

Research
Governance Structure



Table of Contents

Table of Contents.....	1
Introduction.....	3
1 Organization Mandate	3
2 Research Objectives	3
3 Areas of Research Priority.....	3
4 Roles and Responsibilities	4
4.1 Board of Directors.....	4
4.2 OERA Staff.....	4
4.3 Research Advisory Committee (RAC)	4
4.3.1 Responsibilities of RAC	4
4.3.2 RAC Member Selection Criteria	5
4.4 Area Sub-committees (ASC's).....	6
4.4.1 ASC Responsibilities	6
4.4.2 ASC Membership Selection Criteria	6
4.5 Outside Technical Expertise	6
4.5.1 Outside Technical Expertise Selection Criteria.....	7
4.6 Program/Research Managers.....	7
5 Receipt of Proposals	7
5.1 Collaborative Proposals.....	7
5.2 Competitive Request for Proposals	8
5.3 Unsolicited Proposals and Research Extensions	9
5.4 Sole Sourcing	9
6 Proposal Submission Criteria.....	9
7 Proposal Evaluation Process	10
8 Evaluation of Proposals.....	12
8.1 Evaluation Criteria	12
9 Grant/Contract Issuance	13
9.1 Eligible Budget Items.....	13
10 Management of Grants.....	13
11 Project Reporting and Publication	14
12 Confidentiality.....	14
13 Conflict of Interest.....	15
14 Access to Results.....	15
SCHEDULE A – Areas of Research Priority.....	16
SCHEDULE B – OERA Board of Directors.....	17
SCHEDULE C – OERA Research Advisory Committee Members.....	18
SCHEDULE D – OERA Proposal Form.....	19
SCHEDULE E – Research Advisory Committee, Area Sub-Committee and External Reviewer Confidentiality Agreement.....	28
SCHEDULE F – Interim Reporting Requirements	29
SCHEDULE G – Final Reporting Requirements	32
SCHEDULE H – OERA Association Ethics Policy.....	35
I. Application.....	35
II. Guiding Principles	35
III. Applicable Laws and Acts.....	35
IV. Definitions.....	36

V. Granting Process and Structure	37
(a) Role of the Board of Directors	37
b) Role of the Research Advisory Committee	37
VI. Confidentiality	37
VII. Conflict of Interest Guidelines	38
VIII. Procedures	39
IX. Consequences.....	40
Appendix A – Canada Corporations Act -Conflict of Interest.....	41

Introduction

Offshore Energy Research Association of Nova Scotia (OERA) is a not-for-profit contract research association dedicated to fostering offshore energy and environmental research and development including examination of renewable energy resources and their interaction with the marine environment. OERA's members are Acadia University, St. Francis Xavier University, Cape Breton University, Dalhousie University, Saint Mary's University and the Nova Scotia Department of Energy.

1 Organization Mandate

The mandate of the association is to foster research and development related to offshore petroleum, renewable energy resources and their interaction with the marine environment, and the diffusion of the knowledge.

2 Research Objectives

The OERA will accomplish its research objectives through a combination of research grants, contracts for services and collaborative efforts with others. These guidelines are intended to outline the manner in which research projects and programs are selected, funded and monitored, by describing the roles of various committees and individuals and the processes they use to ensure that the Association receives best value for its money.

The OERA research objectives include:

- Increasing scientific knowledge and facts that assist regulators and regulatory policy-makers in making good public-interest decisions with respect to the interaction between the marine environment and energy exploration, development and production offshore Nova Scotia.
- Publication and dissemination of research findings for the information of regulators, the energy sector, interested parties and the general public
- Demonstration of pre-commercial technologies and research on technology impacts.

The Association is committed to working collaboratively with organizations that have similar goals to take advantage of opportunities to share resources and create synergies and prevent redundancies through collaboration. This collaboration will include working with local, national and international organizations. Collaboration will also include efforts to encourage sharing of work and resources among universities in Nova Scotia and to the extent universities or research organizations outside the province have unique or additional resources, with other universities and research organizations as well.

3 Areas of Research Priority

Research priority areas are recommended by the Research Advisory Committee for Board approval.

4 Roles and Responsibilities

4.1 Board of Directors

In accordance with Section 25 of the OERA Bylaws (Schedule B) the Board of Directors, through workshops, conferences and in consultation with appropriate experts including the RAC, establishes the strategic direction and priorities for research activities to be funded by the corporation, and communicates these plans and priorities to the research community and the Research Advisory Committee (RAC). The Board receives recommendations in relation to the scientific merit and fit of research proposals with these priorities from the RAC and shall approve such recommendations or reject them in whole, or return the matter for further consideration and recommendation of the RAC. A current list of Board of Directors members can be found in Schedule B.

4.2 OERA Staff

The OERA staff is responsible for the operations of the Association and to be the overall contact for all parties engaged with the Association. The Board of Directors, Chairs of the Research Advisory Committee (RAC) and the Area Sub-Committees (ASC), and Research/Program Managers work closely with OERA staff to ensure that a smooth flow of information and communication takes place between the committees and internal and external stakeholders.

All proposals including requests for proposals (RFPs), expressions of interest (EOIs) and other correspondence pertaining to the Association must be reviewed and sent out through the OERA office.

4.3 Research Advisory Committee (RAC)

The primary role of the RAC is to provide strategic and operational guidance to ensure that the research funded by OERA is aligned with the interests and objectives of its key stakeholders in the region.

4.3.1 Responsibilities of RAC

The responsibilities of the RAC include:

- Offering input on the development of annual research plans designed to outline in a structured fashion what the association intends to work on over the course of an upcoming year. The plan may consist of scheduled workshops or other events to identify research needs and/or to disseminate information arising from OERA funded research, timelines for solicitation and review of research proposals, and other activities necessary for accomplishing the association's objectives;
- Bringing to the table the views of various interested parties when identifying issues which should be considered in the development of advice on research strategies and priorities;

- Undertaking a high-level, but non-technical review of proposal summaries submitted by sub-committees which are consistent with the OERA research priorities. This review is to ensure that each proposal will make a contribution to OERA's research agenda commensurate with the resources being expended, and therefore the proposed outcomes will be of optimal benefit to the regulators, the public, and various other stakeholders;
- Making funding recommendations to the Board on proposals in accordance with established criteria and the strategic priorities as determined by the OERA Board of Directors;
- Monitoring progress of research by reviewing summaries of progress provided by sub-committees that exist or may be established for a specific project. The RAC may establish additional criteria on a case by case basis for reviewing progress reports and conducting reviews of those reports.
- Making recommendations to the Board of Directors for adjustments to research projects including adding new phases or elements, terminating projects early, re-allocating and adjusting funds and budgets.

It is not the role of the RAC to undertake detailed discussions on the specific scientific or technical requirements of a subject area of research, nor is it the RAC's job to conduct detailed reviews of research proposals.

