



<b>OTAGO POLYTECHNIC MANAGEMENT POLICY</b>		<b>Number: MP1104.04</b>
Title:	<b>External Income for Research Activity</b>	
Baldrige Criteria:	<b>Operations</b>	
Chief Executive Approval:	Effective Date: <b>1 August 2018</b>	Review Date: <b>1 July 2021</b>
Previous Policy No:	<b>n/a</b>	Status: <b>Current</b>
Contact Authority:	<b>Deputy Chief Executive Learning and Teaching Services and/or Director Research and Postgraduate Studies</b>	

**Purpose**

This policy covers applications for research projects (where research meets the Tertiary Education Commission for the Performance Based Research Fund definition of research) and applies to all external funding for research from Research Funders.

This policy will ensure that Otago Polytechnic can:

- a. Comply with its contractual obligations with regard to external funding;
- b. Accurately report on the Performance-Based Research Fund External Research Income measure and have the evidence to support that report;
- c. Ensure that full costs are accounted for in project budgets and recovered where possible; and
- d. Manage relationships with funding agencies well.

This policy will also benefit staff by protecting them from personal liability and providing them with management support from the Research and Postgraduate Directorate.

**National Guidelines**

TEC Performance Based Research Fund (PBRF) User Manual November 2016, Appendix C:Guidance on External Research Income

**Definitions**

In this policy:

“**Application**” includes applications for grants, tenders, estimates, quotes, expressions of interest, proposals and similar applications for external income from any source, including responses to requests for additional or updated information.

“**Contract**” includes any agreement or arrangement for external funding for research and any variations or changes to a contract.

The “**team**” means any group of one or more Otago Polytechnic personnel who will carry out the research, consultancy or commercial work.

An “**Authorised Person**” is the Chief Executive, Chief Operating Officer or Director: Research Postgraduate Studies or someone authorised by one of them in accordance with the delegations policy.

“**Research Directorate**” refers to Director Research and Postgraduate Studies, The Research Coordinator, the Research Administrator, the Contracts Manager, and a member of the Finance team with responsibility for Research and Postgraduate Studies.

**Policy**

1. All applications covered by this policy must be approved and submitted by the Director Research and Postgraduate Studies. The early involvement of Research directorate is strongly recommended.
2. All contracts covered by this policy must appropriately cover the scope of work to be done, payment and reporting schedules, confidentiality, intellectual property,



health and safety, liability, and student involvement.

3. To protect themselves from personal liability, individual researchers must not be parties to any contract covered by this policy.
4. All contracts must be approved and signed by an Authorised Person (Chief Executive, Chief Operating Officer or Director: Research and Postgraduate Studies, or authorised delegate) on behalf of Otago Polytechnic.
5. All applications and all contracts must be supported by a GST exclusive budget accounting for these costs and showing how at least the direct costs will be met.
6. The final budget must be approved by an Authorised Person. All expenditure outside or in excess of the approved budget, and all work outside the agreed scope, must be pre-approved by an Authorised Person. Non-budgeted expenditure will affect the budget for the relevant team's school / college or service area.

**Roles and responsibilities:**

7. The team is responsible for:
  - a. Complying with standard research requirements including consulting with Māori and obtaining ethics approval;
  - b. Seeking approvals required under this policy including budgeting;
  - c. Managing work to meet the contractual obligations for outputs including timeframes;
  - d. Providing the Research and Postgraduate Studies Directorate with information required for invoicing and reporting; and
  - e. Handling any change in team membership in conjunction with the head of school/college or service area.
8. The Research and Postgraduate Studies Directorate will support the team by:
  - a. Reviewing the application;
  - b. Submitting the application;
  - c. Assisting as required with negotiation of the contract;
  - d. Handling the invoicing and receipt of funds;
  - e. Assisting as required with reporting; and
  - f. Lodging relevant documents and information relating to the application in the CRM and iSoc databases.
9. The team will submit the draft application and the internal budget to the Director Research and Postgraduate Studies or nominee not less than ten (10) working days before the deadline for the application.
10. The Director Research and Postgraduate Studies or nominee will review a draft application and advise what, if any, changes are recommended within five (5) working days.
11. The team will submit the final application to the Director Research and Postgraduate Studies for checking and signing two (2) whole working days before the deadline for the application closes.

**Related Policy,  
Forms and  
Documents**

AP1102 Contestable Research Funding  
MP1100 Intellectual Property  
MP1103 Intellectual Property - Mātauranga Māori  
AP0101 Academic Board  
MP0303 Authorities and Delegations from Chief Executive

Approved by Chief Executive  
Date: 1 August 2018

