

# Research Administration Guideline

The University of Toronto enters into a variety of contractual relationships with external governmental, commercial and non-commercial entities. Specific officers named in the University's *Policy on Execution of Contracts and Documents* and the *Research Administration Policy* (the "Policy") are delegated authority to conclude such relationships on behalf of the University, acting within the scope of authority set out in those policies and in accordance with all other applicable University policies and procedures.

While general authority to enter into agreements with respect to Research rests with the Vice-President, Research and Innovation, there may be other opportunities to enter into other contractual relationships with respect to the provision of services where these relationships are consistent with the mission of the University.

As outlined in the Policy, Research involves the "investigation or experimentation aimed at the discovery or interpretation of knowledge, the systematic collection or revision of knowledge in light of new facts or theories, the development and application of methodologies to increase knowledge and the practical application of knowledge to specific problems or circumstances."

This Guideline is issued under the Policy to assist individuals to distinguish Research activities within the scope of the Policy from other contractual engagements.

Capitalized terms used in this Guideline have the meanings prescribed by the Policy.

## 1. Research

1.1 The Principal Investigator who proposes to initiate an activity must determine whether it is a Research activity before committing to perform the activity, and this determination should be confirmed by the head of the academic division of the Administering Unit (or designate). Should there be any uncertainty, a final determination of whether a proposed activity would constitute a Research project is the responsibility of the Vice-President, Research and Innovation (or designate).

1.2 Further to the definition provided in the Policy, it is anticipated that Research possesses all of the following characteristics:

- (a) the primary goal of the activity is to advance general knowledge in the academic, scientific or professional community;
- (b) the scope of work and experimental design are determined by the Principal Investigator, or jointly with the sponsor; and,
- (c) the activities are intended to lead to scientific or scholarly findings.

1.3 Research projects must be conducted in accordance with the University's policies and procedures with respect to Research.

1.4 For the purposes of the Policy, Sponsored Research includes funding provided to the University by the Canadian federal or provincial government for the support of research

infrastructure and assets (e.g. Canada Foundation for Innovation) or the further development or commercialization of research outcomes.

## 2. Restricted Research Funds

2.1 Funds received in support of Research will be recorded in a restricted research fund administered by the office of the Vice-President, Research and Innovation (“VPRI”) if they are described by any of the following three categories:

<b>A</b>	<b>B</b>	<b>C</b>
<p>The activities financed by the funds meet the definition of Research and all of the following are present:</p> <ul style="list-style-type: none"> <li>• the funds are expendable (i.e. are not provided to establish an endowment);</li> <li>• the funds were received from a third party as a result of an application, competition or proposal, or agreement; and,</li> <li>• reporting to the third party is required with respect to the attainment of identified milestones or deliverables, specific outcomes from research activities, or actual expenditures according to types or classification or budgets.</li> </ul>	<p>The funds are for the recovery of eligible costs associated with Sponsored Research activities, including capital asset or infrastructure operating costs.</p>	<p>The funds are a donation used to match funds provided under a Sponsored Research Agreement, where the terms of the Sponsored Research Agreement specify that the donation cannot be used for another purpose.</p>

2.2 If the funds are an endowed or expendable donation for Research and are not specifically directed by the donor to a particular academic unit within the University, or directed for use on a narrow topic normally undertaken by a particular academic unit, the donation will be brought to the attention of VPRI for a determination of the appropriate disposition of the funds in accordance with the donor’s wishes.

## 3. Other Donations in Support of Research

3.1 Donations in support of Research that are not administered by VPRI under sections 2.1 or 2.2 above are administered by the Trust Accounting group of Financial Services (“Trust Accounting”) as trust funds.

3.2 Where the academic unit or narrow Research purpose is specified, the expenditures from endowed or expendable donations will be under the relevant academic division’s oversight and administration, and will be allocated by that academic division to individual Research projects in accordance to the donor’s wishes through mechanisms established between the Administering Unit and Trust Accounting, and in a manner that ensures that these funds can be identified and reported by the University as funds provided in support of Research.

## 4. Service Contracts

4.1 In this section, “Service” is defined as activities having the following characteristics:

- (a) the primary goal of the activity is to apply existing knowledge to solve a particular identified problem or generate data of limited general application;
- (b) the scope of work and project design is determined by client/customer;
- (c) the application of established publicly-known or proprietary testing protocol or existing research tools (without material modification) or specific expertise aimed at achieving a client/customer driven outcome;
- (d) there is no expectation of outcomes that would be publishable in peer-reviewed journals;
- (e) there is no expectation that the activity will generate patentable inventions;
- (f) a trainee may participate provided the work does not detract from, nor form the basis of the trainee’s academic program.

4.2 Where the activities meet the definition of Service, the contract will be recorded within the operating funds of academic division undertaking the activity.

4.3 All activities under Service contracts must be undertaken in compliance with all applicable University policies and procedures, including without limitation those with respect to the use of human participants, animals and hazardous materials, and signing authority. The University’s *Policy on Approval and Execution of Contracts and Documents* provides as follows:

Agreements in the normal course of business for the sale of goods or services by a budget unit that conform to relevant University policies may be approved and signed by the Principal, Dean, Vice-Dean, Associate Dean, Director, Chair or other head of the budget unit or by their designate given written authority to authorize such sales by the Principal, Dean, Vice-Dean, Associate Dean, Director, Chair or other head of the budget unit, provided: (i) that the general class of such sales has been approved by the Vice-President, Assistant Vice-President, Deputy Provost or Vice-Provost responsible for the budget unit, and (ii) that the form of the agreement has been approved by the Vice-President, Assistant Vice-President, Deputy Provost or Vice-Provost responsible for the budget unit. [s. D(1)(c)]

## 5. Administration

5.1 If the activity proposed to be undertaken is determined to be Research, please follow the processes and procedures outlined on the VPRI website at [www.research.utoronto.ca](http://www.research.utoronto.ca).

5.2 If the activity proposed to be undertaken is not determined to be Research, please contact the Principal, Dean, Vice-Dean, Associate Dean, Director, Chair or other head of the budget unit in which the work would be performed. Divisions are encouraged to develop guidelines with respect to the review, approval and administration of service and donation agreements within the scope of their authority. A resource to assist the responsible signing officer with the review of the terms and conditions of Service contracts will be available in the Innovations and Partnerships Office of VPRI and additional guidelines, templates and other central resources may be developed in cooperation with the Office of the Vice-President and Provost, as appropriate.

*Issued October 30, 2013*