



<b>Category:</b>	<b>Research and Copyright</b>
<b>Approved By:</b>	<b>Board of Governors</b>
<b>Approval Date:</b>	<b>October 18, 2012</b>
<b>Effective Date:</b>	<b>October 18, 2012</b>
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<b>Policy Sponsor:</b>	<b>Provost and Vice President Academic</b>
<b>Policy Administrator:</b>	<b>Associate Vice President Research</b>

## **Applied Research and the Promotion of Innovation Policy**

### **Purpose**

The purpose of this policy is to establish procedures for the conduct of research and scholarly activity; and to promote applied research and innovation.

### **Scope / Limits**

This policy applies to all persons conducting research under the auspices of Lethbridge College.

### **Definitions**

### **Policy Statements**

1. Applied research is an essential component of the mandate of Lethbridge College. Lethbridge College will continue to disseminate of knowledge and transfer technology at the local, national and international level. To fulfill this service role, Lethbridge College must establish relationships to interact with local, national and international communities, maintain the trust and confidence of these larger communities, and provide a venue for unbiased inquiry, which is necessary to discover knowledge through research.
2. While encouraging greater participation by the local, national and international communities in Lethbridge College research activities, including participation in funded research, there is a need for Lethbridge College to define its relationships with those communities, and for formalizing and communicating Lethbridge College's standards with respect to ownership of intellectual property and ethical matters (e.g. confidentiality, conflict of interest, use of humans / animals).
3. Lethbridge College seeks and accepts relationships to conduct applied research where these undertakings have strong potential for practical learning experiences for students, to enhance instructor knowledge, or contribute to the social, cultural, or economic well-being of society.
4. Lethbridge College assigns responsibility for the oversight and coordination of applied research and innovation to the Director of Applied Research and Innovation and provides the support services to carry out this responsibility.

5. Lethbridge College recognizes applied research activities and scholarly work associated with applied research and innovation and may consider such activities as workload that can be assigned to employees and pro-rated relative to the normal workload associated with those individuals.
6. Through its existing programs and resources for professional development, Lethbridge College recognizes and encourages professional development aimed at increasing the capacity and knowledge to participate in applied research and the promotion of innovation.
7. Lethbridge College and its researchers shall comply with all relevant policies of the College and any funding body as well as all legal requirements.
8. All research involving biohazards shall be reviewed and approved by the Biosafety Officer before funds shall be released or work commenced. The Biosafety Officer shall use as a minimum standard the Public Health Agency of Canada's *Laboratory Biosafety Guidelines*.
9. Lethbridge College provides safeguards, as is reasonably practicable, to protect the sensitive and confidential information entrusted to it and abides by funding agency data protection requirements as determined in any agreements entered into between Lethbridge College and a funding agency.
10. The Applied Research Office acts as the Research Grants Office at Lethbridge College.
11. Lethbridge College provides a General Research Fund account in order to carry forward any residual grant funds from prior years. Such funds, should they be awarded to Lethbridge College, will be held in trust for the funding agency and will be used to enhance the quality of research as specified by the funding agency.

## **A: Policy Supports**

[Applied Research Procedures \(Appendix A\)](#)

## **B: Legislated References**

## **C: Other References**

Public Health Agency of Canada – Laboratory Biosafety Guidelines

## **D: Related Policies**

Academic Freedom 2.27

Animal Care

Code of Conduct

Confidentiality

Conflicts of Interest and Mandatory Disclosure

Integrity in Research and Scholarship

Research Involving Human Participants

Board of Governors Executive Limitation:

EL-11 Ethical Research



<b>Parent Policy:</b>	<b>Applied Research and the Promotion of Innovation</b>
<b>Effective Date:</b>	<b>October 18, 2012</b>
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<b>Policy Sponsor:</b>	<b>Provost and Vice President Academic</b>
<b>Policy Administrator:</b>	<b>Associate Vice President Research</b>
	<b>Appendix A</b>

## **Applied Research Procedures**

### **Part A: Overview**

This procedure applies to research proposals submitted by college employees, as well as to contracts and grants (collectively agreements) entered into by the college for research carried out under the auspices of Lethbridge College, on or off college premises, using college resources, services, facilities or equipment. Its purpose is to set out the terms and conditions under which the Board is prepared to contract for research and to accept research grants.

