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Eligibility to Apply for and Hold Research Funding Policy

Office of Accountability:	Vice-President (Research)
Office of Administrative Responsibility:	Research Services Office (RSO)
Approver:	Vice-President (Research), Vice-President (Finance and Administration), Provost and Vice-President (Academic)
Scope:	Compliance with this University policy extends to all members of the University community.

Overview

The University of Alberta acknowledges the importance of research funding to support many forms of research and scholarly activity to ensure that the University's roles and responsibilities regarding research administration are followed. Research funding at the University is classified in the financial system as a **project**. The **project holder** is the individual who is accountable for the appropriate expenditure of the funding placed in a project, in compliance with the terms and conditions of the **sponsor(s)**, and University policies and procedures.

Purpose

To define who is eligible to apply for research funding and hold research projects at the University of Alberta.

POLICY

Individuals who are eligible to apply for all research funding and hold projects are listed in the table below.

In no instance shall an individual hold a project from which he or she derives any personal benefit or any portion of his or her salary, or as a result of holding the project is placed in a position of potential conflict of interest or conflict of commitment. In the event that research funding is received and one or more of these situations applies, a separate project will be established under the name of the Department Chair or Dean.

An individual shall have, at the time of application for the research funding, a term of appointment spanning the period of funding, or a signed commitment for a term of employment spanning the period of funding.

In cases where an individual is eligible to apply for research funding but not eligible to hold projects, the Department Chair shall be the project holder; in non-departmentalized Faculties, the Dean shall be the project holder.

Exceptions to this policy for a particular individual may be considered as outlined in the procedure.

Recipients of research funding must immediately report to RSO any change in their eligibility which could result in non-compliance with the sponsor's requirements or University of Alberta policy. RSO shall communicate with the sponsor, as required.

<i>Staff Agreement or Policy/Procedure</i>	<i>Staff Description</i>	<i>Authority to Engage in Research Duties at the University</i>	<i>Eligible to Apply for Funding</i>	<i>Eligible to Hold Project</i>
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<i>CATEGORY 1: ACADEMIC STAFF IN CONTINUING APPOINTMENTS</i>				
1a) Faculty Agreement	Faculty	Faculty Agreement	Yes	Yes
1b) Faculty Service Officer (FSO) Agreement	FSO	FSO Agreement	Yes, as co-applicant if stipulated in assigned duties	Yes, if stipulated in assigned duties
1c) Librarian Agreement	Librarian	Librarian Agreement	Yes, if stipulated in assigned duties	Yes, if stipulated in assigned duties
1d) Administrative and Professional Officer (APO) Agreement	APO	Not applicable	No	No
<i>CATEGORY 2: ACADEMIC STAFF IN TEMPORARY APPOINTMENTS AND PAID THROUGH OPERATING FUNDS</i>				
2a) Contract Academic Staff: Teaching (CAST) Agreement	Contract Teaching Staff	Assigned duties	Yes, as co-applicant if stipulated in - assigned duties	Yes, if stipulated in assigned duties
2b) Sessionals and Other Temporary Staff (SOTS) Agreement	Sessional	Assigned duties	Yes, as co-applicant if stipulated in assigned duties	Yes, if stipulated in assigned duties
2c) Sessionals and Other Temporary Staff (SOTS) Agreement	APO like duties	Not Applicable	No	No
2d) Excluded	Appointee excluded from collective agreements	Assigned duties	Yes, if stipulated in assigned duties	No
<i>CATEGORY 3: ACADEMIC STAFF IN TEMPORARY APPOINTMENTS PAID THROUGH RESTRICTED FUNDS</i>				
3a) Trust/Research Academic Staff (TRAS) Agreement	TRAS – Teaching & Research Academic Family	Assigned duties	Yes, as co-applicant if stipulated in assigned duties	Yes, if stipulated in assigned duties
3b) Trust/Research Academic Staff (TRAS) Agreement	TRAS – Research Academic	Assigned duties	Yes, as co-applicant, if stipulated in assigned duties	No
3c) Trust/Research Academic Staff (TRAS) Agreement	TRAS – Other	Not Applicable	No	No
<i>CATEGORY 4: RESEARCHERS WHO DO NOT RECEIVE COMPENSATION FROM UNIVERSITY</i>				
4a) Academic Colleagues Policy and Clinical	Clinical Academic Colleagues	Assigned duties	Yes, if stipulated in assigned duties	Yes, if eligible to apply stipulated in assigned duties

Academic Colleagues Procedure				
4b) Not Applicable	Special “Continuing” Colleagues	Assigned duties	Yes, if approved in writing by the Dean	Yes, if approved in writing by the Dean
4c) Emeritus Policy and Professor Emeritus Procedure	Professor Emeritus	Emeritus Policy and Professor Emeritus Procedure	Yes, if approved in writing by the Dean	Yes, if approved in writing by the Dean
4d) Academic Colleagues Policy and Adjunct Academic Colleagues Procedure	Adjunct Academic Colleagues	Assigned duties	Yes, if stipulated in assigned duties	Yes, if eligible to apply stipulated in assigned duties
4e) Not Applicable	Graduate Students	Not Applicable	Yes, as a co-applicant, OR as principal applicant for graduate student stipend awards	No
<i>CATEGORY 5: OTHER RESEARCHERS PAID THROUGH OPERATING OR RESTRICTED FUNDS</i>				
5a) Not Applicable	Academic Affiliates (Secondees)	Secondment Agreement	Yes, if stipulated in secondment agreement	Yes, if stipulated in secondment agreement
5b) Graduate Students’ Association (GSA) Agreement	Graduate Research Assistant or Graduate Teaching Assistant	GSA Agreement	Yes, as co-applicant OR as principal applicant for graduate student stipend awards	No
5c) Postdoctoral Fellow (PDF) Policy	PDF	PDF Policy	Yes, as co-applicant OR as principal applicant for PDF stipend awards	No

