



## RESEARCH - GENERAL

### Applied Research & Innovation – Procedure 11.1

#### GENERAL STATEMENT

Applied Research is an essential component of the mandate of Lakeland College. To serve our community, Lakeland College engages in the dissemination of knowledge and technology transfer. To fulfill this service role Lakeland College must establish collaborations, maintain public trust and provide a venue for unbiased inquiry necessary to discover knowledge through research. While encouraging greater participation in Lakeland College research activities, including participation in funded research, there is a need for Lakeland College to define its research relationships, and to formalize and communicate Lakeland College's standards with respect to ethical matters (e.g. confidentiality, conflict of interest, use of human /animal subjects) and utilization of intellectual property. This procedure also applies to research proposals submitted by Lakeland College employees, as well as agreements entered into by Lakeland College for research carried out under the auspices of Lakeland College.

#### GUIDELINES

##### Part A – General

1. These procedures apply to all persons conducting research under the auspices of Lakeland College.
2. Lakeland College assigns responsibility for the oversight and coordination of applied research and innovation to the Director(s) of Applied Research and provides the support services to carry out this responsibility.
3. Lakeland College recognizes applied research activities and scholarly work associated with applied research and will consider such activities as workload that may be undertaken by employees and pro-rated relative to the normal workload associated with those individuals. Further Lakeland College recognizes and encourages professional development aimed at increasing the capacity and knowledge to participate in applied research and the promotion of innovation.
4. 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*.
5. Additional approvals may be required for research in the Territories and research involving humans, animals or nuclear materials.
6. The Applied Research Office acts as the Research Grants Office at Lakeland College.
7. At Lakeland College there will be a General Research Fund account to allow any residual grant funds from prior years to be carried forward. Such funds, should they be made available to Lakeland 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.

##### Part B - Administration

1. A Principal Investigator shall be identified for all research projects. 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. Lakeland College will utilize its integrated enterprise information system including student, human resources, and financial reporting systems to maintain complete records of transactions related to research and innovation projects and services.
3. 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 approval of a project.

4. 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 C - Proposals

1. All research proposals shall be reviewed and approved by the Director of Applied Research 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:
  - information from the researcher/applicant confirming the necessary research and project management expertise for the undertaking;
  - 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 ongoing work; and/or
  - other relevant information.
3. Proponents should check with the Applied Research Office to determine the lead time required.
4. A 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.
5. Lakeland 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.
6. Where the additional benefits to Lakeland College are minimal the indirect costs of research (usually about 40% of the direct costs) shall also be recovered. The Director of Applied Research shall determine the appropriate level of indirect costs.
7. When negotiations are needed the Director of Applied Research or designate, on behalf of Lakeland College, will work closely with the proponent to carry out negotiations.

### Part D - Agreements

1. Agreements shall be with Lakeland College and 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 Applied Research Office, acting on behalf of Lakeland College, to ensure that all expenditures authorized against Lakeland 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 Lakeland College.
3. Once the terms of an agreement have been negotiated and the formal documents prepared, every agreement must conform to *Contracts, Agreements, & Letters of Understanding: Finance – Procedure 3.94*.

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### Part E - Dissemination

1. While research results are generally to be publishable 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 Lakeland 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 - Personnel

1. Salaries and hiring procedures should be discussed with the Applied Research Office (who may consult Human Resources) for all positions to be funded from a research agreement 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 Lakeland College's Human Resource policies and Collective Agreements.
2. 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 or designate will ensure funding agencies be informed as appropriate.

### Part G - Equipment and Materials Procedures

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

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 other teaching and research.

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Latest Revision Date:

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