



## Procedures

Policy Name	<b>Applied Research Administration</b>		
Policy #	<b>1103</b>	Category	<b>Research and Scholarly Activity</b>
Policy Sponsor	<b>Associate Vice-President, Applied Research and Innovation</b>	Previous Revision Date	<b>Not Applicable</b>
Policy Approved by	<b>President &amp; CEO</b>	Revision Date	<b>January 5, 2018</b>
Procedures Approved by	<b>Provost and Vice-President, Academic</b>	Review Date	<b>See Policy Review Date or As Needed</b>

See the related [POLICY](#).

### DEFINITIONS

**Academic Home:** means the school, division, department, centre or unit in which the Principal Investigator holds their Saskatchewan Polytechnic appointment.

**Applied Research:** a systematic study to gain the knowledge or understanding necessary to determine the means by which a recognized and specific need may be met.

**Applied Research Project:** Applied Research undertaken with the involvement of Saskatchewan Polytechnic with an intended inquiry, examination, defined question or hypothesis, start and end dates, deliverables, and budget (if applicable).

**Co-Investigator:** means an individual participating in an Applied Research Project who makes a significant contribution and plays a significant role.

**Direct Costs:** means the budgeted expenditures for carrying out an Applied Research Project at Saskatchewan Polytechnic. Direct Costs may include: relief time allowance or the salaries of the Principal Investigator, Co-Investigator, Research assistants and payments for students; equipment and supply costs; travel costs; user fees; and other costs allowed by the Funder.

**Faculty Member:** means a Saskatchewan Polytechnic employee who falls under the provisions of the Collective Agreement in effect between Saskatchewan Polytechnic and the Saskatchewan Polytechnic Faculty Association.

**Financial Residuals:** means funds which remain unspent and uncommitted in a Research Org Number at the time of completion of a Research Agreement, which are not required to be returned to the Funder, and over which the Funder has placed no restrictions.

**Funder:** is defined as any organizational unit internal or external to Saskatchewan Polytechnic which provides funding for the purposes of pursuing Applied Research.

**Funded Research:** means Applied Research undertaken or proposed to be undertaken using financial and/or other (e.g., in-kind) support from a Funder or Saskatchewan Polytechnic, whether by participation or competition, call for proposals, or pursuant to an agreement of any kind.

**Indirect Costs of Applied Research:** means Saskatchewan Polytechnic expenditures incurred to benefit and support Applied Research and for which it may not be possible to provide an exact itemization of the cost attributable to an individual Applied Research Project. Indirect Costs of Applied Research (“ICAR”) are real costs to Saskatchewan Polytechnic, and include, without limitation, building use and depreciation, utilities, maintenance and upgrade of library resources, computer and network support, management and administration of Applied Research, financial services (including purchasing, financial reporting and accounting), legal services, human resource services, risk management services, technology transfer services, regulatory and Applied Research compliance (including research ethics, human ethics, animal ethics, and biohazard certification), hazardous waste disposal, controlled goods, radiation safety, occupational safety, campus security and liability insurance.

**Non-Funded Applied Research:** means Applied Research undertaken or proposed to be undertaken using non-financial means pursuant to an agreement of any kind.

**Principal Investigator:** means the individual responsible for the intellectual leadership of an Applied Research Project.

**Research Org Number:** the means by which Applied Research Projects are established within the Saskatchewan Polytechnic financial system.

**Research Agreement:** means any document between Saskatchewan Polytechnic and another entity for the purpose of Applied Research, documented through (not an exhaustive list), funding proposals, research contracts, research grants, technical services agreements, service agreements, memoranda of understanding and memoranda of agreement.

**Researcher:** includes Faculty Members, employees or contractors of Saskatchewan Polytechnic whose duties include undertaking or participating in Applied Research at Saskatchewan Polytechnic.