4.3.2 RAC Member Selection Criteria

Membership in the RAC is meant to be sufficiently broad as to provide an overarching view of the province's energy industry needs and the concerns that various stakeholders may have regarding the exploration, development and production of renewable and non-renewable energy resources. The RAC will be represented by a range of experience in policy, science, technology and industry. RAC membership will include those who are representative of environmental, fishing, renewable and non-renewable energy sectors, as well as regulators, academia and other elements of the private sector.

Notwithstanding the need for broad membership, a relatively small committee may be the most effective and thus a goal is set for committee membership numbering no more than fifteen. A current list of RAC members can be found in Schedule C.

Area Sub-committees (ASC's)

It is recognized that the OERA research agenda is relatively broad. Therefore, to enable effective discussion and input for each identified area of research an Area Sub-committee (ASC) will be established. The role of each ASC is to provide insight into the specific scientific and technical issues of the subject, and input on what research projects or programs should be undertaken to provide the Association with the information it needs to meet its objectives.

4.3.3 ASC Responsibilities

The ASC is a standing committee that provides technical and scientific advice to OERA (RAC, staff and/or a designated Program Manager) on the specific projects or programs that should be undertaken, and may provide advice to research proponents on aspects of proposals that can be improved to better suit the ASC's interests.

Proposals are reviewed and evaluated by an ASC. The role of the ASC is to determine how well proposals meet certain evaluation criteria, and to provide guidance to the RAC on which proposals should be funded, by how much and in which order of priority. The ASC may ask for clarification and/or additional information prior to making a final recommendation. The request for further information will be done by the Program/Research Manager in conjunction with OERA staff.

The ASC shall solicit outside technical expertise for projects for which:

- the subject matter/research design requires expert evaluation which does not currently exist within the ASC; or
- the project is of such a scope that a significant proportion of the ASC has a real or potential conflict of interest as defined by OERA Association's Ethics Policy.

The ASC may develop further criteria to guide it in making decisions for internal or external evaluation reviews.

4.3.4 ASC Membership Selection Criteria

Each ASC is a standing committee made up of roughly eight to ten people with a subject matter background and interest in relevant disciplines. Membership is drawn from universities, research organizations, industry and elsewhere, all of whom are approved by the RAC. Consideration will be given to the number of participants required on an ASC based on the mandate and objectives of the Committee.

4.4 External Technical Expertise

External technical expertise will be sought to assess the merit of proposals on behalf of the ASC in the event that the ASC is unable to perform this function. These assessments are done using the same ASC proposal evaluation criteria.

The relevant Program/Research Manager or OERA staff will identify appropriate potential reviewers for the ASC's consideration.

4.5.1 External Technical Expertise Selection Criteria

External technical experts are drawn from universities, research organizations, industry and elsewhere, all of whom are recommended by the ASC and approved by the RAC and the ASC.

The purpose of having outside technical expertise is to provide an independent, objective review of proposals/projects on a case by case basis.

4.5 Program/Research Managers

OERA may establish Program/Research Manager(s) to be responsible for planning, organizing and managing the tasks for major program areas as defined by the RAC and OERA Board. The duties of the Program/Research Manager, working closely with OERA staff, may include any or all of the following:

- To provide advice on known science understanding on an issue (literature reviews);
- To provide advice on knowledge gaps in a specific area;
- To develop research programs and associated budgets to fill knowledge gaps in project areas approved by the ASC and RAC;
- To determine and advise on the capabilities of researchers and research institutions in Nova Scotia and the potential for collaboration in other areas, regionally, nationally and internationally;
- To develop requests for proposals (RFPs) in areas of knowledge gaps;
- To encourage researchers to respond to such calls;
- To work with OERA partners to develop collaborative proposals;
- Lead research in approved projects as appropriate;
- Organize and coordinate the evaluation and technical management of research proposals and projects
- Coordinate events as required
- Prepare reports on the progress of research efforts
- Provide advice on new priorities based upon research community and stakeholder input

Research and Program Managers take research project/program direction from the OERA RAC or appropriate ASC. They are accountable to the OERA Board and OERA staff.

5 Receipt of Proposals

OERA receives applications for funding in four ways:

5.1 Collaborative Proposals

The research agenda of the OERA is shared in a significant way with other organizations. OERA was designed to collaborate with like-minded research entities to leverage the investment of public and private funds to maximize the validity of the research conducted. The OERA Board will identify such entities and formalize their research

interests through Memoranda of Understanding or in some cases formal Memoranda of Agreement.

Collaborative projects received by a Program/Research Manager or OERA staff are conveyed to the appropriate ASC for evaluation (the ASC may use outside technical experts). Proposals receiving positive evaluations by the ASC are forwarded to the RAC and if recommended by the RAC are sent to the OERA Board with a funding recommendation.

5.2 Competitive Request for Proposals

Where an ASC determines there may be multiple potential researchers/research entities capable of addressing a specified research project or program, it shall conduct an open Request for Proposals (RFP). The RFP is developed by a Program/Research Manager and reviewed by the ASC and then recommended by the RAC for final approval by the Board of Directors. If the program area is consistent with the Board's approved priorities the RFP is published. If it is a new area, the RAC shall provide justification to the Board for recommending the research be supported before or in addition to other pre-approved subject areas. The Board shall reserve the right in all cases to accept or reject such recommendations.

Competitive proposals received by a Program/Research Manager or OERA staff are conveyed to the ASC for evaluation. Proposals receiving positive evaluations by the ASC are forwarded to the RAC and if accepted by the RAC are sent to the OERA Board for funding approval.

Prior to issuing an RFP OERA may publicize a notice calling for Expressions of Interest (EOI) from interested and qualified parties. The notice would contain relevant details and background on the topic of concern and respondents must provide sufficient information to enable OERA to assess the capability of the researcher(s) to undertake the required research in a competent manner. Such responses will necessarily include a general description of the research design, cost and timeline, as well as their relevant expertise.

OERA will issue a Request for Proposals (RFP) to any number of responding parties that are considered to have the relevant competence and whose intended research is aligned with the specific requirements of the EOI. Prospective proponents will be requested to submit project proposals that fulfill knowledge and capacity development needs outlined in the EOI and which are described in the RFP.

RFPs are published in the OERA website, MRC Bulletin, the publications of the member organizations and other sources deemed appropriate for the scope of the research. The RFPs are announced as far in advance as possible and shall be open for no less than 30 days.

5.3 Unsolicited Proposals and Research Extensions

The OERA may consider proposals not covered in 5.1 or 5.2 under the following circumstances:

- The proposal is of a low cost (i.e. under \$20,000) and is deemed by OERA ASC/RAC and Board to be an enhancement of capacity; or a similar general aim of the Association e.g. support for student research or of mainly academic interest but supporting science in an OERA research area. In these cases the scope of the research should be sufficiently limited to not require an external evaluation, and should be handled by the appropriate ASC. If the proposal meets the technical and scientific merits defined by the ASC it is then sent to the RAC for consideration.
- The proposal is an extension of existing research that has previously been funded by OERA. In this case the OERA funding request and nature of the research proposal would determine the evaluation and management process.

