The Animal Care Committee meets monthly except for the month of December. AUP forms are due on the first Friday of every month for review at the meeting held at the end of the month.

- Applications, including new submissions, amendments, and renewals must be submitted through the Research Portal on or before the submission deadline.
  - The ACC Coordinator will contact you if additional information or clarification is required.
  - If your project has not been peer-reviewed, it will require review for scientific merit prior to review by the ACC. This review is coordinated through the ACC Coordinator.
- Your completed AUP form will be reviewed at the monthly ACC meeting, and within 5 days after the meeting, you will receive the ACC’s response from the Chair of the ACC.
- If revisions are requested, they should be submitted as soon as possible and will be considered at the next monthly ACC meeting.
  - If revisions are not received within 3 months, the application will be closed, and a new application must be submitted.
- Research can only begin once you have received a Certificate of Approval from the ACC Chair by email.
- Approval is for one year. An AUP may be renewed no more than three (3) times before a new AUP must be submitted.

Contact:
- ACC Chair: See Directory
- University Veterinarian: See Directory
- Animal Care Committee: animalcare@upei.ca

12.2. Institutional Biosafety Certification:
If your Research involves biohazardous material, then it requires Biosafety Committee review and approval.

**Biohazardous material** is any biological material which is potentially harmful to humans, animals, plants and/or the environment. These include but are not limited to any organism [bacteria, mycoplasma, viruses, parasites (both metazoan and protozoan), fungi, algae, and human blood, cells, body fluids and tissues] or their toxic metabolites believed to be potentially harmful to humans, animals, or plants. Certain types of nucleic acids, such as DNA derived from pathogenic organisms and human oncogenes, are also considered to be biohazardous materials.

The Institutional Biosafety Committee (IBC) guidelines can be found at: https://www.upei.ca/office-vice-president-administration-and-finance/health-safety-and-environment/biosafety

The IBC meets monthly, and the application submission date is the last Friday of each month.
Applications, including new submissions, amendments, and renewals must be submitted through the Research Portal on or before the submission deadline.
- The IBC Coordinator will contact you if additional information or clarification is required.
- The application will be reviewed by the IBC at their next meeting.
- If revisions are requested, they should be submitted as soon as possible and will be considered at the next monthly IBC meeting.
  - If the revisions are not received within 3 months, the application will be closed and a new application must be submitted.
- Research can only begin after you have received your IBC approval permit. A copy of the permit will be sent to you by email.
- Approval is for two years, and a project may be renewed only once before a new application must be submitted.

Contact:
- Research Compliance and Awards Coordinator: See Directory
- Biosafety Officer: See Directory

12.3. Environmental Assessment

For any research involving field work or Research that could have an adverse effect on the environment, sponsors will request clearance before the Research can proceed. The Canadian Environmental Assessment Act (CEAA) Overview of the Impact Assessment Act must be reviewed and followed as part of a proposal. The Impact Assessment is a tool that will assess the positive and negative environmental, economic, health, and social effects of proposed projects. It also outlines the process for assessing the impacts of major projects and projects carried out on federal lands or outside of Canada.

Projects that are subject to the Act include, but are not limited to: renewable energy, oil, and gas, linear and transportation related, marine and freshwater, mining, nuclear, hazardous waste, and federal lands and protected areas. Based on knowledge and awareness of the Act in relation to your proposal, the sponsor will determine whether a "screening" will be required in accordance with CEAA and will work with the investigator and the University to see that the necessary steps are taken and, if deemed appropriate the Research is given the 'green' light.

Whether research proposals are subject to the Canadian Environmental Assessment Act (CEAA) is determined in two ways. Either they involve undertakings in relation to physical work (Part 1), or they relate to a proposed activity not related to a physical work that is subject to the Act (Part 2).

- A description of work requiring assessment can be found at: http://www.nserc-crsng.gc.ca/OnlineServices-ServicesEnLigne/Instructions/101/e.asp?prog=dg#EA
- Submission forms that may be used for Environmental Assessment can be found in Appendix A and Appendix B of the NSERC Form 101. http://www.nserc-crsng.gc.ca/OnlineServices-ServicesEnLigne/pdf/F101_e.pdf
12.4. Radiation Safety:

The Radiation Safety Officer has general responsibility for ensuring that the use of radioactive materials at the University conforms to applicable standards.

UPEI radiation safety manuals are available through the Radiation Safety Office. The online version is available here: https://files.upei.ca/healthandsafety/radiation_safety_manual.pdf

A radioisotope permit, obtainable through the University Radiation Safety Officer, and approved by the Radiation Safety Committee, is required for any work involving radioactive materials.

- Contact the Radiation Safety Officer to verify that the area and materials to be used have been certified for that use and follow the guidelines as outlined by the Canadian Nuclear Safety Commission (http://www.nuclearsafety.gc.ca/eng/)
  - Note: there is a multi-user radioisotope laboratory located in the AVC, for users who do not have approved spaces within their own laboratories.

- Take the Radiation Safety training course, available several times a year. This course will educate all permit holders and users on radioactive material handling techniques and inventory management strategies. Radiation Safety training is available to all staff and students as required. Contact the RSO for information on when the next available session is scheduled. Refresher training is required every 5 years.

Radioisotope User Permit Holders have the responsibility to ensure that thermoluminescent dosimeters are utilized as part of monitoring. Review the Radiation Safety Manual for the details of the responsibilities.

For information on radiation safety, please call the University Radiation Safety Officer.

Contact:

- Radiation Safety Officer: See Directory

12.5. Research Ethics Board (REB) certification:

If your Research involves human participants, then it requires REB review and approval.

The REB guidelines and forms can be found at: http://www.upei.ca/research/forms

The committee meets monthly, and the application submission date is the last Friday of each month.

- Applications that involve more than minimal risk to the participants must be submitted through the Research Portal on or before the submission deadline. They will be reviewed by all members of the REB at their next meeting.
- Applications, including new submissions, renewals and amendments that do not involve more than minimal risk to the research participants may be submitted at any time for review.
- The REB Coordinator will contact you and return the application to you if additional information
or clarification is required.

- If revisions are requested, they should be submitted as soon as possible.
  - If revisions are not received within 6 months, the application will be closed and a new application must be submitted.
- Research can only begin once you have received your REB approval permit. This will be sent to you by email.
- Approval is for one year and a project may be renewed no more than five times before a new application must be submitted.

**Contact:**

- Research Compliance and Awards Coordinator: See [Directory](#)

### 13. RESEARCH ACCOUNTING

#### 13.1. Opening a New Research Account

New research accounts are requested through Research Services. To have an account established, take the following steps.

- If you are the recipient of grant funding, provide your Notice of Award to Research Services.
- If you receive funding from industry and they send you a contract, please coordinate with Office of Commercialization, Industry, and Innovation (OCII) to review the contract. Once reviewed, please submit the contract to the UPEI Researcher Portal. In most cases, you will have collaborated with OCII already during the contract development, but sometimes industry will send the contract directly to the researcher.
- If compliance certification (Biohazards, Animal Care, Human Ethics, or Radiation Safety) is required, please ensure you have applied to the appropriate committee for approval. NOTE: Accounts cannot be opened if there are any pending certification requirements. However, partial release of funding may be obtained by submitting a Request for Release of Funds through the Researcher Portal.
- Once all documentation is in place, the account opening documentation will be forwarded by Research Services to Research Accounting.
- Research Accounting will notify you via email when your new account has been opened. The email will contain the project number so you can view the budget in my.upei.ca. You will also need to indicate to Research Accounting who has signing authority on your research account.