## PROCEDURES

- Roles and Responsibilities
  - The Principal Investigator is responsible for:
    - obtaining confirmation from their Dean (or the equivalent position for the Academic Home of the Principal Investigator) that they are in a position to undertake an applied research project, and providing that confirmation to the Office of Applied Research and Innovation (OARI) if requested;
    - preparing the initial draft of the proposal for the Research Project, including its budget and statement of work;
    - ensuring that the Indirect Costs of Applied Research (ICAR) are included in the budget as per the ICAR policy;
    - once any requirements of their Academic Home have been met, providing the initial draft proposal to OARI for review and revision;
    - work with OARI to finalize proposal, and ensure OARI has the final copy of the proposal.
    - obtain approval of their Dean/equivalent to Dean or such person’s formal designate, in writing or by email to OARI;
    - confirming to OARI that the proposal is ready to be endorsed by Saskatchewan Polytechnic in accordance with this policy;

- reviewing any risks involved in the research and ensuring risks are considered and addressed, inclusive of research security;
- ensuring the budget associated with a Research Agreement does not have a significant variance from actual expected costs, and if this should occur, the Principal Investigator will prepare an amended budget in consultation with OARI;
- coordinating the financial management of the Applied Research Project with OARI, which includes not incurring over expenditures;
- carrying out the Research as stated in the proposal or as otherwise stated in the Research Agreement;
- ensuring all persons working on the Applied Research Project, whether paid or unpaid, are fully informed of and agree to comply with all applicable terms of the Research Agreement or the Funder's terms;
- ensuring all obligations with respect to intellectual property, whether pursuant to the Research Agreement, Funder's terms, or Saskatchewan Polytechnic policies, are met;
- maintaining proper records and data in accordance with the Research Agreement, Funder's terms, relevant laws, Saskatchewan Polytechnic policies, and best practices of the Principal Investigator's academic discipline and/or professional field, whichever is most rigorous;
- submitting (and retaining at least one copy submitted to OARI of) technical reports and other deliverables in the form and by the dates specified in the Research Agreement or Funder's terms;
- following all relevant laws, regulations, and Saskatchewan Polytechnic policies and procedures in the conduct of the Applied Research Project;
- informing the OARI and their department/school as soon as possible if the Principal Investigator becomes aware of any circumstances that could prevent satisfactory completion of the Applied Research Project or compliance with any terms and conditions of the Research Agreement or Funder's terms; and
- ensuring current ethics approvals for the duration of the Applied Research Project.
  - The School or Other Location Which is the Principal Investigator's Academic Home is responsible for:
    - approving and providing necessary support for the Applied Research Project (including materials, time and space as indicated in the proposal);
    - ensuring acceptable adjustments to these duties have been made so that normal teaching duties or other responsibilities of the Principal Investigator will not be adversely affected by terms of the Research Agreement; and
    - ensuring that any involvement of trainees (whether students or employees) is appropriate.
  - The Office of Applied Research and Innovation (OARI) is responsible for:
    - liaising with and acting as point of contact for Funders;
    - negotiating and processing of Research Agreements, in consultation with Saskatchewan Polytechnic's Governance, Privacy and Corporate Agreements Director, the Principal Investigator, the Funder and Saskatchewan Polytechnic;
    - storing analytical information and applications in regards to auditor's requirements;
    - ensuring risk assessment is completed, inclusive of research security
    - ensuring the necessary internal review and approvals are received;
    - ensuring all Research Agreements have the proper institutional authorizations;
    - approving proposals for Funded Research on behalf of Saskatchewan Polytechnic;
    - authorizing the creation of Research Org Numbers and dealing with any amendments of those Research Org Numbers;
    - facilitating any funding transfer and sub-contracting of Applied Research Projects, and full transfers of Research funding of departing or arriving Principal Investigators or Researchers;