5.4 Sole Sourcing

From time to time, OERA may identify a research institution or specific researcher(s) who may have unique capabilities to conduct research that OERA wishes to support. In most cases these researchers will likely be part of organizations already covered under an MOU or MOA, however if they are not part of such a relationship, in the interest of fairness and credibility, OERA would normally want to test assumptions of unique capabilities through an open RFP. Nevertheless, to be flexible, targeted RFPs shall be allowed in unique circumstances including the following:

1. The work or service to be performed is of an urgent nature and cannot wait for the more normal timeframes of an open RFP.
2. Access to proprietary data of a unique nature is required and where, in the opinion of RAC, access to the data is fundamental to the objectives of the Association and where there is only one source for the data for the study that is being proposed
3. The work is of a service/support nature rather than fundamental research.

In the case of a Targeted RFP, clear documentation and Board approval is required for the award of work or service on a sole-source basis.

6 Proposal Submission Criteria

Proposals submitted in response to an RFP must address the subject matter/theme(s) of the RFP. Any proposal not falling within the scope of the RFP will not be considered for funding.

Proposals shall be submitted in the appropriate OERA proposal form as outlined in Schedule E. Proposals must be filled in completely, providing as much information as is

necessary to convey the relevance, strength and value of the R&D. Proposals must meet the following submission criteria to be considered for review;

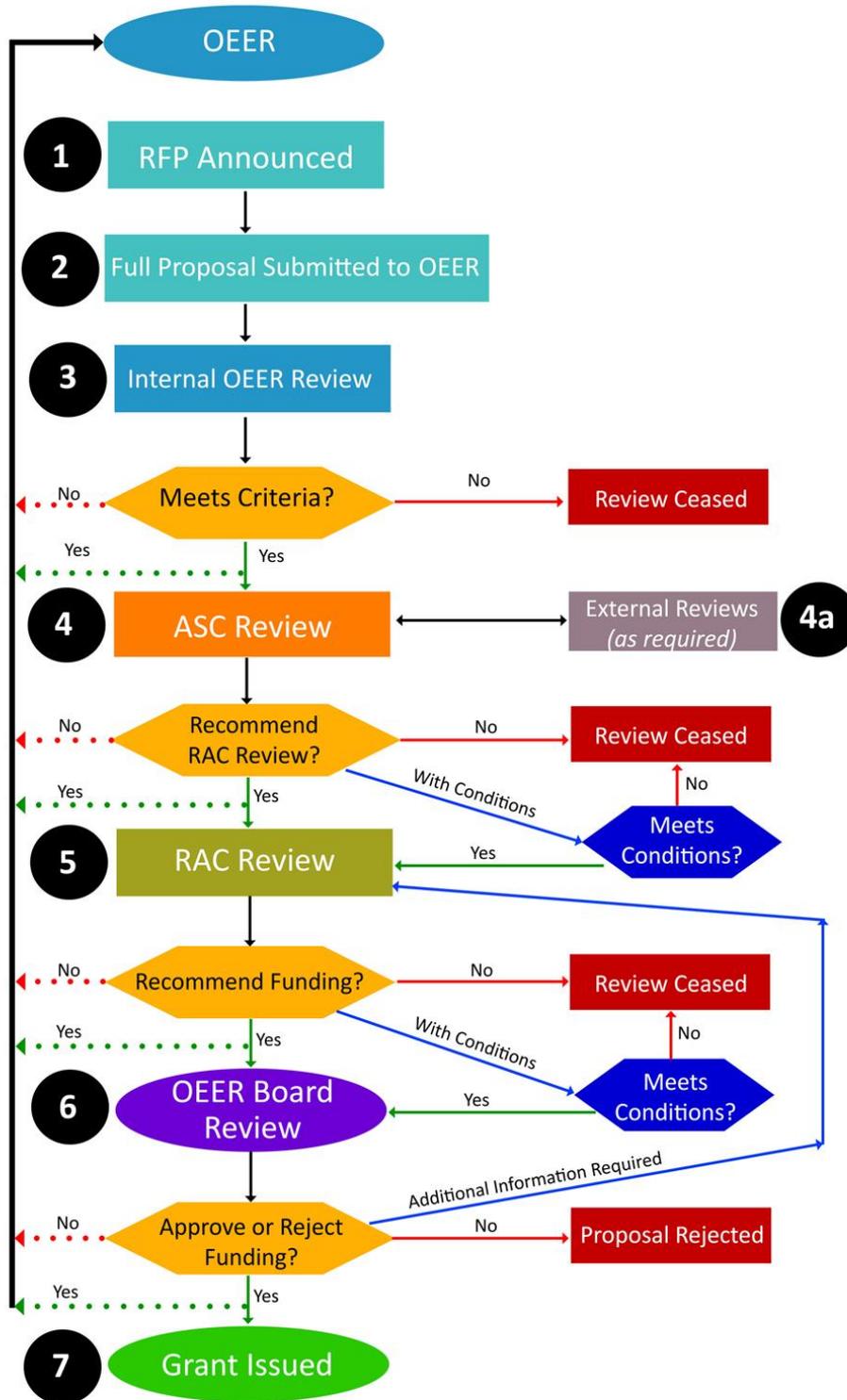
- Received by OERA by the proposal submission deadline
- Submitted on an OERA proposal form
- Properly formatted and complete
- Direct application to OERA's mandate and objectives
- Provide contact details of three potential reviewers who are familiar with the researcher's previous work, as well as their ability to evaluate the research design and the expected likelihood of success.
- Complete and clear budget information with justification for all expenditures
- Complete or clear dissemination plan.

7 Proposal Evaluation Process

All proposals undergo a stepped evaluation and approval process as described below. OERA will manage each step and be involved in each decision point.

1. A Request for Proposals is announced.
2. Applicants submit full proposals as outlined in Schedule D.
3. OERA staff review all proposals to ensure eligibility and compliance with submission criteria. If a proposal is not suited to the program under which it is submitted, OERA may recommend an alternative or decline to evaluate it.
4. Proposals are sent for review and evaluation to an Area Sub Committee (ASC). The ASC can request clarification and/or additional information from an applicant prior to making a final recommendation. Proponents have a set period of time in which to respond (typically five business days).
 - a. Outside technical expertise will be sought to assess the merit of proposals on behalf of the ASC as required.
5. ASC reviews are forwarded to the Research Advisory Committee. The RAC will undertake a high-level, non-scientific or technical review of those proposals recommended by the ASC. This review is to ensure that each proposal is consistent with OERA's priorities.
6. The RAC's recommendations for funding are forwarded to the OERA Board for approval. The Board of Directors will approve or deny project funding and may also request that the proposal be sent back to the RAC for further development.
7. The Board's funding decision will be communicated to the RAC and ASC. OERA staff will then proceed to negotiate and issue grants to the successful applicants.

Call for Proposals Process



* Solid black line indicates direct communication by OEER staff.

8 Evaluation of Proposals

All proposals will undergo an evaluation process consistent with the requirements as outlined by the ASC.

In the case of an RFP where there are multiple overlapping research proposals which have been evaluated, the ASC will rank the proposals in order of preference for funding.

