



Northlands College Policy Research Administration

POLICY STATEMENT

Northlands College is committed to providing a rigorous and comprehensive framework for the administration of any and all Applied Research that is either supervised by or otherwise includes members of the Northlands College community.

PURPOSE

The purpose of the Northlands College Research Administration policy is to define the authority, responsibility, and procedures for all Applied Research activities under the auspices of Northlands College.

GUIDING PRINCIPLES

Northlands College embraces a principles-based methodology in Applied Research, fostering shared guiding principles that inspire individuals to direct their actions confidently. This approach emphasizes succinct, overarching principles rather than rigorous, punitive rules; it is highly adaptable to change and empowers members of the Northlands College community to cultivate an innovative workplace culture. The streamlined nature of this methodology, underscored by its own principles, minimizes rule compliance complexity, making it an optimal choice for both emerging initiatives and sustained self-regulation.

1. **Project-based Research:** All Applied Research will be conducted on a designated research project basis.
2. **Grants:** All grant and contract funds shall be held in trust by the College and are not considered the personal property of any one individual or group of individuals.
3. **Compliance:** All Applied Research will have the required certificates, documents, signatures, and approvals as outlined by this policy or required by any external funding body prior to the commencement of any research.
4. **Recordkeeping:** Northlands College commits to ensuring excellent documentation on research projects undertaken under this policy and requires impeccable recordkeeping by researchers approved to conduct research under this policy.

SCOPE

The Northlands College Research Administration policy applies to all Applied Research activities undertaken by or in partnership with members of the Northlands College community. This includes, but is not limited to, faculty, staff, contractors, consultants, learners, and volunteers involved with Northlands College.



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POLICY

1. The role and responsibilities of the Department of University Studies, under the leadership of its Director, shall include:
 - a. Developing and supporting Applied Research and scholarly activity conducted by Northlands College's researchers, faculty, and learners;
 - b. Administering grant and contract research activity;
 - c. Providing Applied Research services, technology transfer services, and advisory services to the College's technical, business, and service communities;
 - d. Joining in partnerships, associations, and joint ventures to support Applied Research activities with others who share the College's vision;
 - e. Encouraging the development of collaborative and mutually beneficial partnerships with local industry, government or non-government organizations, and other academic institutions whenever possible;
 - f. Providing stakeholder-related services to assist in developing Northlands College's research capacity. These services shall include:
 - i. Locating and securing funding support for research in the form of grants and contracts;
 - ii. Encouraging faculty engagement, client development, and learner involvement;
 - iii. Directing research liaison activities with other institutions; and,
 - iv. Assisting governments, industry, and other agencies sponsoring research at the College.
 - g. Establishing strategic direction for the College research agenda in consultation with other College departments and external partners;
 - h. Ensuring that the College has appropriate research policies and that those policies are followed by all researchers;
 - i. Keeping the College community informed of research policies and practices of governments, industry and other agencies sponsoring research at the College;
 - i. This may include leading in the education and training thereof.
 - j. Promoting the research capabilities of the faculty, staff, researchers, and learners of the College;
 - k. Assisting faculty, staff, learners, and clients with research proposals and funding applications;
 - l. Assisting the Northlands College community in pursuing strategic research goals;
 - m. Developing and disseminating information on sources of external research funds, research project grants, and contracts;
 - n. Developing research links with other research institutions, government and non-government organizations, and the private sector;
 - o. Establishing procedures for approval of applications for research grants and contracts from external agencies and bodies;



