Procedure Name | Approval to Forward an Application for Research Funds to an External Sponsor
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Procedure # | RI 6.01 | Parent Policy | RI 6.0: Applied Research Administration
Policy Owner | VP Academic, Neil Fassina | Effective Date | December 16, 2015
Procedure Owner | AVP Research & Innovation, Chris Dambrowitz | Review Date | December 2018
Approved by | AVP Research & Innovation | Approval Date | December 16, 2015

1.0 Purpose/ Background
In order to ensure funding applications submitted to external sponsors meet all eligibility and compliance requirements it is critical for all proposals to be properly reviewed and approved through NAIT’s Stage-Gate process administered and supported by various stakeholders throughout the Institute. This procedure applies to any staff member, faculty or researcher engaged in applied research activities.

2.0 General Principles
2.1 To satisfy the need to comply with NAIT operational and administrative policy.

2.2 To satisfy the need to act in accordance with funder policy and eligibility compliance.

2.3 It is the responsibility of the Principal Investigator to obtain the Institute’s approval before a grantor contract application to an external sponsor is submitted.

3.0 Definitions

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<th>Term</th>
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<td>Principal Investigator</td>
<td>The researcher with overall responsibility for the direction of a particular research project, grant or contract.</td>
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4.0 Procedures
4.1 An applicant must discuss any research proposal with his/her supervisor, Applied Research Committee, and, where appropriate and necessary, Stage-Gate review committee. An applicant must obtain, with the assistance and support of the Office of Research and Innovation and host School, all the necessary documents, forms and conditions from the granting agency.
4.2 All applications/proposals must have the appropriate endorsement before being submitted: for School staff this will be the Dean, Associate Vice President Research and Innovation, and Vice President Finance and Administration.

4.3 An applicant (Principal Investigator) shall submit each application for grant or contract funding, including letters of intent, from any research sponsor (for example, government; industry; international organization; business, labour, or other organization; foundation, whether private or public) to the Office of Research and Innovation for approval before the application may be forwarded to the sponsor. Any and all applications are forwarded to sponsors by the Office of Research and Innovation. NAIT approval is required whether or not the sponsor requires such approval.

4.4 All proposals will be formally evaluated from the viewpoint of general Institute policy and strategic direction, and a decision made for approval or rejection. The Office of Research and Innovation may appoint a committee to provide these evaluations.

4.5 Completed applications should be submitted to the Office of Research and Innovation on or before specified internal deadlines to be determined by the Office of Research and Innovation, to allow time for administrative review of applications.

4.6 Approval by the Research Ethics Board (REB) shall be required for all research involving human subjects.

4.7 Approval by the NAIT Animal Care Committee (NACC) shall be required for all research involving animal subjects.

4.8 The Office of Research and Innovation will consult with the Office of the Vice President Finance and Administration to ensure that contract proposals conform to Institute policy.

4.9 When finalized, the Office of Research and Innovation shall forward the grant or applied research proposal to the appropriate agency.

4.10 Co-investigators participating in multi-centred research projects applying for funding from external sponsors shall provide a copy of the final proposal to the Office of Research and Innovation. The same approvals as those stipulated in 4.3 are required prior to submission.

5.0 Exceptions to the Procedure

5.1 Exceptions to this procedure must be documented and formally approved by the Policy Lead.
Procedure exceptions must include:
• The nature of the exception
• A reasonable explanation for why the procedure exception is required
• Confirmation that the exception aligns with the general principles
• Any risks created by the procedure exception and how they will be managed.
6.0 Related Documentation
RI 6.0 Applied Research Administration Policy

**Document History**

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<tr>
<th>Date</th>
<th>Action/ Change</th>
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<tr>
<td>December 2015</td>
<td>Policy converted to a procedure and updated to reflect Stage-Gate process.</td>
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<tr>
<td>Feb/05/2007</td>
<td>Original Policy Approval</td>
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