Following submission of written evaluations by outside technical experts if required, each review will be assessed by the ASC. The ASC will incorporate the advice of the external reviewers to make recommendations to the RAC on the value of the research and likelihood of a successful outcome. At the discretion of the ASC, proponents may be given opportunity to modify their proposals should the ASC see an opportunity for improvement.

If any proposals are deemed to be of such poor quality to not be worthy of recommendation, this shall be brought forward to the next higher level with reasons for the decision. All qualifying proposals will then be assessed by the RAC against budget and other priorities as determined by the Board. Any change in ranking from that of the ASC shall be documented with rationale in a report to the Board.

The Board will make the final decision on which projects receive funding.

8.1 Evaluation Criteria

In all cases the most important criterion shall be the degree to which the research work meets the objectives of the OERA in a timely and efficient fashion for current applicability and future benefit. To address this, proponents are expected to provide a clear statement of the issue(s) to be addressed and expected outcomes that would result from the work research. Those outcomes should include increasing scientific knowledge and information that will assist regulators and regulatory policy-makers in making good public-interest decisions with respect to the interaction between the marine environment and energy exploration, development and production offshore Nova Scotia.

When evaluating a proposal, the ASC or outside technical experts shall determine if it is scientifically and/or technically sound, of strategic priority and if it has been developed to the point where anticipated outcomes can reasonably be achieved. The research team's past performance in meeting milestones, as well as demonstrated problem-solving capabilities shall also be weighed. When judging proposals of comparable merit, additional weight shall be given to those proposals which enhance the research capacity within Nova Scotia.

In all cases the ASC will determine what the measurement criteria and weighting of each will be during the evaluation process. This information shall be included in the RFP.

9 Grant/Contract Issuance

Following funding approval, applicants will be informed in writing by OERA staff of the successful outcome of their proposal on behalf of the Chair of the Board.

OERA staff will negotiate a contract/grant with clear deliverables with the researcher or institution as may be required. All research agreements, either by grant or contract, shall include provisions with respect to the following matters:

1. The rights of the Association to have access to the work and the ability of the members to use the research to further the aims of the Association.
2. The requirement for the work to be performed within the agreed timeframes and within the approved budget.
3. The requirement for progress payments, interim and preliminary finding reports and the right to terminate funding if there is denial of access to the findings or a material breach of the agreed timeframes.
4. Association to review financial disbursements at intervals indicated in Item 2 above;
5. The ownership of intellectual property will be addressed.
6. The rights of the Association to publicly distribute the results of any approved study upon its completion will be addressed.
7. Ownership and licensing of any data collected shall reside with the researcher subject to the provisions above and to the specific provision that member organizations have access to the data as well as the interpreted results.

9.1 Eligible Budget Items

Funding shall be primarily directed toward conducting the research. However, it is recognized that each project may have associated costs to the research organization such as overhead, equipment and computer software. Therefore, grants or contracts may include provisions for minor equipment and software acquisitions, to a maximum of 5% of the value of the grant/contract, and to a maximum value of \$10,000 regardless of the total amount of the grant/contract. Administrative costs associated with the conduct of the research may be covered up to a maximum of 10% of the grant/contract.

10 Management of Grants

Principal investigators shall liaise with and report progress to the designated Program/Research Manager or OERA staff, which is/are responsible for administration of the project files and funding. If a project requires ongoing (e.g. annual or phased) review, the ASC and/or outside technical experts shall provide a recommendation to the RAC on the merit of continuing or ceasing further funding. Such advice shall be taken to the Board for a final decision.

11 Project Reporting and Publication

Each research grant or contract shall stipulate the requirements for reporting objectives, activities, results and finances as outlined in Schedules G and H. OERA reserves the right to carry out its own review of projects and to make determinations on further funding of grants subject to its satisfaction that progress is being made. OERA also reserves the right to designate a peer reviewer on its behalf of any publication arising from an OERA-funded project.

12 Confidentiality

The Ethics Policy has been approved by the Board of Directors of the OERA Association and contains the following item regarding Confidentiality.

The Association is committed to the principles of openness and transparency in its governance and although not bound by the FOIPOP Act, the Association has to act in a manner consistent with the standards established under this legislation.

The Association's process for divulging information will take into account the integrity of the proposal review process and the personal, private or confidential commercial information contained in applications for funding. Therefore, all information contained in proposals, reviews and committee discussions is strictly confidential. Proposals and all information related to an application for funding are deemed to be the personal, private or confidential commercial information of the applicant.

Therefore, all information contained in proposals, reviews and committee discussions is strictly confidential.

-OERA Ethics Policy

Premature disclosure of decisions is inappropriate and potentially damaging to the decision making process, and as such the Association's directors, officers, employees, committee members, volunteers or contractors are prohibited from:

- (a) providing information before, during and after the review regarding their deliberations or recommendations to anyone outside the review process, and
- (b) discussing with applicants any information relating to the review of a specific application or offer opinions on the chances of success or failure.

Funding applicants have the right to have their submissions remain confidential during the review process. RAC/ASC members and external reviewers are all required to sign a confidentiality agreement with OERA indicating they will not disclose the contents of any proposals or reviewers' comments without permission of the research proponent or OERA.

Identities and comments of reviewers will remain confidential unless reviewers authorize release of this information. All reviewers must sign a confidentiality agreement (or at least give assurances) which prohibits the disclosure of the contents of any proposals.

The confidentiality agreement is contained in Schedule E.

The results of funding decisions and the nature of the work funded should be a matter of Public Record. The results of research findings are covered in Section 14.

13 Conflict of Interest

All evaluations and management of proposals and projects shall be done in a manner that is consistent with the OERA's Ethics Policy as outlined in Schedule H.

14 Access to Results

Depending upon the confidentiality of a project, access to the results of a project may either be open or partially restricted.

Projects considered to be non-confidential and thus open, are typically undertaken to advance public knowledge in order to reduce risks or uncertainties related to environmental research. In these cases, final project reports and associated data are made available in the public domain.

Certain projects supported by OERA may lead to the advancement of knowledge for both the public interest and for commercial or competitive gain of the principal investigator. Typically these projects may reserve some portion of the intellectual property arising from the research, however in no case will research findings be kept totally confidential and all efforts will be made to disclose all matters of public interest in the area of ocean energy activities where funding is made available from combined contributions, outcomes must be made available in such a way to be of benefit to stakeholders as a whole.

SCHEDULE A

AREAS OF RESEARCH PRIORITY

In accordance with Section 25 of the OERA Bylaws the Board of Directors, through workshops, conferences and in consultation with appropriate experts, establishes the strategic direction and priorities for research activities to be funded by the corporation, and communicates these plans and priorities to the research community and the Research Advisory Committee (RAC).

SCHEDULE B

OERA BOARD OF DIRECTORS

OERA Board Members

Joshua Leon

Chair and Director

Dean of the Faculty of Engineering, Dalhousie University.

Robert MacKay

Director

Principal of RA Mentor Strategic consulting and provides strategic planning advice to companies in their business dealings with governments and the petroleum sector.

