

CANADORE COLLEGE
PROCEDURES MANUAL

Procedures – Research Administration Policy

1. Introduction

- 1.1. The Vice President Academic implements the research administration procedures by providing leadership, support, information and counsel to individuals involved in research.

2. Forms and Resources

- 2.1. The following resource is made available and is used in the administration of this procedure:
 - a. Application for Research Project

3. Definitions

- 3.1. Indirect costs (Overhead):

Those College expenditures incurred in the conduct of research for which it is not possible to provide an accurate itemization of the cost of performing a specific research activity. Indirect costs are real costs to the College, including but not limited to items such as occupancy cost, building maintenance, central administration, library costs, and information technology services costs.
- 3.2. Direct costs:

All budgeted expenditures for carrying out a research project at the College.
- 3.3. Funding Arrangements
 - 3.3.1. Grants for Research:

Funds received by the College to support the research and scholarship of the researcher.
 - 3.3.2. Research Contracts/Research Agreements:

Agreements negotiated with the College to conduct research in a given area. Research contracts normally include a work plan, deliverables, conditions related to publication of results, clauses related to ownership of intellectual property and its commercialization.
 - 3.3.3. Sub-Contract Agreements:

Arrangements with other institutions/organizations to perform research under a Research Contract where it is deemed desirable to use external expertise

- 3.3.4. Specialized Services:
Services provided by the College to external private sector companies or government agencies on a fee for service basis.
- 3.3.5. Private Consulting:
A private arrangement between a company or a government agency and an individual researcher.
- 3.3.6. Gifts for Research:
The voluntary transfer of cash and/or kind from individuals, industry, foundations, and other sources to the College for utilization by a researcher to support research and scholarship.

4. Procedures

4.1. Indirect and Direct Costs

- 4.1.1. In principle, external and internal funding for research projects should cover all the costs of doing the research at the College. Since the total cost of a research project is made up of both the direct and indirect costs, a project budget should account for both types of costs.

4.2. Research Grants

- 4.2.1. Funds from research grants are normally received in advance of performing the research. If the funds are provided in a number of payments, the subsequent payments are normally not based on results already obtained nor should further payments be withheld as a function of performance.
- 4.2.2. Typically, research supported by a grant is controlled and directed by the researcher to pursue the research interests of the researcher.

4.3. Research Contracts/Research Agreements

- 4.3.1. For a research project to be initiated, the research contract requires:
 - a. Written support from the Dean of the School;
 - b. Review by the Academic Director, Quality Learning, Teaching and Innovation (QLTI);
 - c. Review by the College Controller; and
 - d. Approval of the VPA or designate.

4.4. Sub-Contract Arrangements

- 4.4.1. Where a sub-contract arrangement exists, the College and the company enter into a contractual agreement and the company demonstrates it has third party liability insurance to the level specified by the College.
- 4.4.2. Where the sub-contract involves a company in which the researcher has a personal interest, the College requires that the sponsor be aware of the sub-contract.

4.5. Specialized Services

- 4.5.1. Where specialized services are provided, the results belong to the sponsor.
- 4.5.2. It is the policy of the College not to carry out routine analyses, testing, or product evaluation in competition with private industry or contract research agencies.

4.6. Private Consulting

- 4.6.1. When private consulting is undertaken, the name of the College shall not be used in any related professional activity unless agreed in writing by the VPA or designate.
- 4.6.2. Nothing shall prevent a researcher from stating his/her employment rank and file in connection with related professional activities, provided that he/she shall not purport to represent the College or speak for it or to have its approval unless that approval has been given in writing.
- 4.6.3. Private Consulting does not make use of College resources. However, when a researcher's outside (consulting) activities involve the use of the College's resources, their use shall be subject to the prior approval of the College. Costs for the use of such resources shall be borne by the researcher at the prevailing rates set by the College, unless the College agrees in writing to waive all or part of such costs.
- 4.6.4. All private consulting activities, including research, are subject to the College Policy and Procedures on Conflict of Interest.

4.7. Gifts for Research

- 4.7.1. Where gifts to the College are received as a means of funding for research, no direct benefit to the donor or to anyone designated by the donor is to be expected from the payment.
- 4.7.2. Gifts to the College, whether in the form of funds or other gifts to support research are to be provided without expectation of return or consideration from the College.