### **Part B: General Procedures**

1. It is the principal investigator's and the college's responsibility to ensure that all expenditures authorized against college accounts conform with the approved budget, with all terms and conditions of the agreement, with all regulations of the sponsoring agency, and with all applicable policies and regulations of the college.
2. A wide variety of research arrangements and agreements are possible. Each research funding arrangement may serve the aims and objectives of an investigator's research and the pedagogical and other aims and objectives of Lethbridge College in different ways and to different degrees and that Lethbridge College may derive benefits other than financial from the performance of research. These additional benefits may offset some of the expenses of the research although generally it is expected that, at a minimum, the full direct cost of research will be recovered from the research sponsor.
3. Where the additional benefits to the college are minimal the indirect costs of research (usually about 40% of the direct costs) shall also be recovered. The Director of Applied Research and Innovation shall determine the appropriate level of indirect costs.
4. When negotiations are needed the Director of Applied Research and Innovation or designate, on behalf of Lethbridge College, will work closely with the proponent to carry out or supervise negotiations to ensure that any resulting contract complies with Lethbridge College policies and guidelines.

### **Part C: Proposal Procedures**

1. All Research Proposals shall be reviewed and approved by the Director of Applied Research and Innovation or designate prior to their distribution to outside third parties, funding agencies or private companies. The Applied Research Office will require sufficient time to complete this review.

2. At the discretion of the Director, the Applied Research Office may also require:
  - a) information from the researcher/applicant confirming the necessary research and project management expertise for the undertaking; and/or
  - b) confirmation from the applicant's Dean that researcher time and/or facilities are available for the project and that the project will not unduly interfere with the Centre's ongoing work.
3. Proponents should check with the Applied Research Office to determine the lead time required to meet funding agency deadlines.
4. The Proposal is to be sufficiently detailed so as to permit an informed assessment to be made of the demands the research will place on facilities and equipment, for review for ethics, and to judge the adequacy of the proposed budget. The time frame for the research is to be reasonable and practical. The time frame may be affected by the availability of facilities and services, staff time, and any teaching, research, or other obligations of the researcher involved. Revisions may be necessary to accommodate limited resources.

## **Part D: Agreement Procedures**

1. Only the college itself has the legal capacity to enter into agreements which bind the College. Agreements may not be written in the name of an individual department, school, faculty, or staff member.
2. It is the responsibility of the principal investigator and the Director of Applied Research and Innovation or designate, acting on behalf of the college, to ensure that all expenditures authorized against college accounts conform with the approved budget, with all terms and conditions of the agreement, with all regulations of the sponsoring agency, and with all applicable policies and regulations of the college.
3. Once the terms of an agreement have been negotiated and the formal documents prepared, every agreement must be signed by the Vice President Corporate Services and Chief Financial Officer, or other authorized person, on behalf of Lethbridge College.

## **Part E: Dissemination Procedures**

1. The research results are to be publishable with full regard to the needs of the client. A sponsor may be given the right under the terms of the formal contractual agreement to publish research results or to approve such publication in advance, or potentially to withhold publications in favor of confidential reports. All issues surrounding publication and reporting must be resolved prior to undertaking the research and form part of the formal signed agreement between the sponsor and Lethbridge College. The Principal Investigator should familiarize themselves and all members of the research team with any restrictions on publication or need for confidentiality.
2. The Principal Investigator is responsible for the preparation, content, style, number, delivery, and timeliness of all research reports in accordance with the provisions of the agreement. The Principal Investigator shall provide a copy to the Applied Research Office

for subsequent internal use and archiving. Where required the report should be clearly labeled as confidential.