Tom Herman

Vice-Chair and Director

Tom Herman presently holds the position of Acting Vice-President Academic and Professor of Biology at Acadia University.

Jim Gogan

Director

Jim Gogan's primary area of practice at the Breton Law Group in Sydney, Nova Scotia, has been in the area of oil and gas through his representation of the Province of Nova Scotia over the past 4 years.

Bruce Cameron

Director and Secretary

Executive Director of Renewable and Sustainable Energy, Nova Scotia Department of Energy.

Bob Bailey

Director

Vice President Academic and Research at Cape Breton University.

Jeff Somerville

Treasurer and Director

Partner, Venor Recruitment

Kevin Vessey

Director

Dean, Faculty of Graduate Studies and Research, Saint Mary's University

Keith De'Bell

Director

Associate Vice President Research, St. Francis Xavier University

SCHEDULE C

ENVIRONMENT RESEARCH ADVISORY COMMITTEE MEMBERS

Rod Doane, *COOGER (Chair)*

Sandra Farwell, *Nova Scotia Department of Energy*

Gord MacDonald, *Area 21 Crab Fishermen Association*

Lucia MacIsaac, *Cape Breton University*

Eric Theriault, *CNSOPB*

Graham Daborn, *Acadia Centre for Estuarine Research*

Edwin DeMont, *St. Francis Xavier University*

John Wanczycki, *ESANS*

SCHEDULE D

OERA PROPOSAL FORM

Proposal Number: (OERA use only)	Proposal Title:
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Does this proposal contain confidential information?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
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NOTE: ALL PROPOSALS ARE SUBJECT TO EXTERNAL PEER REVIEW

Project Synopsis/Overview: Generally describe the proposed research in non-technical terms. Include expected results and their intended use or application.

Principle Investigator:

Title:	First name:	Family name:
Organization:		
Department:	Phone:	Email:
Address:	Fax:	Web site:

I certify that I am authorized by the Company/University Department/Consortium Partners to submit this proposal to Offshore Energy Research Association of Nova Scotia for a funding request. The description of this proposal and the information on this application form is accurate and agreed to by the Company/University Department/Consortium Partners.

Signature:	Date:
Name:	

A. Scientific and Technical Objectives and Outcomes (append additional information if required – maximum three (3) pages):

Identify how the proposal addresses the specific and relevant research objectives of the OERA. What problem(s)/challenge(s) does it address? Describe the objectives in a measurable and verifiable form (outputs, impacts). Outline the basic requirements and project approach.

B. Project Scope and Time Frames (append additional if required to cover activities for each year):

Briefly describe the work plan, methodology and approach for key elements of the research as outlined in Section A above. Specify any unique facilities that will be used. For each activity, list expected outcomes that can be used by OERA to measure project progress and results. **Note: Reports and papers are not considered to be outcomes but rather means of describing them.**

Activity:

Outcome:

Anticipated Start Date: Anticipated End Date:

Activity:

Outcome:

Anticipated Start Date: Anticipated End Date:

Activity:

Outcome:

Anticipated Start Date: Anticipated End Date:

C. Financial Requirements:

Project Duration:

Total Project Cost:

Funding Requested from OERA:

Proposed Eligible Costs (all costs for the entire project including those proposed to be funded by OERA):

Project Element	Year 1	Year 2	Year 3	Total
Personnel Salaries:				
a) Students				
b) Post-doctoral fellows				
c) Technical/professional assistants				
d) Other (please specify)				
Equipment/Facilities (please specify):				
a)				
b)				
c)				
d)				
Materials/Supplies (general listing):				
a)				
b)				
c)				
d)				
Travel:				
a) Conferences/workshops				
b) Field Work				
c) Consultation				
d) Other (please specify)				
Dissemination:				
a) Publications				
b) Papers				
c) Industry Outreach				
d) Other (please specify)				
Other (please specify):				
a)				
b)				
c)				
<hr/>				
Total Project Costs				

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OERA Funding (specify how OERA’s funds will be allocated – i.e. \$ per year, per eligible cost item):

Project Element	Year 1	Year 2	Year 3	Total
Personnel Salaries				
Equipment/Facilities				
Material/Supplies				
Travel				
Dissemination				
Other (specify as in previous table)				
Other (specify as in previous table)				
Other (specify as in previous table)				
Total OERA Funding				

Other (external to OERA) Project Financing – Secured:

Organization	Year 1	Year 2	Year 3	Total
Cash Contribution				
				
Subtotal Cash				
In-kind Contribution				
				
Subtotal In-kind				

Subtotal Project Financing - Secured

Other (external to OERA) Project Financing – Applied For/To Be Applied For:

Organization	Year 1	Year 2	Year 3	Total
Cash Contribution				
				
Subtotal Cash				
In-kind Contribution				
				
Subtotal In-kind				

Subtotal Project Financing – Applied For

Total Project Financing				
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D. Proponent Profile and Research Team:

(Complete this page for **each researcher, partner and sub-contractor** involved in the project, including Principal Investigator)

Team Member:

Title:	First name:	Last name:	
Phone:	Fax:	Email:	Web site:
Organization:			
Type of organization:			
Department:			
Address:			

Number of employees (company only):

Names of principle owners (> 25% ownership):

Relationship to Other Partners (e.g. operational and/or financial, please briefly describe):

Role/Function in Project (e.g. researcher, unique facilities, sponsor, commercialization):

Relevant Expertise/Experience (include short, 10 line CV of this individual):

I certify the above information is accurate and that my organization has agreed to participate in this proposal.

Signature:	Name (Print):	Date:
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E. Research Facility(s):

(Complete this page for **each research facility** that will be used as part of this project)

Facility Name:

Primary contact (related to the proposed research):

Address:

Facility web site:

Role/Function in Project (e.g. unique laboratories/equipment etc.):

Signing Authority (e.g. research officer, financial officer etc.):

Title:	First name:	Family name:
Phone:	Fax:	Email:

I certify the above information is accurate and that my organization has agreed to participate in this proposal.

Signature:

Name (Print):

Date:

F. Innovation (append additional information if required):

Describe current products or practice in this area, as well as recent and/or on-going research projects that you know of. How will this project advance the state of knowledge in this area? What is the level of technical and economic risk? Include relevant references.

H. Stakeholders (append additional information if required):

Who will use or benefit from this research? Have you communicated with potential users and if so, what is their reaction?

--

M. Safety and the Environment (append additional information if required):

Describe how best safety and environmental practices will be adhered to.

P. Appendices:

Attach documentation for the following:

- If necessary, additional information from proposal sections (**clearly** indicate which section they pertain to)
- If necessary, information not requested in the proposal but that you feel is pertinent to the evaluation (maximum four (4) pages)

SCHEDULE E

RESEARCH ADVISORY COMMITTEE, AREA SUB-COMMITTEE AND EXTERNAL REVIEWER CONFIDENTIALITY AGREEMENT

I understand that confidentiality in my role as a Research Advisory Committee (RAC), Area Sub-Committee (ASC) member or External Reviewer is crucial to maintaining the integrity of the OERA Association research selection process. As a member of the RAC or ASC, or an External Reviewer, I will have access to documents containing personal and proprietary information relating to each proposal.