4.8. Reporting and Accounting Practices

4.8.1. Applying for Funding

- a. All applications for external funding are to be submitted to the QLTI department using the *Application for Research Project* signed by the researcher and the Dean and accompanied by a copy of the application.
- b. For grant applications which have a deadline, the College will establish an earlier internal deadline for submission of grants for internal review purposes.
- c. Grant applications which require the signature of a College official when the application is submitted, will be signed by the VPA or designate.

4.8.2. Negotiating and Finalizing Research Contracts/Research Agreements

- a. The researcher is to submit the proposed agreement to the Dean of his/her School and the QLTI departments for advice and assistance prior to entering into detailed negotiations with the sponsor.
- b. Proposals should include at a minimum a statement of work, deliverables, identification of the researchers, the facilities to be used, and a budget for the project including direct and indirect costs.
- c. The Dean and the QLTI department, in consultation with the researcher, are to be involved in negotiations with the sponsor to ensure that the College's policies are followed and the interests of the researcher are protected.
- d. The final version of all Research Contracts/Research Agreements must be supported by the Dean of the School, reviewed by the Director, QLTI and the College Controller, and must be approved by the VPA or designate.

4.8.3. Receiving Funds

- a. For all sources of research funds, the QLTI department ensures that the documentation is complete and requests that Financial Services open a budget account for the research activities
- b. The researcher's signature on the *Application for Research Project* constitutes an acceptance of responsibility for the conduct of the research and for ensuring all required approvals have been obtained and that expenditures are consistent with the requirements of the funding source and are consistent with College policies and procedures.
- c. Notification of a grant award received by the QLTI department is immediately communicated to the recipient, the Dean, the VPA and the Financial Services department.
- d. Researchers who receive the only copy of notification of an award are to forward the original notification to the QLTI department (along with a revised copy of the *Application for Research Project* if there is any change from the version previously submitted) for processing and setting up of the research budgets and for financial reporting purposes.
- e. If a researcher receives a cheque for support of research, he/she is to send the cheque to the QLTI department along with the appropriate documentation for tracking purposes and forwarding to Financial Services.

4.8.4. Receipt of Gifts for Research

- a. Gifts received for research purposes should be sent first to the Corporate Relations, Community Partnerships and Alumni (CRCPA) department which will ensure that an official charitable receipt is issued and that donors are appropriately recognized.
- b. The CRCPA and the Financial Services departments will ensure that gifts are administered in accordance with College policy.

5. Roles and responsibilities

5.1. The Researcher

- a. The researcher holds primary responsibility for creating the research application and ensuring that the research conducted is consistent with ALL College policies and procedures governing the research.
- b. The researcher holds primary responsibility for ensuring that the research is conducted in accordance with the proposal and the funders' requirements.
- c. The researcher administers the research project budget in accordance with College and granting agency policies.

5.2. Deans

- a. Deans oversee research conducted within their academic area supervise the researchers, and review applications and reports.

5.3. The Quality Learning, Teaching and Innovation Department

- a. The QLTi department holds administrative responsibilities for the research and assists researchers to prepare proposals and reports.
- b. The QLTi department, in conjunction with the researcher, monitors the research project budget.

5.4. Financial Services Department

- a. The Financial Services department establishes accounting and reporting procedures that are consistent with the requirements of the project and provides guidance and assistance in the preparation of financial reports.

5.5. Vice President Academic

- a. The VPA has final approval on proposals and reports and signs documentation on behalf of the College.

APPLICATION FOR RESEARCH PROJECT

PRINCIPAL RESEARCHER	
NAME:	
DEPARTMENT/DIVISION:	
PHONE:	
FAX:	
E-MAIL	
OTHER RESEARCHERS (internal and external)	
TITLE OF PROPOSED RESEARCH PROJECT	
PROPOSED RESEARCH DATES	
START DATE:	END DATE:
BRIEF DESCRIPTION OF RESEARCH PROJECT	
BENEFITS	

PROJECT METHODOLOGY / WORKPLAN / TIMELINES	
RESOURCES REQUIRED	
FACULTY RELEASE TIME:	
TECHNICAL SUPPORT:	
STUDENT RESEARCHERS:	
EQUIPMENT:	
SUPPLIES:	
OTHER:	
SIGNATURES	
PRINCIPAL RESEARCHER:	DATE:
CO-INVESTIGATOR:	DATE:
DEAN:	DATE:
DIRECTOR, QLT I:	DATE:
VICE PRESICENT ACADEMIC	DATE: