



## POLICY STATEMENT

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>	Issue or Revision Date	<b>January 5, 2018</b>
Procedures Approved by	<b>Provost and Vice-President, Academic</b>	Review Date	<b>January 2023</b>

See the related [PROCEDURES](#).

### PURPOSE

The purpose of this Policy is to provide guidance for the development, approval, and administration of Applied Research Projects conducted at Saskatchewan Polytechnic.

### SCOPE

This policy applies to all Applied Research Projects conducted or proposed to be conducted by members of Saskatchewan Polytechnic, on or off of Saskatchewan Polytechnic premises, involving Saskatchewan Polytechnic faculty, staff, students, premises, resources, services, facilities, or equipment.

### GUIDING PRINCIPLES

Saskatchewan Polytechnic is committed to excellence in Applied Research and the proper administration of funding provided in support of that Research.

Saskatchewan Polytechnic is committed to ensuring that all Research Agreements meet the highest accepted Canadian standards of administrative and ethical integrity.

The Office of Applied Research and Innovation is the unit responsible for approving and signing all Research Agreements, as well as ensuring the application of responsible Research conduct policies and procedures that are in place to meet the terms and conditions of the Funders and Saskatchewan Polytechnic.

### POLICY

#### 1. Funded Research

- 1.1. Any Faculty Member or Researcher of Saskatchewan Polytechnic or other person confirmed by the Office of Applied Research and Innovation as being eligible who desires that Saskatchewan Polytechnic secure financial or other support for Applied Research shall prepare a proposal which includes the minimum information provided for in the Procedures which accompany this Policy.

- 1.2. Individuals must comply with the published Policies and Procedures of Saskatchewan Polytechnic and of the Funder to be considered eligible to act as a Principal Investigator or Co-Investigator.
- 1.3. All proposals for Applied Research Projects must be approved by the Principal Investigator and the Dean (or the Dean's designate who has been appointed in writing) for the School which is the Principal Investigator's Academic Home, or such other equivalent position to Dean which is in place for units of Saskatchewan Polytechnic other than Schools. Following such approval the proposal shall then be sent to the OARI for final institutional review and approval before being sent to the Funder.

## **2. Negotiation of Agreement Terms and Institutional Authorization**

- 2.1. All proposed Research Agreements must be submitted to the OARI, who will ensure that the terms and conditions are consistent with all applicable Polytechnic policies, regulations and procedures as may be enacted and amended, from time to time.
- 2.2. The contracting party for a Research Agreement shall be identified as Saskatchewan Polytechnic.
- 2.3. Principal Investigators or Deans are not authorized to sign a Research Agreement on behalf of Saskatchewan Polytechnic. No Research Agreement for Funded Research shall be binding on Saskatchewan Polytechnic unless it is signed as per the Saskatchewan Polytechnic Management Authority Grid referencing research agreements.

## **3. Funding Awards**

- 3.1. All awards received from Funders will be administered by the OARI.

## **4. Roles and Responsibilities**

- 4.1. Research administration has many requirements in order to comply with regulations, agreements, policies and procedures. There are many parties involved in the administration of Applied Research with defined roles and responsibilities. OARI, Principal Investigators, Academic Homes, and Financial Services, must understand and follow their respective roles regarding the administration of Applied Research at Saskatchewan Polytechnic. The Applied Research Administration Procedures outline the respective roles and responsibilities.

## **5. Full Cost Recovery in Research**

- 5.1. Saskatchewan Polytechnic is committed to the principle of recovering the full costs incurred in support of Applied Research. Costs include the Direct Costs and Indirect Costs of Applied Research unless the Applied Research is subject to publicized terms or policies regarding cost recovery associated with a Funder, as described in the Indirect Costs of Applied Research Policy and Procedures.

## **6. Non-Compliance**

- 6.1. OARI does not have the authority to provide institutional approval on behalf of Saskatchewan Polytechnic on Applied Research proposal or Research Agreements, or to authorize Research Org Numbers where the policies and procedures provided herein have not been complied with.

## 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 Polytechnic employee who falls under the provisions of the Collective Agreement in effect between Saskatchewan Polytechnic and the Saskatchewan Polytechnic Faculty Association.

**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 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.

## **RELATED POLICIES/DOCUMENTS**

*Indirect Costs of Applied Research Policy*

*Indirect Costs of Applied Research Procedures*

## **APPLICABLE LEGISLATION OR REGULATIONS**

N/A