DEFINITIONS

Any definitions listed in the following table apply to this document only with no implied or intended institution-wide use. [▲Top](#)

Project	Funding with a finite life span. Research funding at the University is classified in the financial system as a project in order to further distinguish financial transactions for reporting purposes.
Project Holder	The individual who is accountable, according to University policy, for the receipt of the project funding and appropriate expenditure of this funding ensuring that it is for University operations in compliance with the terms and conditions of the sponsor(s) and University policies and procedures.
Sponsor	An external agency that provides funds to the University. A company or agency paying for/requesting the research.
Faculty	Academic staff who are appointed under the Faculty Agreement to a faculty position in which the person has been or may be granted tenure.
Faculty Service Officer (FSO)	Academic staff appointed under the FSO Agreement.

Co-applicant	Other researcher who makes a significant intellectual contribution to the proposed research project and shares research responsibility for the research proposal, application, agreement, contract or award. This category can include co-Principal Investigators.
Assigned Duties	Assigned research duties stipulated in writing.
Librarian	Academic staff appointed under the Librarian Agreement.
Administrative and Professional Officer (APO)	Academic staff appointed under the Administrative and Professional Officer Agreement.
Contract Teaching Staff	Academic staff appointed under the CAST Agreement.
Sessional	Academic staff appointed under the SOTS Agreement.
TRAS – Teaching & Research Academic Family	Academic staff who teach or perform other related activities and/or clinical related duties and externally funded independent research or some combination of these duties appointed under the TRAS Agreement.
TRAS - Research Academic	Academic staff whose duties are to carry out or support high-level, complex, research projects in collaboration with faculty members and other researchers appointed under the TRAS Agreement. May also be referred to as Research Associate.
TRAS – Other	Academic staff appointed under the TRAS Agreement to positions similar to an APO or librarian.
Clinical Academic Colleagues	Individuals in the healthcare professions who are or have been primarily employed externally to the University of Alberta, and who participate in the teaching and/or research activities of a department in the University without the expectation of compensation appointed under the Academic Colleagues Policy and Clinical Academic Colleagues Procedure.
Special “Continuing” Colleagues	Individuals with substantial experience in a profession or discipline who are or have been primarily employed externally to the University, and who do not receive compensation from the University but have the same university duties as Faculty and are evaluated by a Faculty Evaluation Committee.
Professor Emeritus	A retired University of Alberta professor, previously employed under the Faculty Agreement, who met the eligibility criteria for the title based on the length of his/her professorship at the University of Alberta, strong teaching record, and research and community service within the University.
Adjunct Academic Colleagues	Individuals with substantial experience in a profession or discipline who participate in the teaching and/or research activities of a department in the University without expectation of compensation appointed under the Academic Colleagues Policy and Adjunct Academic Colleagues Procedure.
Graduate Student	A student registered in a thesis or course-based program in the Faculty of Graduate Studies and Research.
Principal Applicant	A researcher who is primarily responsible for the intellectual contribution to the research proposal, application, agreement, contract or award, and is responsible for the overall direction of research activities of the research project. May also be referred to as the principal investigator.
Academic Affiliates (Secondees)	Individuals temporarily seconded from an external organization or institution to the University to work with the University and who have the same University duties as Faculty. The terms and conditions of the secondment are contained in a secondment agreement made between the University, the individual and the seconding employer.
Graduate Research Assistant (GRA)	A graduate student who is appointed under the GSA Collective Agreement to perform research and research-related duties.

Graduate Teaching Assistant (GTA)	A graduate student who is appointed under the GSA Collective Agreement to perform research and research-related duties.
Postdoctoral Fellow	An individual who is in training, normally within five years from the completion of a doctoral degree and ten years from the completion of an MD, DDS or equivalent.

RELATED LINKS

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[Academic Colleagues Policy](#) (UAPPOL)

[Administrative and Professional Officer Agreement](#) (University of Alberta)

[Adjunct Academic Colleagues Procedure](#) (UAPPOL)

[Clinical Academic Colleagues Procedure](#) (UAPPOL)

[Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict](#) (UAPPOL)

[Contract Academic Staff: Teaching](#) (University of Alberta)

[Emeritus Policy](#) (UAPPOL)

[Faculty Agreement](#) (University of Alberta)

[Faculty Service Officer Agreement](#) (University of Alberta)

[Librarian Agreement](#) (University of Alberta)

[Recruitment Policy \(Appendix A\) Definition and Categories of Academic Staff and Colleagues](#) (UAPPOL)

[Sessionals and Other Temporary Staff Agreement](#) (University of Alberta)

[Trust/Research Academic Staff](#) (University of Alberta)

PUBLISHED PROCEDURES OF THIS POLICY

[Eligibility to Apply for and Hold Research Funding Procedure](#)