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- p. Administering research grants and research contracts awarded to the College;
 - q. Working with College communications personnel to ensure funding agencies receive appropriate acknowledgement in publications, announcements, events, and on equipment and facilities acquired with research funds;
 - r. Protecting and providing for the commercialization of innovation arising out of Northlands College research activities;
 - s. Coordinating the activities of the Northlands College Applied Research Appeals Committee; and
 - t. Ensuring appropriate experts and resources are engaged and appropriate steps are taken to safeguard the security and privacy of personal information of any individuals that has been collected as part of any Research activities, as required under the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans - TCPS 2 (2022), *The Local Authority Freedom of Information and Protection of Privacy Act* (Saskatchewan), *The Health Information Protection Act* (Saskatchewan)), and the Northlands College Access to Information and Privacy Policy (213) and Records Retention and Management Policy (217).
2. Research Administration Practices and Requirements of Research Projects shall include:
- a. All research conducted at the College, or using College facilities and/or resources under an agreement with the College, shall conform to all other applicable Northlands College policies.
 - b. All research at the College shall be conducted under a research agreement which must include, but is not limited to, specific clauses relating to intellectual property and commercialization; confidentiality and security and privacy of personal information (where applicable).
 - c. For research agreements or other contracts to be legally binding on the College, they must be executed by all of the appropriate signing authorities, as per Appendix I: Table of Required Approval by Grant Value.
 - d. No research or other study involving human subjects, animals, radiation, or biohazards may be undertaken unless requirements listed in the appropriate College policies have been met, and the appropriate certificates of approval have been issued where required.
 - e. All researchers shall disclose any and all conflicts of interest as defined in any related College policies.
 - f. Letters of Support from the College to collaborators and/or funding agencies for research grants or research contract applications shall be signed by individuals with the appropriate signing authority, as per Appendix I.
 - g. The College and its researchers shall strive to obtain the greatest possible economic benefit from its research activities.
 - h. All researchers shall disclose to the College any possible intellectual property opportunities, including and especially those with commercial potential, arising from research.
3. Research Grant and Contract Administration
- a. The Department of University Studies is responsible for research grant and contract administration. This includes:



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- i. Assisting College faculty and staff in the preparation of research grant applications or research contracts;
 - ii. Interpreting and clarifying research grant or research contract awards, procedures, and conditions; and,
 - iii. Reviewing research grant applications or research contracts for conformity to the policies of the funding agency and the College.
4. When research grants or other sources of funding are entrusted to the care of the College for disbursement and management, the College shall develop policies and procedures to ensure that such funds are utilized as intended by the funding agency and delineated in any research agreements with the funding agency.
 - a. Every application or proposal, whether direct or in partnership with another institution, shall be signed by the appropriate signing authorities; the same holds true when accepting research grants and/or entering into a third-party research agreement. Signing authority is shown in Appendix I: Table of Required Approval by Grant Value.
 - i. If the application is successful, contracts signed between the College and the applicable client(s) shall be duly authorized.
 - b. The Department of University Studies is responsible for providing financial oversight, budget administration, and reporting of the College's research activities, including:
 - i. Liaising with the Finance Department to establish research accounts and auditable records;
 - ii. Validating research expenditures against approved budgets on a schedule that is in accordance with the funding agency's policies;
 - iii. Reporting deviations from proposed activities or budgets to funding agencies while also ensuring that signing authority for expenditures is consistent with the funding agency's guidelines;
 - iv. Tracking in-kind contributions of the College and industry partners and maintaining auditable records;
 - v. Reporting on the financial status of research projects; and,
 - vi. Maintaining records of all research activities, as well as funds received and distributed.
5. Involvement of Northlands College Learners in Research:
 - a. Northlands College is responsible for supervising and overseeing the participation of learners engaged in Northlands College research activities, including:
 - i. Protecting learners engaged in research activities, both in Learner Projects (LPs) and standalone projects; and
 - ii. Ensuring that all learners engaged in research activities sign a Research Agreement with the College, which includes specific language relating to confidentiality, intellectual property, commercialization rights, research duties, security and protection of privacy of personal information collected as part of the research activities (where applicable) and terms of employment as applicable.