- facilitating required amendments or changes to terms of original Research Agreements;
- notifying the Financial Office (Finance) and Human Resources of any changes in employment status of the Principal Investigator which OARI becomes aware of;
- notifying Finance of any changes in the Research Agreement or Funder's award such as extensions, Principal Investigator changes, additional support, early terminations;
- receiving all Financial Residuals associated with Research Org Numbers, recognizing compliance with the Funder's terms and conditions related to the funding, with such funds to be administered and used on behalf of Saskatchewan Polytechnic to further the research priorities of Saskatchewan Polytechnic;
- informing the Principal Investigator and their Academic Home as soon as possible if OARI becomes aware of any significant adverse matter in respect to the Applied Research Project;
- informing Financial Services of the required closing of a Research Org Number as applicable; and
- overseeing the implementation of the research data management strategy.
  - The Financial Office is responsible for:
    - upon request, and having received appropriate documentation, setting up the Research Org Number and notifying OARI;
    - preparing and delivering invoices for payments to be collected from Funders, as required;
    - maintaining financial records in relation to the Applied Research Project in accordance with the Research Agreement or Funder's terms and the policies and procedures of Saskatchewan Polytechnic, whichever is more rigorous; and
    - in collaboration with OARI, submitting financial reports and other deliverables in the form and by the dates specified in the Research Agreement or Funder's terms.
- Research
  - Applied Research Projects must be conducted in accordance with Saskatchewan Polytechnic's policies and procedures with respect to Applied Research.
  - For the purposes of the Policy, funding provided to Saskatchewan Polytechnic for the support of Research infrastructure and assets by the Canadian federal and provincial governments or their infrastructure granting agencies (such as PrairiesCan) is considered Funded Research.
  - Other Research Agreements may include material transfer agreements (MTAs), confidentiality disclosure agreements (CDAs), non-disclosure agreements (NDA's), memorandums of understanding (MOUs) and memorandums of agreement (MOAs).
- Research Org Numbers
  - OARI is authorized to accept funding in support of Research and to record the funding in a unique Research Org Number within Saskatchewan Polytechnic financial system, administered by Financial Services if:
    - The project is considered to be Research and all of the following are present:
      - the funding is expendable (i.e. are not provided to establish an endowment); and
      - the funding was received internally or from a third party as a result of a proposal, competition, or agreement;
    - Reporting (if required) to a third party is required with respect to the attainment of identified milestones or deliverables, specific outcomes from Research activities, or actual expenditures according to types or classification or budgets;

- The funding is for the recovery of eligible costs associated with Funded Research activities, including capital asset, infrastructure operating costs, and other service costs (if applicable), etc.; or
- The funding is a donation used to match funding provided under a Funded Research Agreement, where the terms of the Funded Research Agreement specify that the donation cannot be used for another purpose.
  - Donations for Research that are not specifically directed by the donor to a particular academic unit within Saskatchewan Polytechnic, or directed for use on a topic normally undertaken by a particular academic unit, will be brought to the attention of OARI for a determination of the appropriate disposition of the funding in accordance with the donor's wishes.
  
- Establishing Research Org Numbers
  - OARI must receive a copy of the award notification together with all required documentation that supports the funding for administrative purposes prior to requesting the opening of a Research Org Number.
  - OARI must have confirmation of all relevant compliance documentation (human ethics, animal care, biohazard permit, external institutional approvals, etc.) that may be required prior to authorizing a Research Org Number.
  - The Principal Investigator must submit a budget for Applied Research Projects if one was not submitted with a research proposal. An updated budget must be in place for pertinent Applied Research Projects if the received funding differs from that requested by greater than 20%, or spending on any line item identified in the budget is expected to be different from that proposed by greater than 20% (if required by the Funder);
  - Once all documentation and compliance requirements are in place, OARI will authorize a Research Org Number to be established within the Saskatchewan Polytechnic financial system and forward necessary documentation to Finance, who will notify OARI of the establishment of a Research Org Number.
  
- Closing Research Org Numbers
  - The Principal Investigator must notify OARI when an Applied Research Project is completed and confirm that all the terms and conditions of the Research Agreement have been met.
  - The Principal Investigator must submit a copy of the final report to OARI;
  - In consultation with the Principal Investigator, OARI will determine if there are any obligations and undertake any procedures required for closing of the Research Org Number.
  - OARI will transfer any Residual Funding from the Research Org Number, if eligible to be retained by Saskatchewan Polytechnic as per the terms outlined by the Funder.
  - OARI will then request that Finance close the Research Org Number in question.
  
