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## **POLICY**

Aurora College (the “College”) will support an effective research environment for its staff and students by providing clear procedural guidelines for all sponsor-supported research programs and by maintaining auditable fiscal controls of all research funding grants made to Aurora College.

## **PRINCIPLES**

Aurora College recognizes that it is important to undertake research and scholarly activities that:

1. have a demonstrable and positive relationship to the College’s mission statement, programs, and services; and
2. address and support the Government of the Northwest Territories’ Science Priorities.

## **PROCEDURES**

The following procedures apply to Aurora College staff, students and affiliates who plan to conduct research as part of their employment or studies with Aurora College.

### **Procedure for Approval and Administration of Research Projects**

1. Proposed research projects may be identified through a request from a granting agency, industry, or a concept proposed by any member of the College Community.
2. The Principal Investigator<sup>1</sup> will discuss their proposed research with their supervisor and get approval to proceed with their application.
3. Prior to starting a research project, the Principal Investigator is required to submit an Aurora College Research Application. If the project involves a grant application for an external agency, the agency’s form should be submitted in lieu of the college application form.
4. If required, a budget will be developed by the Principal Investigator in cooperation with the relevant Senior Manager (includes President, Director of Finance/Chief Financial Officer, and Vice Presidents) (or designees) and the Vice President, Research (or designee).
5. The Senior Manager will consult, as needed, with relevant college staff and approve the research request prior to any research being done or external applications submitted.
6. Research applications involving external funding must also be reviewed and approved by the Director of Finance / Chief Financial Officer.
7. The Principal Investigator will consult with the Manager, Research Ethics and Regional Programs to determine if an ethics review is required (if the research involves human participants).
8. The Principal Investigator will consult with the Chair of the Animal Care Committee to determine if a protocol review is required (if the research involves animal subjects).

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<sup>1</sup> The Principal Investigator is the researcher with overall responsibility for the direction of a research project, grant or contract.

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9. The Principal Investigator is responsible for ensuring that all required licences and permits are obtained prior to the research beginning.

### **Responsibilities**

- 1 The President (or designee)
  - 1.1 Has the overall responsibility for institutional leadership in the development and promotion of research in all disciplinary and interdisciplinary areas.
  - 1.2 Appoints and provides support for the various Standing Committees related to research that have been established by Aurora College (e.g. Research Ethics Committee and Animal Care Committee).

- 2 The Aurora Research Institute (ARI)

#### General

As the research division of the College, ARI is responsible for research administration, under the direction of the President and Chief Financial Officer.

The Vice President, Research (or designee):

- 2.1 Facilitates the collaborative identification and implementation of research and provides services, systems and processes that enhance approved research priorities.
- 2.2 Develops, coordinates and supports research activities by Aurora College faculty, staff and students.
- 2.3 Seeks and administers grants for research activities.
- 2.4 Provides support for the standing committees related to research that have been established by Aurora College (e.g. Research Ethics Committee and Animal Care Committee).
- 2.5 Identifies and secures appropriate partnership activities that support the College's research and scholarly activities.
- 2.6 Ensures accountability to all stakeholders and takes steps to ensure good communication between researchers and stakeholders.
- 2.7 Works collaboratively with internal and external partners to implement best practices in research administration, accountability and compliance.
- 2.8 Provides related guidance and training for researchers and administrators.
- 2.9 Communicates to researchers, staff and students on sponsor decisions and administrative requirements related to research grants.
- 2.10 Liaises with sponsors to ensure compliance with their current guidelines and to resolve conflicts and concerns.
- 2.11 Maintains an inventory of active research within the College.

#### Finance

The Vice President, Research (or designee):

- 2.12 Provides assistance in negotiation of contracts and multi-party collaborations.
- 2.13 Works with the Aurora College Finance Department and the Principal Investigator to establish accounts for successful research grants and administers the grants in

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accordance with the procedures outlined in the Government of the Northwest Territories (GNWT) Financial Administration Manual (FAM).

- 3 Finance Department and Director of Finance / Chief Financial Officer (CFO) (or designee)  
The CFO:
  - 3.1 Ensures that applications for external funding conform to GNWT financial policies and procedures.
  - 3.2 Ensures that fiscal controls are followed in accordance with the GNWT FAM including:
    - Monitoring grant finances ensuring action is taken to address:
      - (1) potential or actual over expenditures;
      - (2) potential conflict with sponsor terms and conditions and College policies;
    - Eligibility of expenditures;
    - Project end date management; and
    - Dormant account review.
  - 3.3 Develops, secures and administers contracts for the research program in accordance with the GNWT FAM.
  
- 4 Aurora College Senior Management  
The Senior Manager:
  - 4.1 Supports research activities at their Campus / Division.
  - 4.2 Reviews and approves all grant applications, where their signature denotes:
    - That the applicant is eligible to hold grants under College policy;
    - That the applicant meets the sponsor's eligibility requirements;
    - The availability of space and other resources that the applicant has declared;
    - The ability to provide administrative support to the research activity; and
    - Their support of the proposed activity.
  - 4.3 Works with ARI to implement effective systems that ensure:
    - Research is carried out in compliance with College policies and the sponsor's terms and conditions;
    - All research has the appropriate certification approvals;
    - Researchers provide research deliverables and reports; and
    - Potential conflicts of interest are addressed.
  
