



## Policy

Policy Name	<b><i>Applied Research Administration</i></b>		
Policy #	RI 6.0	Category	Research & Innovation
Policy Owner	VP Academic, Neil Fassina	Effective Date	December 16, 2015
Policy Lead	AVP Research & Innovation, Chris Dambrowitz	Review Date	December 2018
Approved by	Executive Committee	Approval Date	December 16, 2015
Related Policies and Procedures	See Section 5		

### 1.0 Policy Statement

NAIT's vision is to be the most relevant and responsive post-secondary institution in Canada and one of the world's leading polytechnics. To achieve these objectives, NAIT must be a leader in polytechnic education and in applied research. These two roles – polytechnic education and applied research – are set out in statute (the Alberta Post-Secondary Learning Act) and in NAIT's vision statement. Three hallmarks lie at the heart of applied research as executed within a polytechnic institution:

- *Industry-Driven*  
Industry is fundamentally a partner - in identifying the challenge, in pursuing the work, and in mobilizing the knowledge.
- *Moves at the Speed of the Industry*  
Addressing problems specified by industrial partners to enable them to be more competitive in the near-term: often weeks or months, rather than years or decades.
- *Intellectual Property (IP) Remains with Industry*  
Industry maintains and advances the IP that will allow them to remain competitive.

Applied research is one of NAIT's two fundamental roles as a polytechnic. Applied research is critical to Alberta industry and our economy, providing a foundation for productivity, economic growth, commercialization, and competitive advantage.

The Provost and Vice-President Academic is NAIT's senior academic, research and student services officer. The roles and responsibilities of this position include strategic leadership of NAIT's academic mission and strategic leadership for applied research and enterprise development.

The Office of Research and Innovation (OR&I), directed by the Associate Vice President - Research and Innovation, is accountable to the Vice President Academic & Provost as part of NAIT's applied research mandate within the academic portfolio. OR&I operations are assisted by the Research Ethics Board (REB) and Animal Care Committee in coordination of research ethics review, and the Office of the Vice President - Administration & Chief Financial Officer (CFO) who ensures that the legal, financial and liability needs of the Institution are met.

NAIT's applied research program is based on a decentralized model across the Academic

Portfolio whereby Deans, with support from the Office of Research and Innovation, Finance and School-based Applied Research Committees, have financial accountability and budgetary oversight for affiliated research activities, including but not limited to the activities of Applied Research Centres, Industrial Applied Research Chairs, and projects. This model maintains centralized oversight and support function across the Academic Portfolio within the Office of Research and Innovation, with support from institutional Finance, Legal and other administrative departments, as expected by our internal and external stakeholders.

## 2.0 Scope

- 2.1 Research and innovation support services, including funding-agency compliance, support of grant development, portfolio management support for NAIT's applied-research enterprise and other aspects of initiative support, is provided through the Office of Research & Innovation and its team.
- 2.2 This model maintains centralized oversight and support function within the Office of Research and Innovation, with aligned services provided by the Finance, Legal and other administrative departments as expected and mandated by our internal and external stakeholders. This holistic vision and structure supports NAIT for growth and success.

## 3.0 Definitions

Term	Definition
<b>Applied Research</b>	Applied research is a systematic investigation and discovery of knowledge that results in an immediate and identifiable impact on the potential commercial, environmental, or social value of a technology.
<b>Principal Investigator</b>	The researcher with overall responsibility for the direction of a particular research project, grant or contract.
<b>Researcher</b>	Includes all members of the Institute who participate in applied research activities. Members of the Institute may include academic and non-academic staff, administrators, students, visiting or adjunct scholars, paid and unpaid research assistants, and any other person in a similar position.
<b>Research Contract</b>	An agreement to provide research services under specified negotiated conditions for a specific deliverable. For Institute purposes, contracts include letters of agreement signed by both parties, purchase orders, form contracts and contracts requiring execution under seal.

<b>Research Grant</b>	An award to the Institute or an affiliate of the Institute to support an ongoing research interest. Normally there are no, or few, conditions associated with the award. The researcher is free to decide the course of his/her research and to use the funds according to that proposed by application, subject only to the general conditions of the sponsor and the policies of the Institute. Such grants are normally for operational expenditures related to executing the work proposed in the application (salaries, consumables, administrative costs, etc.) and for the acquisition of capital research infrastructure. These funds are typically granted to the Institute but can in certain instances be granted to an academic or professional staff member.
<b>Restricted Account</b>	Funds that are received by the Institute may require special allocation, monitoring and reporting, such as the specific isolation of financial activities of a research project, restricted use of funds by a specific individual, and facilitation of use of money donated to the Institute for research purposes.

#### 4.0 Guiding Principles

NAIT's goal for applied research is to create economic, environmental or societal benefits for Alberta (ESBA) through the creation of applied research findings and the adoption of innovations by Alberta-focused industry partners and the launch of student- or alumni-focused new ventures.

The Office of Research and Innovation (OR&I) supports the Institute's applied research goal by providing centralized support services for applied research and innovation activities across NAIT's Academic Portfolio.