**Contact:**

- Research Grants Coordinator: See [Directory](#)
- Research Compliance and Awards Coordinator: See [Directory](#)
- Manager of Research Services: See [Directory](#)
- Research Accounting: researchaccounting@upei.ca
14. RESEARCH ACTIVITIES & REPORTS
Whether you receive funding from a grant or a contract, it is important to read and understand your reporting requirements. For example, you should be aware if/when written reports must be submitted and whether the next payment is conditional upon receiving a report.

Modifying your research activities and budget without prior approval from your sponsor could result in your funding being cancelled. Prior to making any modifications to your research activities, please contact Research Services to discuss what, if any, modifications are permitted.

15. RESEARCH ACCOUNT MANAGEMENT

15.1. Hiring Research Personnel
- All personnel hired with research funding are employees of the University (please see Section 15.2 below for student hiring).
- You will need to consult with the Human Resources (HR) Department prior to initiating any hiring. HR has detailed information available on the my.upei.ca portal. (Go to Menu→ Administrative Services, Human Resources)
- New employees are not to start work until they have signed their letter of offer.
- Any request to hire from research funding needs to be vetted by Research Accounting prior to posting, which is completed through the form noted below.
- Complete a Staffing Authorization Request (SAR) –Research and Staff for new positions. This is available on my.upei.ca (search for Staffing Authorization Request).
- Obtain required signatures.
- Send the signed form to HR.
- Following confirmation that you have sufficient funds in your research account and the position is an eligible expense, the Research Staffing Authorization Form, including a copy of the job posting (hard copy is attached to the SAR) must be sent to HR. An electronic copy of the job posting must also be sent to HR.
- When Personnel Transaction Forms (PTF) are completed for new or existing employees, the PTF must be signed by the person with spending authority on the account and sent to HR. HR will forward to Research Accounting for their approval (Note: PTF are hard copy carbon copy forms only at this time available for pickup at HR office).
- You must ensure the end date of an employee’s contract is within the term of your grant or contract. For example, If you have a three-year grant with funding approved in one-year increments pending satisfactory performance, you can only hire personnel for one-year contracts.
- Useful University Policy Links:
  - Staff Recruitment and Selection Policy (Find under UPEI Policies)
  - Moving and Relocation Expenses
- Hiring of Academic Foreign Nationals: Human Resources is available to assist in the immigration requirements if a foreign national has been hired/being considered for a position.
- Postdoctoral Fellows – please review the UPEI policy related to Postdoctoral Fellows.

Contact:
• Human Resources Officer: See Directory

15.2. Hiring Students for Research

• Review policy, if applicable: Student Hiring and Employment
• Complete the Student Staffing and Authorization Request (SSAR) available on my.upei.ca.
  o You must ensure the end date of a student’s stipend is within the term of your grant or contract.
• Student Rates of Pay: Please search on the my.upei.ca HR site as this is updated frequently.
• Student Stipends: If you are supporting a student on your research project through a stipend payment(s), an Award Stipend Transaction Form must be filled out. Students paid by a stipend are not considered UPEI employees but can receive payment of their stipend bi-weekly similar to an employee. HR will forward the stipend form to Research Accounting for budget approval.
  o If this is a Graduate Student, Post-Doc Fellowship Stipend or Undergraduate Research Award please complete the “Award Stipend Transaction Form” on my.upei.ca HR site.

15.3. Transferring Funds to a Co-Investigator at another Institution

The transfer of funds is coordinated through Research Services. Template funding transfer agreements are available for some funding agencies (e.g., Tri-council). Please contact Research Services.

15.4. Research Fee for Service Contracts:

• If your grant or contract allows you to hire a person (excluding employees or students) or a business to perform work or service, you must have a Fee for Service (FFS) Contract in place with the person or business.
• UPEI Template FFS Contracts can be found on the UPEI website https://www.upei.ca/office-vice-president-administration-and-finance/contracts-and-insurance/risk-management/fee-for-service-templates
• Assistance in the development of a FFS Contract can be obtained from the Research Contracts Advisor within Research Services.
• Purchasing services must follow the UPEI procurement policy and procedures:
  o UPEI Procurement Policy and procedures
• FFS contracts must be submitted in the UPEI Researcher Portal for review and approval. The Fee for Service Event Form should be used in these instances.
• Once the contract has been fully executed (signed by UPEI and the vendor), you must submit a purchase requisition through your my.upei.ca portal.