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- b. A third party engaging learners in applied research projects conducted under the auspices of Northlands College must enter into a Research Agreement with the College, which includes specific language relating to confidentiality, intellectual property, commercialization rights, learners' research duties, security and protection of privacy of personal information collected as part of the research activities (where applicable) and terms of employment as applicable.
 - c. Learners who are employed by the College to work on research projects are not required to sign separate agreements with the third party, but will be protected under and responsible for the Research Agreement they have signed with the College.
 - i. The Department of University Studies shall maintain a record of such Research Agreements.
 - d. Where learners are working with a third party on Research Projects as part of their course requirements, or as volunteers outside of their involvement with the College, and are not employed and/or being paid by the College for their work, the College will not be responsible for breaches of confidentiality.
 - e. In cases where the third party requires a confidentiality agreement, such agreements shall be negotiated between the third party and the learners working on the project. The College will provide templates and non-legally binding guidance to both parties and emphasize the importance of maintaining confidentiality.
6. Research conducted in Indigenous communities must observe and respect local Indigenous protocols and practices.

RELATED NORTHLANDS COLLEGE POLICIES AND LINKS

1. Policy 213: Access to Information and Privacy
2. Policy 217: Records Retention and Management
3. Policy 504: Conflict of Interest
4. Policy 602: Research Administration
5. Policy 603: Integrity in Research and Scholarship
6. Policy 604: Research Involving Human Subjects
7. Policy 605: Intellectual Property



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DEFINITIONS

Appeal	A written request to appeal a decision made under this policy. The complaint is submitted to the VP, Learning, and once received, precipitates the formal appeals process for the Applied Research Appeals Committee.
Applied Research	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 or process.
Applied Research Appeals Committee	An impartial committee established by the Vice President, Learning to assess the merits of an appeal put forth by researchers whose proposals have been rejected.
Client	Any external company, agency, person, institution, or organization that seeks to and/or collaborates on research projects with Northlands College.
Initial Contact Form	A form used to formally document a request from a client to undertake applied research with the College.
Funding Agency	A private or public organization that provides financial support for research projects to Northlands College and/or its collaborators.
Grant Application	A proposal developed by the Principal Investigator that is submitted to a funding agency for the purpose of securing funds for a research project, research program, or initiative.
Learner	Includes anyone enrolled in a Northlands College program (including continuing education and adult basic education); Northlands College also recognizes informal learners – those persons we collaborate with who learn through participation and/or engagement with College staff and/or faculty during any given project – as learners.
Learner Project	A research project conducted in a course as part of an academic program for which learners receive academic



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	credit (in class), or a standalone project conducted outside of a course for which learners also may receive academic credit.
Letter of Support	A document provided by the College to a funding agency, other institutions, and/or clients, in support of a research proposal.
Principal Investigator (PI)	The lead researcher on any given research project. The PI has the additional duty to set the example and monitor the researchers engaged in the research project with respect to integrity.
Research	Research is a systematic investigation to establish facts, principles, or generalizable knowledge.
Research Agreement	The document that captures the critical components of a research project relative to roles and responsibilities, collaborations, finances, intellectual property, and dispute resolution.
Research Program	A research endeavour that encompasses many Research Projects.
Research Project Lead	The individual responsible for leading the preparation of the research grant application(s) and project administration.
Research Project	A research activity that addresses a specific problem or methodically explores an unknown, and which has or will have a definite start and end point; this includes all activities from concept to completion, irrespective of advancing to an actual project or Research Agreement stage.
Research Volunteer	A learner or other person who formally participates in a research project, but is not employed by the College, and may not receive academic credit.
Researcher	Anyone who participates in Research from or with the Northlands College community. This includes, but is not limited to faculty, staff, contractors, consultants, learners and volunteers.



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APPENDIX I: Table of Required Approval by Grant Value

Authority Level	Value of Grant or Contract to Northlands College (\$)			
	0-25,000	25,001-75,000	75,001-150,000	\$150,001+
Director	X	X	X	X
Finance Director or VP		X	X	X
VP of Learning			X	X
President & CEO				X

**Approval must be given by *all* of the appropriate signing authorities marked with an “X” for the applicable grant value.

AUTHORITY

1. Authority for the implementation, interpretation, and enforcement of this Research Administration policy is vested in the Office of the Vice-President, Learning.

Policy Originated: September 16, 2023	Approved by: Board of Governors
Last Approved: September 16, 2023	Approval Motion Number: 09-16-23-2848