



Policy on Applied Research

Introduction

Conestoga College Institute of Technology and Advanced Learning is committed to provide a polytechnic environment conducive to the pursuit of currency, scholarship, applied research and creative activity for its faculty, staff and students. This policy governs the principles of applied research for Conestoga and identifies the rights and responsibilities of various stakeholders.

The Executive Dean of Academic Administration (*or designate assigned by the President*) has responsibility for the interpretation and implementation of this policy.

Definitions

Applied Research includes any original investigation, undertaken to acquire new knowledge, or to apply existing knowledge in a novel way, directed primarily towards a specific practical aim or objective. Ideas are developed into operational form to produce new prototype products, devices, processes, systems, and services or to improve substantially those already produced or installed. With respect to this policy, Conestoga includes clinical research, survey-based research, and experimental development within our definition of applied research.

An *applied research project* shall include any project involving an external company or organization, with or without funding, and/or using Conestoga resources (e.g. people, equipment, space) to conduct the project activities. Applied research projects can be further categorized as student projects (capstone or final year), curriculum based projects (i.e. project occurring within certain courses for academic marks), independent projects (i.e. projects done outside of normal academic activities with signed research agreements), or special event projects (i.e. projects undertaken outside of normal academic activities with specified focus for students and/or faculty).

Institutional Research is a special classification of research that involves the surveys and data analysis of information that is focused on program quality improvement and evaluation. Other classifications of research are experimental, basic, discovery, survey and clinical to name a few. All research at Conestoga, not classified as institutional research, will be referred to as applied research.

The word *research*, referenced by itself within this document, may refer to either institutional or applied research. And, a *research project* may refer either an institutional or applied research project.

A *partner* refers to an external business, institution, research hospital, or organization that is engaged in a research project with Conestoga. The partner may be providing full, partial, or no funding towards the research project. In most situations, there is normally a contractual agreement between Conestoga and the partner to stipulate the roles and responsibilities of the participants.

The phrase *Conestoga staff members* refers to all staff whether employed full-time, part-time, or on contract basis (e.g. faculty, researchers, support staff, administrators). The phrase *Conestoga students* refers to all students working with or without monetary compensation on any project under the direction and control of Conestoga.

Consulting Service activities are similar to the activities within an applied research project but are not normally viewed by Conestoga as applied research. There are two types of consulting services for research purposes; "*internal*", using Conestoga resources, and "*external*", not using Conestoga resources. For both types, an individual wanting to engage in consulting services with a company requires prior written approval from Conestoga; consulting services cannot conflict with the employee's responsibilities to Conestoga, constitute economic competition with Conestoga, or negatively impact the reputation of Conestoga.

External consulting service activities are the sole responsibility of the individual. The individual cannot use Conestoga resources and does not represent Conestoga for the consulting service provided. Legal agreements between the individual, the company, or any other third-party are signed without the involvement, endorsement or warrantee of Conestoga. External consulting service activities by faculty members can potentially be viewed as scholarly activities.

Internal consulting service activities require review and approval by one of Conestoga's Academic Chairs prior to engagement. When a particular internal consulting service activity requires the use of Conestoga resources, the activity must be reviewed to ensure it does not interfere with Conestoga's academic processes and legal obligations (i.e. software license agreements, use of donated hardware, etc.) and does not unnecessarily put Conestoga in a potential liability situation. Upon approval, the individual is responsible for conducting the activities in adherence to all Conestoga policies and procedures. Legal agreements between the individual, the company, and Conestoga may need to be entered into and are at the discretion of Conestoga. Internal consulting service activities by faculty members, with prior approval of the Academic Chair, can be viewed as scholarly activities.

If an internal consulting service requires both Conestoga resources and the participation of Conestoga students, then it will be classified as an applied research project and processed accordingly.

Exclusions

Institutional research and consulting services are not covered under this policy.

Policy Elaboration

Principles/Guidelines

The objective of this policy is to ensure that applied research undertaken at Conestoga and presented in Conestoga's name is of sufficient quality to enhance Conestoga's reputation. It is also intended to maximize the contribution of applied research to the academic programs, minimize Conestoga's exposure to risk and ensure the appropriate use of Conestoga's resources and to support business stakeholders in solving problems and seizing opportunities.

