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## Application for External Research Funding Procedures

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<b>Policy Sponsor:</b>	Provost and Vice-President Academic
<b>Name of Parent Policy:</b>	<a href="#">Application for External Research Funding Policy</a>
<b>Policy Contact:</b>	Manager, Research Services
<b>Procedure Contact:</b>	Manager, Research Services
<b>Effective Date of Procedures:</b>	December 14, 2015
<b>Review Date:</b>	Annually

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### Purpose

To describe the process for submitting an application for external research funding.

### Definitions

<b>In-kind Contribution</b>	Includes non-monetary (supply and/or service) resources provided by Athabasca University (the University) or a third party to help defray the costs of a research project. Eligible in-kind contributions are typically identified in the Sponsor's funding guidelines.
<b>Indirect Costs</b>	Expenditures incurred in the conduct of research that are not directly attributed to a specific research project (also called overhead).
<b>Principal Investigator</b>	The researcher who is responsible for the intellectual leadership, conduct and financial management of a research project.
<b>Research</b>	An undertaking intended to extend knowledge through a disciplined inquiry or systematic investigation.
<b>Sponsor</b>	An external entity that enters into a Research Funding Agreement with the University to provide financial and/or other support for research.



**Unit Head** Includes Dean (or designate) or Chair, as appropriate, or Department Head.

### **Role of the Principal Investigator**

Principal Investigators seeking to apply for external research funding should start planning their application well in advance of the Sponsor's submission deadline; they are encouraged to consult with the Research Centre early in the application process.

Principal Investigators who wish to work with a grantsmanship mentor should have a completed draft ready for review six weeks in advance of the Sponsor's submission deadline.

The research project budget must identify project costs and eligible institutional cash and/or In-kind Contributions, if applicable, in accordance with the Sponsor's application guidelines.

Except when expressly prohibited by the Sponsor, the research project budget should also include Indirect Costs. Principal Investigators are encouraged to consult with the Associate Vice-President, Research, to determine the appropriate rate.

For applications requiring a cash and/or In-kind Contribution, a copy of the written commitment by the Unit Head and/or Associate Vice-President, Research, must be provided to the Research Centre by the Principal Investigator a minimum of 10 business days in advance of the Sponsor's submission deadline.

Applications that include University cash and/or in-kind contributions exceeding \$100,000 must be forwarded to the Research Centre a minimum of 10 business days in advance of the Sponsor's submission deadline to allow sufficient time for review by Financial Services.

### **Role of the Research Centre**

The Research Centre will:

- Work with the Principal Investigator and Sponsor, as appropriate, to facilitate the application and budget development process.
- Upon request, link the Principal Investigator with a grantsmanship mentor.
- Review applications to ensure that they are complete and conform to the Sponsor's guidelines and to University policies.
- Submit applications to Financial Services for review, as required.



## **Submission of the Application**

The Principal Investigator should upload their completed application to the Athabasca University Research Portal a minimum of 10 business days in advance of the Sponsor's submission deadline to allow sufficient time for review and approval.

The Unit Head and Associate Vice-President, Research will review and, if appropriate, approve the submission of the application for external research funding.

Once the required approvals have been secured, the Research Centre will advise the Principal Investigator that the application is ready for submission to the Sponsor.

The Principal Investigator or the Research Centre will submit the approved application to the external Sponsor, in accordance with the application guidelines.

The Research Centre and the Principal Investigator shall keep each other informed of the Sponsor's decision.

## **Applicable Legislation and Regulations**

[Alberta Freedom of Information and Protection of Privacy Act, R.S.A. 2000, c. F-25](#)  
[Post-Secondary Learning Act, S.A. 2003](#)

## **Related References, Policies, Procedures and Forms**

[Application for External Research Funding Policy](#)  
[Conflict of Interest in Research](#)  
[Ethical Conduct for Research Involving Humans Policy](#)  
[Research Funding Administration Policy](#)  
[Tri-Agency Framework: Responsible Conduct of Research](#)

## **History**

Executive Group, December 14, 2015 (Approved)