15.5. Buying Material, Supplies or Equipment:

• If your grant or contract allows you to purchase lab supplies, equipment, or other materials, you must follow the UPEI Procurement Policy and procedures.
  o UPEI Procurement Policy and procedures
• The purchase of equipment requires an additional form to be completed for Facilities that outlines the installation and infrastructure requirements to put into place and service your new equipment. For example: wiring, exhaust, floor strength, etc.
• Depending on the price, you will require competitive bids.
15.6. Monitoring your Account Balance:

- You are required by UPEI and your sponsor to spend your research funds within the guidelines provided. If you have any questions about the interpretation of these guidelines, contact Research Services or Research Accounting.
- You are responsible for any overspending on your research account; therefore, it is important for you to track your expenditures.
- Training in Colleague is provided through a series of videos found on my.upei.ca. Go to the Self-Service Help menu to access these videos. The videos are also linked on YouTube: https://www.youtube.com/channel/UC24CA5p16i3rz08mSBvOw/videos?view=0&sort=dd&shelf_id=0

15.7. Residual Funds:

- Once your grant or contract ends, your account will be closed. If there is money remaining that you wish to use then you must request access to it by submitting a Research Account Modification Form on the UPEI Researcher Portal. This request must be submitted before the end date of the project. Research Services will determine from your sponsor agreement if you are eligible to have access to residual funds.
- If the funds do not need to be returned to the sponsor, your request will be reviewed by the Vice President Academic and Research. If approved, you may receive up to a one-year extension, or a new account may be opened for a specific time period for research purposes only.
- If you have a deficit balance at the completion of your research, post award research administration processes can be discussed with the Research Services Liaison and Research Accounting.

15.8. Financial Reports:

- Your financial reports are prepared by the staff in Research Accounting and approved by the Financial Services management prior to submission to your sponsor.
- The financial reporting requirements are usually outlined in your grant or contract agreement.

Contact:

- Research Contracts Advisor: researchcontracts@upei.ca
- Research Accounting: researchaccounting@upei.ca

16. RESEARCH PROMOTION

16.1. Getting the Word Out:

Research Services understands the importance of promoting your Research. UPEI Marketing and Communications can help you get the word out.

A press release is often the best way to announce news. We enjoy a great relationship with The Guardian and CBC PEI. A press release is a great trigger for a story in the paper or a feature on the radio or TV.
16.2. Direct pitches

- Often, the best way to get into the media is by direct pitches to individual reporters. Talk to our Research Communications Officer if you have a story you would like featured in the media. They can help you focus your story, select journalists who might be interested, and make the pitch.

Contact:

- Communications Officer: See Directory

17. WORKING WITH THE MEDIA

10 Tips for Handling Inquiries, Interviews*

At some point in your career a reporter may call and ask you to speak to the media. Whether the reporter is seeking background on an in-depth examination of a science or societal trend, a sound bite for breaking news coverage, or is focusing an unwanted spotlight, it is in your best interest to be prepared. In addition to the tips below, UPEI’s Research Communication Officer can help you work with the media. Here are 10 ways to be prepared:

1. **Know who is calling and why.** Get the reporter’s name and media outlet. Find out why the reporter asked you for an interview and try to get a sense of his or her focus or angle. If you feel you are not the best person to address the subject, say so.

2. **Buy time to prepare.** Confirm the reporter’s deadline. Set a time to speak within that time frame to allow you to gather your thoughts. Resist the temptation to wing it.

3. **Know the audience.** With the reporter’s outlet, angle, and audience in mind, consider both your message and the best way to convey it to that particular audience.