- Residual Funds Remaining after Project Completions

- From Federal or Provincial Funding Sources – Residual funds are to be transferred to the Office of Applied Research and Innovation and be administered by the Associate Vice-President, Applied Research and Innovation (AVP-ARI) for such applied research purposes as are required by the funding source, or as shall be determined by the AVP-ARI in their discretion.
  - Industry, Not-for-Profit/Non-Governmental Funding Sources – Residual amounts which remain after completion of funded projects are to be transferred to a segregated research fund for the School or associated research centre, to be used for applied research purposes as shall be determined by the Dean (or their delegate) or research centre Director, as may be applicable.
  - Fee for Service Funding Sources, of any type – Residual funds remaining after any fee-for-service projects are completed are to be transferred to a segregated research fund for the School or associated research centre, to be used for applied research purposes as shall be determined by the Dean (or their delegate) or research centre Director, as may be applicable.
- Research Overhead or Indirect Costs:
    - From Federal or Provincial Funding Sources - All research funding indirect costs or overhead amounts are to be transferred to the Office of Applied Research and Innovation (OARI) and placed in the Research Overhead Fund under the control and direction of the AVP-OARI.
    - Industry, Not-for-Profit/Non-Governmental Funding Sources – All indirect costs or overhead amounts will be divided equally between OARI and the associated School or research centre under authority of the Dean (or their delegate) or the Centre Director, as may be applicable.
    - Fee for Service Funding Sources, of any type – All indirect costs or overhead amounts will be equally split between OARI and the associated School or research centre under authority of Dean (or their delegate) or the Centre Director, as may be applicable.
- Principal Investigator Changes
    - Upon being advised of the departure of a Principal Investigator from Saskatchewan Polytechnic, OARI will review all Research Agreements held by such a PI to ensure compliance with the terms and conditions of the Funder.
    - Continuation of the Applied Research Project at Saskatchewan Polytechnic should be facilitated where possible. Should the Funder approval of a transfer of the role of Principal Investigator be unnecessary, or where the Funder agrees to transfer the role of Principal Investigator to another Saskatchewan Polytechnic Faculty Member or Researcher, the Applied Research Project will be maintained at Saskatchewan Polytechnic.
    - If the Applied Research Project is not or cannot be maintained at Saskatchewan Polytechnic, and the Principal Investigator is transferring to another eligible Canadian research institution, transfer of the Research Agreements may be accommodated, subject to outstanding commitments to Saskatchewan Polytechnic.
    - If continuance of the Applied Research Project is not possible at Saskatchewan Polytechnic and the Research Agreement cannot be transferred to another research institution, the Research Agreement will be terminated.
- Cost Recovery Agreements



- In some instances, Saskatchewan Polytechnic Faculty Members or Researchers may undertake product or other technical reviews and provide assistance to companies or community partners who support and interact on a regular basis with Saskatchewan Polytechnic.
  - In cases where the Faculty Member or Researcher proposes to undertake such a review without research funding being collected to compensate Saskatchewan Polytechnic for the time of the Faculty Member or Researcher, they must obtain the approval of the Program Head (if applicable) and Dean or Dean equivalent for their Academic Home. Following that approval, arrangements should be made with OARI for preparation of a Cost Recovery Agreement.
  - When considering a project to be completed under a Cost Recovery Agreement, the Faculty Member or Researcher will endeavour to recover all costs which will be incurred, other than for recovery of their time for the project. Such costs should include materials, supplies and where appropriate should include a recovery for use of Saskatchewan Polytechnic equipment and Indirect Costs as provided for in the Recovery of Indirect Costs of Applied Research policy and procedures.
  - Amounts received by Saskatchewan Polytechnic under Cost Recovery Agreements will be treated and administered as Research Agreements. Indirect Costs which are recovered will be divided under the Recovery of Indirect Costs of Applied Research policy and procedures and other costs which are recovered will belong to the applicable Academic Home and will be added to and held by OARI for the Academic Home in the same manner as is done for Indirect Costs.
  - All activities under Cost Recovery Agreements must be undertaken in compliance with all applicable Saskatchewan Polytechnic policies and procedures, including without limitation those with respect to the use of human participants, animals, hazardous materials, and management authority.
- Ownership of Equipment and Related Matters
    - The ownership of equipment purchased with research funding or purchased for a research project belongs to Saskatchewan Polytechnic.
    - Schools and centres are strongly encouraged to maintain a fixed asset list.
    - Ownership of equipment purchased with research funding rests with the Saskatchewan Polytechnic. Accordingly, Saskatchewan Polytechnic policies with respect to capital assets apply.
    - Equipment may not be disposed of or transferred to another institution.
    - In accordance with effective resource management researchers should, where it does not impinge on the research, share equipment with other researchers and faculty in order to ensure maximum use of the resource.
- Administration
    - If the activity proposed to be undertaken is determined to be Funded Research, Non-Funded Research or projects under a Cost Recovery Agreement, the Applied Research Administration policy and procedures shall be followed by all Saskatchewan Polytechnic participants.

- When equipment is no longer required, appropriate steps should be taken to advertise its availability to other researchers and faculty at Saskatchewan Polytechnic.

### **RELATED POLICIES/DOCUMENTS**

*Indirect Costs of Applied Research Policy*

*Indirect Costs of Applied Research Procedures*