## **Part F: Administration Procedures**

1. Lethbridge College will utilize its integrated enterprise information system including student, human resources, and financial reporting systems to maintain complete records of transactions related to applied research and innovation projects and services.
2. Funds are only released for researcher's use when the necessary approvals (e.g. Animal Care, Ethical Conduct for Research Involving Human Participants) have been obtained. The Applied Research Office will not allow charges against research account lacking necessary approvals. It is the duty of all researchers to advise the Applied Research Office of any changes that might impact the certification of a project.
3. Research projects will be regularly reviewed (at least annually) by the Applied Research Office to assure ongoing compliance with requirements. Access to funds may be curtailed if the review finds deficiencies.

## **Part G: Personnel Procedures**

1. Grant and contract salaries and hiring procedures should be discussed with the Applied Research Coordinator (who may consult Human Resources) for all potential grant and contract employees before finalizing budget proposals. Care must be taken to account for future salary increases and to allow for the employer's share of benefits. Personnel are to be employed in accordance with Lethbridge College's Human Resource policies and Collective Agreements. There may be no commitment to continue employment beyond the term of the funding agreement.
2. Researchers who are not Lethbridge College employees but working on projects where Lethbridge College is the lead research institution may be accorded "Visiting Researcher" designation by the Executive Director of Human Resource Services, upon recommendation from the Principal Investigator for the project.
3. Departments will inform the Applied Research Office of any substantive changes in personnel appointments or continuing eligibility for grants during regular reviews of research projects. The Director of Applied Research and Innovation or designate will ensure funding agencies be informed as appropriate.

## **Part H: Equipment and Materials Procedures**

1. All equipment and material purchases for funded research will be conducted using the standard procurement practices of Lethbridge College, and will remain the property of Lethbridge College unless otherwise specified in a research funding agreement.
2. If equipment or material purchased or collected through research grants is later sold, the proceeds from the sale will be received into the Lethbridge College General Research Fund unless otherwise specified in the research agreement.

3. It is expected that equipment which is not being fully used for the purpose for which it was primarily intended will be made available for teaching and research through appropriate agreements which will include sharing of maintenance, repair and other costs. Such arrangements will be the responsibility of the program through the Chair of that program.

## **Part I: Financial Procedures**

1. The Principal Investigator is responsible for ensuring that line items are adhered to and for obtaining, in advance and in writing, the necessary approvals for budget changes.
2. Agreements shall normally set out requirements for financial reporting. The Applied Research Office is responsible for the preparation and timeliness of the financial reports. Lethbridge College Financial Services is responsible for the content and accuracy of the financial reports.
3. Agreements should specify the manner in which Lethbridge College will be paid. Lethbridge College should not be required to carry the research costs for an extended period of time. At least partial payment in advance is preferred. Invoices will be issued in a manner consistent with practices established by Financial Services.
4. Payment pursuant to research agreements must be payable to Lethbridge College. Researchers must not accept payments in their own name for research support. Payments received directly by researchers or Centres must be forwarded to the Applied Research Office for deposit to the appropriate account through Financial Services.
5. Where research funding is provided to Lethbridge College, the Vice President Academic and Chief Operating Officer or designate will be responsible for authorizing expenditures of funds from the grant account subject to the signing authority limits specified in College Standard Practice.
6. Records of delegated signing authority, signed contracts and financial reports related to grants are kept by Financial Services.
7. Financial Services will provide electronic access to research accounts to all holders, their supervisors, and the Applied Research Office. These accounts are updated with every transaction record as they are posted including summaries, details by transaction, and summaries by type of expense.
8. The Applied Research Office shall be notified by the Principal Investigator if expenditures deviate significantly from original projections specified in the project proposal including:
  - a) significant deviations from original objectives;
  - b) deviations of more than 20 per cent of the total budget;
  - c) deviations of more than \$10,000 from the original budget; and
  - d) as required by any grant or contract for research.

The Applied Research Office will take any action as required by the funding agreement.

9. Salaries may be encumbered against grant accounts when they comply with the terms of the granting agency and the specific project grant. Such expenditures are reviewed for compliance by the Applied Research Office in consultation with Financial Services.
10. Travel expense claims will conform to applicable College policies or as required by the funding agreement.