The Office of Research and Innovation:

- provides institutional leadership and an administrative support framework in the development of applied research opportunities within NAIT's Schools.
- informs faculty and professional staff, of the Institute on research policy, and of the policies and objectives of governments and other research sponsors;
- administers approved research policies;
- supports and guides the development and submission of research funding applications to granting agencies;
- supports the review and approval processes for all research funding proposals;
- informs sponsors of the research capabilities of the Institution, assisting in locating and soliciting support for research in the form of both contracts and grants;
- develops and disseminates information on sources of external research funding;
- makes contact with sponsors to develop new opportunities for Institute researchers, assisting in the development of links with external sponsors;
- administers the distribution of general research funds;
- distributes information on internal research funds administered by the Institute; and
- maintains communications with external sponsors on grant-related matters.

#### **4.1 Specific applied research supports administration responsibilities of OR&I:**

##### **4.1.1 *Applied Research Grant Administration***

The Office of Research & Innovation:

- maintains files on research sponsors, containing current information on the programs of the sponsors;
- provides application forms and other information on sponsors to Institute staff;
- interprets and clarifies conditions of awards and procedures in consultation with appropriate individuals and departments;
- assists faculty and professional staff in the preparation of grant applications;
- receives grant applications for review of their conformity to the conditions of the sponsor and to the policies of the Institute, and to ensure that all required Institute approvals and signatures are obtained prior to external sponsor submission;
- maintains quality control over all research funding proposals; forwards the application to the sponsor; and
- arranges with Corporate Services the assignment of appropriate accounting for new grants;
- review and approval of all external sponsor reporting;
- Submission of finalized, approved reports to external sponsors in collaboration with the Office of the Vice-President – Administration & CFO.

##### **4.1.2 *Research Contract Administration***

The Office of Research & Innovation:

- provides information to faculty and professional staff on the nature and conduct of Strategic Applied Research Collaborative Agreements, other forms of contracted industrial research, and on possible sources of funding;
- assists faculty and professional staff in the preparation of Strategic Applied Research Collaborative Agreements and proposals for other forms of contracted industrial research, especially in proposal format and (in consultation with the Office of the Vice-President – Administration & CFO) in budget development;
- receives contract proposals to review their conformity with the conditions of the sponsor and with Institute Policies, and to ensure that all required Institute approvals and signatures are obtained;
- forwards the proposal to the sponsor;
- assists with the negotiation and regulation of research contracts between the Institute and the sponsor, and arranges for the execution of the contracts;
- arranges with the Office of the Vice-President – Administration & CFO the assignment of appropriate accounts and restricted account numbers for new contracts; and
- ensures that in contract research the corporate responsibilities of the Institute to the sponsor are duly discharged and communicated.

## **4.2 Additional Responsibilities**

In addition to the foregoing, the Office of Research & Innovation:

- maintains records of research funding received by the Institute;
- maintains records of funded and non-funded research projects as well as unsuccessful project proposals;
- assists NAIT faculty and staff in the formation of research groups;
- contributes to the development and maintenance of the Institute's Strategic Research Plan;
- reviews internal research proposals submitted by staff members;
- makes recommendations with regard to the distribution of grants and generally uncommitted research funds within the Institute;
- reports annually to the Vice-President, Academic and Provost on internal research grant allocations;
- is responsible for publications, reports, web sites, and events that enhance the Institute's research profile; and
- ensures that the Institute has adequate safeguards in place to protect sensitive information entrusted to it by granting agencies for the purpose of administering applications and awards, including relevant data protection requirements.

## **4.3 Control of Research Accounts**

- In matters related to applied research and innovation, OR&I consults with the Office of the Vice-President - Administration & CFO to ensure that the corporate responsibilities of the Institute are met in terms of legal, financial and liability considerations.
- Deans of Schools, with support from the Office of Research and Innovation, Finance and School-based Applied Research Committees, have financial accountability and budgetary oversight for affiliated research activities, including but not limited to the activities of Applied Research Centres, Industrial Applied Research Chairs, and projects.
- OR&I is responsible for monitoring the Institute's expenditures on research grants and contracts and for the financial management of general research accounts (e.g. CIHR, NSERC, and SSHRC general research grants).
- The Principal Investigator exercises overall research and financial management of the grant or contract, the financial management being subject to audit and to the procedures of Corporate Services. Researchers are required to consult with OR&I prior to the commencement of a grant or contract.

## **5.0 Other Related Documents**

### **Related Policies:**

- RI 1.0 Academic Freedom in Research
- RI 2.0 Academic Integrity and Responsibility in Research
- RI 3.0 Conflict of Commitment in Research
- RI 4.0 Conflict of Interest in Research
- RI 5.0 Intellectual Property in Research
- RI 9.0 Recovery of Costs of Research
- RI 10.0 Research Involving Human Subjects
- RI 11.0 Student Rights and Responsibilities in the Conduct of Research

RI 12.0 Use of Animals in Teaching and Research  
RI 13.0 Research Involving Bio-hazards  
RI 14.0 Research Involving Radioactive Materials

***Document History***

<i>Date</i>	<i>Action/ Change</i>
December 2015	Replaced original policy – revised content, new template
February 5, 2007	Original Policy Approval IR 6.0