

Procedure for Completing Proposals and Applications for Research Funding

Introduction

Conestoga College Institute of Technology and Advanced Learning is committed to provide a polytechnic environment conducive to the pursuit of currency, scholarship, applied research and creative activity for its faculty, staff and students. This procedure covers activities related to the development and management of proposals and applications for research funding.

This procedure adheres to the 'Policy on Completing Proposals and Applications for Research Funding'. The Executive Dean of Entrepreneurship and Research (*or designate assigned by the President*) has responsibility for the interpretation and implementation of this procedure.

Definitions

Refer to the 'Policy on Completing Proposals and Applications for Research Funding' for relevant definitions.

Exclusions

This procedure covers all research activities under the auspice of Conestoga excluding *institutional research* and *external consulting*. This procedure does not cover *external consulting service* activities since the contract is between an individual (not acting in the role of his or her position at Conestoga) and a company or a third-party.

Procedure Elaboration

All activities within a research project, from the development of a proposal to the final report for the project, require time and resources. With finite time and resources within the institution, it is crucial that we prioritize our efforts along the strategic plans that have been developed for Conestoga. These consist of the Conestoga's Strategic Plan, Conestoga's Strategic Mandate Agreement (SMA) with the Ontario Government, and each School's research priority area(s).

In the following procedures, it shall be assumed that there is one Principal Investigator (PI) who is a Conestoga staff member (faculty member or researcher). For applied research projects where there are more than one co-PI overseeing the project, it shall be assumed that one of the PIs is the main person responsible for the project.

Before Writing Begins

1. The PI must consult with their Chair and/or Executive Dean on the scope of research project to ensure that it aligns with the strategic plans for Conestoga. Funding, time, space, resources, and other considerations (e.g. contractual requirements, ethical issues, risk mitigation, and liabilities) should also be reviewed.
2. With approval from the Chair and/or Executive Dean of the School, the PI must register the research project with Conestoga's Applied Research and Innovation (CARI) office. The CARI office collects metrics on all research projects throughout Conestoga.
3. The PI must review all funder protocols (e.g. registration, eligibility, signatures, approvals, processes) that are part of the funding agency requirements for submitting a proposal or application. The CARI office can assist you with this item depending upon the funding agency.

Writing for a Proposal or Application

For each of the items below, a "submission" refers to either a proposal submission or an application submission to the funding agency.

1. The PI must review the various components required for the submission. A funder can have different requirements for each of their grants. It is important to review these requirements for each new submission since the requirements can change periodically.
2. The PI must review the technical components of the submission with the Chair, Executive Dean, and/or others (e.g. faculty, staff, researchers, students) with similar knowledge and expertise to ensure the clarity of the composition.
3. The overall composition should also be reviewed by the CARI office. Sections that are general about the institution or region can be reviewed for up-to-date information.
4. The submission's budget must be reviewed by CARI's Financial Administrator before a review by Conestoga's Finance Department. Signatures from key individuals within Conestoga can then be requested.
5. Specifically for full applications, the PI should review the funding agency's requirements on ethics and environmental reviews and approvals (and any other reviews and approvals that may be required). For some agencies, written approvals may be necessary before submission of the application.

NOTES:

- A. Allow a minimum of 2-weeks before submission is due for full financial reviews.
- B. It is important to note that some submissions require electronic sign-offs via an online account/system. The procedure for online submission must be determined at the beginning of the writing process to ensure that accounts are setup properly.

After a successful Notice of Intent (NOI)

Some grants require an initial Expression-of-Interest (EOI) or Notification-of-Interest (NOI) before a proposal and/or application. When an EOI or NOI require budgetary estimates or a statement of funding requirement, then the EOI or NOI needs to be reviewed by CARI's Financial Administrator.

1. If the PI is informed directly about a successful EOI or NOI, the PI must inform their Chair and Executive Dean and the CARI office of the successful submission. The CARI office will inform the Finance Department.
2. Since considerable time can elapse between the submission and the successful acknowledgement of the EOI or NOI, the PI must review the research project's scope with his/her Chair or Executive again. This is to ensure that nothing has changed for the School, the Institution, and that no other extenuating circumstances have arisen that may impact the success of the project.

After a successful Application or Proposal

1. If the PI is informed directly about a successful application, the PI must inform their Chair and Executive Dean and the CARI office of the awarded grant. The CARI office will inform the Finance Department.
2. The PI must meet with the CARI office to review all reporting dates/deadlines required by the funding agency.
3. Research projects that have organizations and/or companies participating with the PI on the project's activities will normally require Conestoga's Research Collaboration Agreement to be processed. The CARI office can pull these agreements together with the assistance of the PI and lead individual at the organizations and companies. It is important to start this process as soon as possible since these external bodies may need to reassess their involvement on a research project.
4. The PI must ensure that all ethics and other reviews are completed and approved prior to commencement of the project.
5. The CARI office works with the Human Resources Department for any Part-time or Full-time contracts for students or contractors on research projects. Note that the hiring process for Conestoga Students (PT or FT) is an open process and posted to MyCareer via MyConestoga.

Interim and Final Reports

Each report for a funding agency requires adequate time to complete. The CARI office can assist with the processing of these reports (especially for financial reports). To facilitate the process effectively, the PI must ensure the following:

1. A complete list of 'due dates' for reports are provided to the CARI office at the beginning of the project.
2. All information from the PI or partners needed to complete reports are provided to the CARI office (or to the person or individuals completing the report) in a timely manner.
3. Reports that require signatures from the Director of Finance (especially for financial reports), Director of Applied Research, Executive Deans, VP of Corporate Services, and/or the President may require extra time to process. The PI needs to confer with the CARI office to ensure that adequate time has been allocated.

Additional Notes

- A. Failure to comply with approved policies and procedures may expose Conestoga, staff members, and students to legal and financial liabilities.
- B. Any dispute on the interpretation of this procedure will be submitted to the Executive Dean of Entrepreneurship and Research in writing. The Executive Dean may elect to form a committee to investigate the dispute and recommend a resolution. The decision of the Executive Dean is binding on all parties.

Related Documents

- Policy on Applied Research
- Policy on Conflict of Interest in Research
- Policy on Research Integrity
- Policy on Intellectual Property
- Policy on Student Rights in Research
- Policy on Research Involving Animals
- Policy on Research Involving Chemical, Biological, or Radioactive Hazards
- Policy on Research in the Yukon, Northwest Territories, or Nunavut
- Policy on Confidentiality of Information in Research
- Policy on Financial Management of Research Projects
- Policy on the Protection of the Environment within Research
- Ethical Conduct in Research Involving Humans
- Procedure for Applied Research Activities
- Procedure for Reporting Concerns within Research
- Policy on Completing Proposals and Applications for Research Funding

Revision Log

Version Number	Release Date	Notes
AR11 V1	September 2014	Initial release of the procedure.
AR11 V1	September 24 2014	Academic Coordinating Committee - Approved
AR11 V1	September 15 2014	Policy and Procedure Committee - Approved

Acknowledgements

This procedure has been developed based upon previous Conestoga documents.