

Approval Date: April 5, 2006

Parent Policy: [Eligibility to Apply for and Hold Research Funding Policy](#)

Eligibility to Apply for and Hold Research Funding Procedure

Office of Administrative Responsibility:	Research Services Office (RSO)
Approver:	Vice-President (Research)
Scope:	Compliance with University procedure extends to all members of the University community.

Purpose

The following procedures outline the process for determining an individual's eligibility to apply for and hold research funds and how to request exceptions to the parent policy when required. These procedures are in accordance with the parent policy *Eligibility to Apply for and Hold Research Funding*.

PROCEDURE

1. ELIGIBILITY TO APPLY FOR RESEARCH FUNDING

All individuals intending to apply for research funding shall:

- a. Confirm they meet the **Sponsor's** requirements
- b. Confirm they meet the University of Alberta's eligibility to apply for research funding as per *Eligibility to Apply for and Hold Research Funding Policy*.
 - i. If the individual is eligible to apply for research funding they should proceed with completing the application.
 - ii. If the individual is eligible to apply for research funding conditional on the terms of their appointment contract, the Department Chair* and Dean confirm this condition has been met by signing the grant application or proposal and/or the *University of Alberta General Signature Page*.
 - iii. If the individual is not eligible to apply for funding, a request for an exception to the policy must be sought from the Vice-President (Research) or designate. To request an exception the individual must provide a written request to the Director of RSO, supported by their Department Chair* and Dean or Associate Dean (Research). RSO will review the request and make a recommendation to the Vice-President (Research) or designate for consideration. RSO will communicate the decision by the Vice-President (Research) or designate to the individual and if approved the individual should proceed with completing the application. RSO will forward a copy of all approvals to the Director, Faculty Relations and the Director, Employment Services.
 - iv. If none of the above scenarios applies, the individual cannot apply for research funding.

2. ELIGIBILITY TO HOLD RESEARCH FUNDING

Recipients of research funding shall:

- a. Confirm they meet the University of Alberta's eligibility to hold projects requirements as per *Eligibility to Apply for and Hold Research Funding Policy*.

i. If the recipient is eligible to hold the research project, the project will be established in the financial system under their name. In no instance shall the recipient 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 as per *Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict*. In the event that research funding is received and one or more of these situations applies, a separate project in the financial system will be established under the name of the Department Chair or Dean.

ii. If the recipient is eligible to hold projects conditional on the terms of their appointment contract, written confirmation of this inclusion in their contract shall be obtained from their Department Chair* and/or Dean and sent to RSO.

iii. If the recipient is not eligible to hold projects, the project will be established in the financial system under the name of the Department Chair or Dean unless approval to hold the project has been obtained from the Vice-President (Research) or designate. To request an exception to the policy from the Vice-President (Research) or designate, the recipient must provide a written request to RSO, supported by their Department Chair* and Dean or Associate Dean (Research). RSO will review the request and make a recommendation to the Vice-President (Research) or designate for consideration. RSO will communicate the decision by the Vice-President (Research) or designate to the recipient and if approved the project will be established in the financial system under their name. RSO will forward a copy of all approvals to the Director, Faculty Relations and the Director, Employment Services.

In no instance shall the recipient 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 as per *Conflict Policy – Conflict of Interest and Commitment, and Institutional Conflict*. In the event that approval to hold the project was granted by the Vice-President (Research) or designate and one or more of these situations applies, a separate project in the financial system will be established under the name of the Department Chair or Dean.

*Note: In non-departmentalized Faculties, the required signature shall be that of the Dean.

DEFINITIONS

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

Sponsor	An external agency that provides funds to the University. A company or agency paying for/requesting the research.
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FORMS

There are no forms for this Procedure. [[▲Top](#)]

RELATED LINKS

Should a link fail, please contact uappol@ualberta.ca. [[▲Top](#)]

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

[General Signature Page](#) (University of Alberta)