I agree that I shall not violate the confidentiality interests of proponents and of OERA. The documentation I am provided with must be used only for the purpose, for which it was originally provided to me; that is to assess the quality and merit of research proposals submitted to OERA and to make recommendations on whether or not funding may be appropriate. With the exception of discussing proposals in a RAC or ASC meeting, the documents must not be used for any other purpose, discussed with others, or disclosed to external parties.

I understand that OERA documents in my possession must be stored in a secure manner to prevent unauthorized access. Information regarding these documents (and the documents themselves) must be transmitted using secure techniques and when no longer required they should be destroyed by deleting electronic files and by shredding paper files.

Evaluation deliberations are confidential. Comments made by individual committee members during the proposal assessment and the conclusions of the committee's review must never be discussed or disclosed except where the disclosure is:

1. At the request of OERA
2. Required under legal compulsion, such as by order of a court or tribunal

By signing this agreement I consent to following its guiding principles and agree to take personal responsibility for my actions. If I have any questions about this agreement I understand that I am free to consult with the OERA at any time.

Name (Please print)

Signature

Date

SCHEDULE F

INTERIM REPORTING REQUIREMENTS

OERA requires interim reports for the purposes of assessing progress of the Research Project. OERA will review reports to compare progress of the Research Project relative to objectives, methodology and deliverables stated in the original proposal and specified in this Agreement. This review will be used to determine:

- if the Research Project is proceeding as originally outlined;
- if the Research Project is proceeding in a scientifically/technologically sound manner;
- if changes are required to re-align the Research Project with original objectives and proposed deliverables, and;
- if a subsequent installment of funds should be disbursed as per the Agreement, and in what amount.

Guidelines for Submitting Interim Reports

Reporting Period

Interim reports shall cover successive incremental periods of time during the course of the Research Project and shall cover no more than a one-year timeframe.

Due Dates

Interim reports are due on the anniversary of the signing of this Agreement.

Report Submission

Interim reports shall be e-mailed to OERA (nperry@oera.ca). Include the Research Project number and “Interim Report” in the subject line.

Style

Reports shall be single column in portrait format. Elaborate typefaces should be avoided, and Times New Roman at 10 or 12 point, single-spaced is recommended.

Sections

Interim reports shall contain the following sections and information:

1. Cover/title page

- Research Project title including “Interim Report” and Research Project number (OERA Grant number);
- Research Project start-date and period of time covered by the report;
- Name and affiliation (department, institution, company, etc.) of Grant Recipient; and
- Date of submission.

2. Summary – provide historical background to the Research Project, why it was undertaken, its objectives and significance for industry and academia. The summary

should briefly describe the science undertaken over the reporting period and highlight major research findings and outcomes applicable to both industry and academia.

3. Scientific Objectives – state the objectives as they appeared in the original application, or as otherwise approved. If either the objectives or approach changed, this must be clearly described with justification for such changes.

4. Description of Progress – provide a description of progress made to-date towards achieving the Research Project objectives and include how the research has refined or advanced the state of knowledge.

5. Dissemination and Technology Transfer – indicate activities undertaken to advance awareness of the Research Project and its progress/results through the reporting period. Provide recommendations to industry and the research community on what is required to advance the area of research you are engaged in. Indicate what your contribution is to new technology and any future work suggested. Describe any new products or services developed.

In this section also include a list of conferences, events and meetings attended in which the Research Project and its results were promoted.

6. Publications – cite published, accepted and submitted papers including publications in peer-reviewed journals arising from the research conducted as a result of the Research Project. Copies of all such publications as well as other presentations, papers, articles and related material developed as a result of this Agreement during the reporting period shall be appended.

7. Funding – report any other sources of cash and in-kind financing that have been secured for this Research Project.

8. Expenditures of OERA Funds – provide a financial statement of OERA funds expended through the reporting period. Use the initial application budget as a comparison and justify any deficit or surplus of funds as well as deviations from the budget.

The following sample table can be used as a template for summarizing expenditures:

Eligible Costs	Budgeted Amounts	Actual Expenditures
Salaries and Benefits	28,000	25,000
Equipment and Facilities	5,000	3,000
Materials and Supplies	15,000	13,000
Travel	1,000	1,000
Dissemination	1,000	800
Overhead		
Totals	\$50,000	\$42,800
Surplus/(Deficit)		\$7,200

9. Employment Summary – prepare a table similar to that shown below outlining the employment created by the Research Project.

Name	Position	Student (Yes/No)	PhD., MSc., Undergrad.	Full or Part Time	Scientific contributions made to the research	Work- months associated with the Research Project

10. Next Steps – provide an outline of what is planned to be done in the next term of support and what is expected to be accomplished. This should include plans for further dissemination of research results.

SCHEDULE G

FINAL REPORTING REQUIREMENTS

Final reports shall in form and content be acceptable to OERA in its sole discretion.

Guidelines for Submitting Final Research Project Reports

Reporting Period

Final reports shall cover the entire term of the Research Project.

Due Date

Final reports are due within 30 days of completion of the Research Project.

Report Submission

Final reports shall be e-mailed to OERA (nperry@oera.ca). Include the Research Project number and “Final Report” in the subject line.

Specific Requirements of the Final Report

Style

Reports shall be single column in portrait format. Elaborate typefaces should be avoided, and Times New Roman at 10 or 12 point, single-spaced is recommended.

Length

There are no restrictions on length.

Sections

Final reports shall contain the following sections and information:

1. Cover/title page

- Research Project title including “Final Report” and Research Project number (OERA Grant number);
- Research Project duration (start and end-dates);
- Name and affiliation (department, institution, company, etc.) of Grant Recipient; and
- Date of submission.

2. Summary – provide an abridged version of the entire report, written in non-technical terms describing salient features including objectives, methodology, results, conclusions and any recommendations of the research.

3. Table of Contents – list contents and arrangement of report including appendices and illustrations as required.

4. Introduction – prepare the reader for discussion to come. Indicate purpose, scope and background information so the reader understands why the report was written.

5. Discussion of Objectives, Methodology and Results – provide a narrative that provides all the details, evidence and data needed by the reader to understand what the author did and learned. Describe the scientific/technological significance of the results to the petroleum industry and Nova Scotia, as well as to the research community. Provide justification for any deviation from the original objectives and methodology.

6. Dissemination and Technology Transfer – describe efforts made and successes in communicating or transferring research results to identified users. Include any and all information indicating how results have been implemented along with early evidence or expectations of benefits to Nova Scotia’s petroleum industry.

7. Conclusions and Recommendations – summarize conclusions drawn from the research and recommendations for next steps.

8. Publications – cite published, accepted and submitted papers including publications in peer-reviewed journals arising from the research conducted as a result of the Research Project. Copies of all such publications as well as other presentations, papers, articles and related material developed as a result of this Agreement and not previously submitted in progress reports shall be appended.

9. Expenditures of OERA Funds – provide a financial statement of OERA funds expended through the reporting period.

The following sample table can be used as a template for summarizing expenditures:

Eligible Costs	Budgeted Amounts	Actual Expenditures
Salaries and Benefits	28,000	25,000
Equipment and Facilities	5,000	3,000
Materials and Supplies	15,000	13,000
Travel	1,000	1,000
Dissemination	1,000	800
Overhead		
Totals	\$50,000	\$42,800
Surplus/(Deficit)		\$7,200

10. Employment Summary – prepare a table similar to that shown below outlining the employment created by the Research Project.

Name	Position	Student (Yes/No)	PhD., MSc., Undergrad.	Full or Part Time	Scientific contributions made to the research	Work- months associated with the Research Project

11. Bibliography/References – list reference documents used to conduct the Research Project and which the author considers to be useful to the reader.

12. Appendices – append supporting data and information relevant to the Research Project but not forming part of the body of the text.

SCHEDULE H

OERA ASSOCIATION Ethics Policy

I. Application

This policy applies to all directors, officers, committee members, employees or contractors of OERA (also referred to herein as “the Association”).

II. Guiding Principles

The OERA wishes to fulfill its mission with integrity and to the high ethical standard defined in this policy. The integrity of the organization’s decision-making could be compromised by a real, potential or perceived conflict of interest on the part of any of its directors, officers, committee members, employees or contractors. Trust and confidence in the board of directors and the organization can only be sustained if conflicts of interest are identified, disclosed and resolved in an appropriate manner. Conflicts of interest that arise between an individual and the OERA shall be resolved in accordance with this policy.

It is clearly understood that there is an inherent community of interest in research and that the members of the Association have an interest collectively as well as individually in the granting of research funds and project funds in meeting the aims of the Association.

III. Applicable Laws and Acts

The Association is required to comply with the requirements of the *Canada Corporations Act*, R.S.C. 1970, c. C 32 as from time to time amended (“the Act”) with respect to conflict of interest. The relevant excerpts of the Act are found in Appendix A. Section 35 of the Association by-laws states:

Each director and officer shall declare in writing to the corporation, his/her interest in any contract or transaction or proposed contract or transaction with the corporation. **In the case of a director, the required declaration shall be made at the time and in the manner required by the Act.** Except as permitted by the *Act*, the director shall not be entitled to vote in respect of any contract or transaction or proposed contract or transaction in which he is so interested and if he does so vote, his vote shall not be counted. **A conflict of interest shall not be assumed simply because a director is an employee of an organization for which the Research Advisory Committee is recommending be granted funds for research work.** (Emphasis added.)

The intent of this policy is to establish ethical standards that are consistent with the Act and the by-laws and statutes, as well as certain additional standards and guidelines with respect to ethical decisions made.

IV. Definitions

A conflict of interest is:

- any situation in which an individual's private or personal interests may be incompatible, or may be reasonably perceived to influence, the exercise of their duties and responsibilities as a director, officer, committee member or employee of the Association.
- any situation where the involvement of an individual in another organization may be incompatible with, or may be reasonably perceived to influence, the exercise of their duties and responsibilities as a director, officer, committee member or employee of the Association.

A conflict of interest can be:

- of a monetary or economic nature (gain or avoidance of loss), or
- non-economic interests or benefits that may serve political, corporate or institutional interests of an individual or another organization in which the individual has an interest

A conflict of interest can also be:

- direct – where an individual benefits directly (whether financially or otherwise) or
- indirect – where an individual derives an indirect benefit through family relationships

Finally, this policy includes a conflict of interest that is:

- real - an interest that is incompatible with their duties and responsibilities
- potential - an interest that could give rise to a real conflict depending upon how the situation unfolds (e.g. an organization issues an RFP for professional services; if a director is a partner in a firm that is considering responding, he/she has a potential conflict; if the firm does not respond, there is no conflict), or
- perceived - an interest that may be reasonably perceived to influence their duties and responsibilities.

A conflict of interest does not exist where:

- the interest is so remote or insignificant that it cannot reasonably be regarded as likely to influence the individual, or where a pecuniary interest is in common with a broad group of which the director is a member

V. Granting Process and Structure

(a) Role of the Board of Directors

Section 25 of the bylaws provides that the board of directors, through workshops or conferences and consultation with appropriate experts, will:

- establish the strategic directions and priorities for research activities to be funded by the Association and
- communicate these plans and priorities to the research community and the Research Advisory Committee.

The board of directors will:

- receive recommendations in relation to the scientific merit and fit of the Research Proposals with these priorities from the Research Advisory Committee and
- approve such recommendations or reject them in whole, or return the matter for further consideration and recommendation of the Research Advisory Committee.

b) Role of the Research Advisory Committee

The Research Advisory Committee (RAC), as a standing advisory committee appointed by the Board of Directors, will:

- (a) provide recommendations on scientific merit and priorities as outlined in section 25 (above);
- (b) monitor the progress of OERA-funded research by identifying criteria and process for reviewing progress reports and conducting reviews of those reports; and
- (c) make recommendations to the board of directors for adjustments to the Research Proposals funded by the OERA including adding projects, terminating projects, allocating and adjusting funds and budgets.

The work of the RAC may be supported by (a) volunteer technical assistance committees established by the RAC and/or (b) contracted external technical academic evaluations commissioned by the Association. For greater certainty, this policy applies to those who support the work of the RAC in this manner.

VI. Confidentiality

The Association is committed to the principles of openness and transparency in its governance and will adhere to the standards established under applicable privacy legislation.

The Association's process for divulging information will take into account the integrity of the grant review process and the personal, private or confidential commercial information contained in applications for funding. Therefore, all information contained in applications, reviews and committee discussions is strictly confidential. Applications and all related information supplied by an applicant are deemed to be the personal, private or confidential commercial information of the applicant.

Premature disclosure of decisions is inappropriate and potentially damaging to the decision making process, and as such the Association's directors, officers, employees, committee members, volunteers or contractors are prohibited from:

- (c) providing information before, during and after the review regarding their deliberations or recommendations to anyone outside the review process, and
- (d) discussing with applicants any information relating to the review of a specific application or offer opinions on the chances of success or failure.

Once a research contract has been awarded by the Association, the terms of said research contract will be publicly available and will be posted on the Association's website.

With respect to other information, the Province's Freedom of Information and Protection of Privacy Act will be used as guidance when making decisions on whether to release the information.

VII. Conflict of Interest Guidelines

The Association must make every effort to ensure not only that its decisions are fair and objective, but also that they are seen to be. No individuals with a conflict of interest as defined in this policy may participate in the review of an application or decisions regarding the granting of research funds except as specifically outlined in this policy. Therefore, individuals who have an application, either as an individual or as a member of another organization, before the RAC (or its Technical Advisory Committees or like sub-delegates), Board of Directors or other relevant committee shall limit their participation in meetings in manner set out in the Procedures section below.

In order to provide greater clarity in interpreting the general principles outlined in this policy, the following examples are given where an individual must declare a conflict of interest and also leave the room when an application for funding is being considered:

Note the circumstances listed below are not exhaustive and are intended to simply provide further guidance.

- Has been, or would be, directly involved in the project (e.g. as a current or past advisory board member, consultant, collaborator, or conference speakers whose expenses would be paid from the grant),
- Has collaborated academically or in research matters, published or been a co-applicant with the applicant, within the last five years,
- Serves as an officer, director, member, owner, trustee, expert, advisor, consultant (with or without compensation), or employee of an applicant or other organization that would be affected financially by his or her decision,
- Is employed by the same institution or organization as the applicant or was employed there within the past year, (*although not considered a conflict of interest, directors in these circumstances are expected to withdraw from any discussion/decision regarding an application from his/her organization),

- Is or has been under consideration for a position at the applicant's organization or institution within the last two years,
- Has served as an officer, director, member, owner, trustee, expert, advisor, consultant (with or without compensation), or employee with the applicant's organization within the past year,
- His/her organization has members or closely affiliated officials (e.g. board of trustee members) who serve as an officer, director, member, owner, trustee, expert, advisor, consultant (with or without compensation), or employee with the applicant's organization or institution,
- Has been a student, advisor or supervisor of the applicant or other key personnel identified in the application within the last ten years,
- Is a close personal friend or relative of the applicant,
- Has had long-standing scientific or personal differences with the applicant,
- Has immediate family or household members who are in a position to gain or lose financially from the outcome of the application (e.g. hold stock in the company of an industry partner or a competitor),
- Has a proposal planned for submission to the Association or currently under review by the Association within the same subject area as the proposed project,
- Is currently involved in a project closely associated with the proposed project,
- For some other reason feel that they cannot provide an objective review of the application,

Other circumstances (beyond those itemized in the guidelines above) may give rise to actual, potential or perceived conflicts of interest. If an individual has concerns about whether or not a situation presents a conflict of interest, he/she should consult the Chair of the RAC or the Board Chair, as the case may be, who will help to determine whether or not particular circumstances give rise to a conflict of interest.

In the event that the issue cannot be resolved by the RAC Chair or the Board Chair respectively, the question of whether or not particular circumstances present a conflict of interest will be referred to the board of directors for determination via majority resolution. In the event that an actual, potential or perceived conflict of interest is found to exist, the procedures for disclosure and withdrawal outlined in the Procedures section of this policy will apply.

VIII. Procedures

- (a) At the start of any meeting, the Chair (committee chair or board chair, as the case may be) poll the directors, officers, employees and committee members on whether or not they have any conflicts of interest. The results of that poll will be recorded in the minutes of the meeting. If an individual finds that a conflict of interest becomes apparent only as the meeting progresses, the nature of the conflict should be declared as soon as practicable to the Chair.

- (b) Contractors are to disclose conflicts to the Association's Secretary-Treasurer and/or the Board Chair who will in turn bring the declaration to the attention of the board of directors.
- (c) Except as set out in section (e) when a director or a member of the Research Advisory Committee or any of its Technical Advisory Committees is asked to decide or advise on the granting of funds for a project or program of research proposed by an individual or group within an organization with which they are a member they are required to withdraw from discussion and refrain from voting.
- (d) An individual with a declared conflict of interest will be required to withdraw from the meeting for the discussion and vote of the application or matter giving rise to the conflict.
- (e) In the event that, despite a real, potential or perceived conflict, it is felt to be essential that an individual with a declared conflict of interest must participate in a discussion (e.g. where the individual is the only available source of expertise needed to inform the decision-making process), that person may be permitted to participate in the discussion of the application or matter giving rise to the conflict. The individual in question should participate to the minimal extent required, and in any event shall not vote on the application or other matter being discussed. This option only applies where the individual does not plan to work on the project under consideration. Where such an exception is made, it must solely be on the grounds that the value to the quality and integrity of the application review process of the individual in question may be deemed to outweigh any residual suggestion of conflict arising from the declared conflict of interest.
- (f) Notwithstanding any of the above, an individual may voluntarily choose to withdraw from the discussion of a proposal at any time if s/he wishes to do so. This may arise for a number of reasons as discussion of the proposal develops. The meeting secretary should record in the minutes the point at which an individual ceases to take part in the discussion and leaves the meeting.
- (g) If there is any doubt about whether the decision to remain involved is defensible to a reasonable member of the public then the individual should absent themselves or be asked by the Chair to leave the meeting.
- (h) Following the conclusion of any review of applications by the RAC, the Committee Chair shall report to the board of directors the number of conflict of interest issues which were identified and a summary of how they were dealt with by the Committee.

IX. Consequences

Where a breach of this conflict of interest occurs, decisions may be called into question and the actions of those involved subject to further scrutiny. Disciplinary action, requests for resignation and prohibition against future involvement with the Association are among the potential consequences for individuals who contravene this policy.

Appendix A – Canada Corporations Act -Conflict of Interest

98. (1) Subject to this section, it is the duty of a director of a company who is in any way, whether directly or indirectly, interested in a contract or proposed contract with the company to declare his interest at a meeting of directors of the company.

(2) In the case of a proposed contract the declaration required by this section to be made by a director shall be made at the meeting of directors at which the question of entering into the contract is first taken into consideration, or, if the director is not at the date of that meeting interested in the proposed contract, at the next meeting of the directors held after he becomes so interested, and, in a case where the director becomes interested in a contract after it is made, the declaration shall be made at the first meeting of directors held after the director becomes so interested.

(3) For the purposes of this section, a general notice given to the directors of a company by a director to the effect that he is a shareholder of or otherwise interested in any other company or is a member of a specified firm and is to be regarded as interested in any contract made with such other company or firm shall be deemed to be a sufficient declaration of interest in relation to any contract so made.

(4) No director shall vote in respect of any contract or proposed contract in which he is so interested as aforesaid and if he does so vote his vote shall not be counted, but this prohibition does not apply

(a) in the case of any contract by or on behalf of the company to give to the directors or any of them security for advances or by way of indemnity,

(b) in the case of a private company, where there is no quorum of directors in office who are not so interested, or

(c) in the case of any contract between the company and any other company where the interest of the director in the last-mentioned company consists solely in his being a director or officer of such last-mentioned company, and the holder of not more than the number of shares in such last-mentioned company requisite to qualify him as a director.

(5) A director who has made a declaration of his interest in a contract or proposed contract in compliance with this section and has not voted in respect of such contract contrary to the prohibition contained in subsection (4), if such prohibition applies, is not accountable to the company or any of its shareholders or creditors by reason only of such director holding that office or of the fiduciary relationship thereby established for any profit realized by such contract.

(6) For the purposes of this section “contract” includes “arrangement” and “meeting of directors” includes a meeting of an executive committee elected in accordance with section 96.

(7) Nothing in this section imposes any liability upon a director in respect of the profit realized by any contract that has been confirmed by the vote of shareholders of the company at a special general meeting called for that purpose.

(Emphasis added.)