This policy requires that:

- All applied research projects conducted under the name of Conestoga or with extensive use of Conestoga's facilities is approved before commencing. This approval will be reviewed annually (*or as deemed appropriate by the Director of Applied Research or designate*) during the life of the applied research project;
- All applied research contracts and proposals must be approved in advance;
- Funding for applied research projects must be secured prior to the commencement of the project activities;
- All applied research projects will involve Conestoga students (*exceptions possible with approval of Executive Dean of the School or designate*);
- Conestoga staff members, Conestoga students and partners agree to be bound by Conestoga's policies and legal agreements for work conducted at Conestoga or using Conestoga resources;
- Conestoga staff members, Conestoga students and partners agree to follow Conestoga's procedures for work conducted at Conestoga or using Conestoga resources; and
- All applied research reports provided to external parties are approved before release.

Conestoga holds all Conestoga staff members and students undertaking applied research projects responsible for upholding the following principles:

- Recognizing the substantive contributions of collaborators and students; using unpublished work of other researchers and scholars only with permission and with due acknowledgement; and using archival material in accordance with the rules of archival source.
- Using scholarly and scientific rigor and integrity in obtaining, recording, and analyzing data, and in reporting and publishing results.

- Ensuring the authorship of published work includes all those who have materially contributed to, and share responsibility for, the contents of the publication, and only those people.
- Revealing to sponsors, Conestoga, and other stakeholders, any material conflict of interest, financial or other, that might influence their decisions or actions.

Applied Research Project Evaluation

All potential applied research projects will be evaluated against a common set of criteria. Although these criteria may be augmented from time-to-time due to new opportunities (regional, provincial, or federal), the core criteria are the following:

- Potential contribution to present or future academic programs
- Contribution to Conestoga's strategic goals
- Potential contribution to and protection of Conestoga's reputation and rights
- Protection of the Conestoga staff members' and students' rights and academic freedom
- Degree to which the project builds industry and community relationships
- Capabilities and qualifications of Conestoga staff members and students to complete the research
- Requirement for use of Conestoga's facilities and resources
- Provisions for Intellectual Property (IP) disposition
- Time available for Conestoga staff members and students to undertake the research
- Opportunities for Conestoga student academic and professional growth
- Opportunities for Conestoga faculty to engage in scholarly activities
- Protection against exploitation of Conestoga staff members and students
- Ethical review and approval if project involves human or animal subjects
- Safety requirements for hazard materials
- Financial benefit or cost to Conestoga
- Potential risk and adherence to policies of funding agencies and Conestoga and government regulations, including such areas as the environment, ethical treatment of animals and other relevant policies.

Although applied research projects may be assessed very well based upon the above criteria, the Research Board, the Executive Dean of the School, the Executive Dean of Academic Administration, the President, or designate assigned by the President retain the right to decline participation on a potential applied research project for any reason in order to protect the best interests of Conestoga, Conestoga staff members, Conestoga students, the partner, or the local community.

Applied Research Project Development, Approval, and Execution

All applied research projects need to be developed, approved, and executed in a professional manner that both enhances Conestoga's reputation and meets (or exceeds) the standard of provincial or federal funding organizations. As such, the following are general statements for this process:

- Applied research projects must be reviewed and approved, prior to proposal submission.
- Applied research projects are subject to regular review during the project life.
- Applied research projects must complete a standard final report and marketing documentation (*photos, images, and write-up for future marketing endeavours*).

For more information, please refer to the *Procedure for Applied Research* document.

Related Documents

- Policy on Conflict of Interest in Research
- Policy on Research Integrity
- Policy on Intellectual Property
- Policy on Student Rights in Research
- Policy on Research Involving Animals
- Policy on Research Involving Chemical, Biological, or Radioactive Hazards
- Policy on Research in the Yukon, Northwest Territories, or Nunavut
- Policy on Confidentiality of Information in Research
- Policy on Financial Management of Research Projects
- Policy on the Protection of the Environment within Research
- Ethical Conduct in Research Involving Humans
- Procedure for Applied Research Activities
- Procedure for Reporting Concerns within Research

Revision Log

Version Number	Release Date	Notes
AR1 V3	September 2014	Minor updates to texts and additions for clarification to definitions.
AR1 V2	March 2013	Updated sections on definitions and process to properly reflect changes within applied research.
NA	August 2007	Previous version of the Applied Research Policy.
NA	November 2003	Initial release of policy.

Acknowledgements

This policy has been developed based upon policies and documentation from the Tri-Council of Canada and previous Conestoga documents.

Review Log

As Policy Owners, we certify that the Policy on Applied Research is appropriate and provides an up-to-date framework in which decisions can be made and implemented



Greg Robertson, Director Applied Research

2014-09-04

Date