4. **Know your message and stay on it.** Do not leave yourself open to misinterpretation. Create a headline in advance and make it the lead point. Think of different ways to communicate that point and be sure to reinforce it in every response.

5. **Avoid jargon and technical language.** You are not talking to your peers. Overuse of specialized terms will obscure your message and lose the audience. If a term is essential, use it and then define it in lay terms.

6. **Respect the reporter.** Never talk down or become argumentative. If a reporter is misinformed or cites incorrect facts, remember you are the expert and politely correct him or her. And be sure to get the reporter’s name right in on-air interviews.

7. **Avoid "no comment."** This classic retort makes you sound as if you’re trying to hide something. If you cannot answer, explain why.

8. **Do not speculate.** Speculative answers may come back to haunt you. If you cannot answer a question, say so and promise to get back to the reporter with information. Hypothetical questions are notorious minefields. Do not be enticed to respond to what-if scenarios.
9. If it shouldn’t be in the news, don’t say it. “Off the record” is a myth. Always be aware when microphones, cameras, or tape recorders are present.


Contact:

- Communications Officer: See Directory

18. TECHNOLOGY TRANSFER

Formerly known as Synapse, the Office of Commercialization, Industry, and Innovation (OCII) provides expertise and knowledge to University of Prince Edward Island (UPEI) Faculty, Students, and Staff in support of Research Partnership Development, Intellectual Property (IP) protection, and Commercialization of products, processes, services, and insights that can provide practical social and economic benefit beyond the university environment. OCII is the bridge between industry and researchers at UPEI. OCII works with researchers to transform their innovative ideas into commercial products and business opportunities. While Universities have a broad and far-reaching economic impact, three key pathways exist through which commercialization and industry partnership activities support the creation of economic impact from UPEI Ideas, Innovations, and Expertise. By facilitating opportunities for UPEI students, researchers, and staff to:

- Help support the growth and success of existing and new partners by addressing and solving key challenges;
- Co-develop new products/services along with partners; and
- Develop new products and services leading to the creation of new ventures.

In addition to the core functions of commercialization, industry partnership, and innovation support, the OCII supports a university-wide approach and strategy to economic development and acts as a champion for innovation and entrepreneurship at UPEI. For external and internal clients OCII is the first point of contact to develop partnerships with UPEI or commercialize UPEI ideas.

OCII works closely with other organizations that are focused on innovation and economic development in the region and across Canada to access innovation support funding to "Move Ideas Forward"! OCII supports its clients through a variety of services, programs, advice, and referrals according to their needs.

The OCII team supports Technology and Knowledge transfer through the following key activities:

- By acting as liaison between industry, as well as other external partners, and UPEI to establish new partnerships and collaborations regarding Research, development, and commercialization activities
- By working with research teams to identify Intellectual Property that has sufficient commercial value to engage in commercialization practices. This includes the creation and filing of patents with appropriate agents and regulators, conducting market intelligence, and development of competitive strategies for technologies, projects, and proposals
- Identification of licensing opportunities for Intellectual Property commercialization and/or advancement
- By supporting the creation of new for-profit companies
Contact:

https://www.upei.ca/research-services/office-of-commercialization-industry-and-innovation

- Director: See Directory
- Industry Contract Officer: See Directory
- Business Development Officer: See Directory
19. Directory

The information in this directory may not always be up to date, and therefore, position titles, employees in the positions, and office locations are all subject to change. More updated data and information may be available from the organizational charts or the UPEI directory. Linked below are the organizational charts and UPEI directory.

Organizational Chart- Login to my.upei.ca, and search Organizational charts

UPEI Directory - https://www.upei.ca/directory

<table>
<thead>
<tr>
<th>VP Academic &amp; Research</th>
<th>Administrator</th>
<th>Phone</th>
<th>Email</th>
<th>Office</th>
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</thead>
<tbody>
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<tr>
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<th>Equity, Diversity and Inclusion</th>
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<th>Administrator</th>
<th>Phone</th>
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