- 5 The Principal Investigator  
General  
The Principal Investigator:
  - 5.1 Ensures that approval to proceed with research is obtained from his/her supervisor;
  - 5.2 Prepares funding applications that:
    - Meet the requirements of the sponsor;

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- Include the signatures of all co-applicants and their appropriate administrators;
  - Budget for all direct costs;
  - Include indirect costs<sup>2</sup> where applicable;
  - Include the costs of facilities and equipment rental, as well as an allowance for College administrative costs; and
  - Identify in writing the space and other resource requirements.
- 5.3 Discloses any conflict of interest, or potential conflict of interest, at the time of submitting the application or any time during the term of the contract.
- 5.4 Signs all applications, where the Principal Investigator's signature indicates that the Principal Investigator:
- Will abide by sponsor terms and conditions and the College's policies and procedures; and
  - Will only undertake research involving human subjects, animals, bio-hazardous agents or radioactive materials with prior approval of the appropriate committee(s) (see policies I.04 *Ethical Conduct for Research Involving Human Subjects* and I.05 *Care of Animals in Teaching and Research*).
- 5.5 Ensures that all activities/services conform to College and sponsor policies and procedures.
- 5.6 Ensures that all required licences and permits are obtained prior to the research beginning.

#### Finances

The Principal Investigator will:

- 5.7 In matters related to research, consult with the CFO (or designee) to ensure that the corporate responsibilities of the College are met in terms of financial and associated liability matters.
- 5.8 Develop financial plans, seek correct approvals, and ensure financial arrangements are completed prior to commencement of any activity/project.

**Note:** Principal investigators are NOT authorized to sign contracts or contract amendments on behalf of the College. Contracts or contract amendments must be signed by an approving officer senior to the researcher.

- 5.9 Ensure all expenditures authorized against a College research account conform with the approved budget; with all terms and conditions of the grant or contract;

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<sup>2</sup>Indirect costs are the overhead costs for maintaining an environment and infrastructure for conducting research, which includes human resources and payroll, accounting (invoicing, research account maintenance, preparation of financial reports, purchasing), research administration (drafting of research agreements, negotiation of contracts, review of research proposals, on-going contract administration, maintenance of information on funding sources, etc.), support for the library, access to computer services, utilities and building maintenance and renovation.

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with all regulations of the sponsoring agency; and with all College policies and procedures regarding research.

- 5.10 Maintain and submit appropriate financial documentation.
- 5.11 Review and approve financial reports related to the research funds of his/her project.

#### Documentation

The Principal Investigator:

- 5.12 Ensures a Research Summary Report of his/her research project is submitted to his/her Senior Manager and the Vice President, Research, for research tracking purposes.
- 5.13 Ensures all documentation required by the sponsor (e.g. mid-term briefing, final reports, and community consultation) is completed according to agreed deadlines.
- 5.14 Ensures a copy of the final report is deposited with the libraries at ARI and his/her campus.

#### Human Resource Management

The Principal Investigator:

- 5.15 Ensures all staff and students engaged in his/her specific research project are fully informed of and agree to be bound by the terms and conditions of the research contract, as well as relevant Aurora College research policies and procedures.
- 5.16 Works with appropriate Aurora College employees to maintain a healthy and safe working environment by providing all necessary safety training for everyone engaged in his/her research project and by advising all staff and students who are not involved in his/her research project of any hazards.

#### **Research Contracts**

1. Contractual research agreements will be between Aurora College and the contracting agency.
2. Research contracts will be awarded and administered in accordance with the GNWT FAM.

#### **Employment of Research Personnel**

1. Research personnel will be hired in accordance with the GNWT's *Staffing Guidelines* to ensure that appointments are made in a manner consistent with the *Public Service Act*.
2. Terms and conditions of employment will comply with the Collective Agreement between the Union of Northern Workers and the Minister of Human Resources.
3. The Principal Investigator will normally be the supervisor of personnel funded from his/her grant or contract, unless otherwise agreed to and indicated in writing in the agreement/contract.
4. It is the responsibility of the College to provide a healthy and safe working environment.

### **Equipment and Facilities**

1. All equipment and material will be purchased in accordance with the GNWT's policies and procedures.
2. Title of equipment and material purchased with the aid of research grants is vested in the College unless a research agreement/contract specifies otherwise.
3. Where feasible, equipment which is not being fully used for its intended purpose will be made available for use elsewhere in the College.

### **PROCEDURES, FORMS, AND RULES**

The Vice President, Research (or designee) is responsible for managing the supporting procedures, forms and rules for this policy.

Forms are available on SharePoint and at <http://www.nwtresearch.com>.

### **RELATED POLICIES**

- F.04 Conflict of Interest
- I.03 Integrity in Research
- I.04 Ethical Conduct for Research Involving Human Subjects
- I.05 Care of Animals in Teaching and Research
- I.06 Intellectual Property
- I.07 Research Associate Program

### **RELATED AURORA COLLEGE BYLAWS**

Bylaw #1 Student Conduct

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**FACT SHEET****DATES:**

2011-01-17	New policy issued. Board of Governors Motion BG#04-2011. Planned implementation July 1, 2011.
2011-04-07	Policy revised and new format approved and implemented. Board of Governors Motion BG#17-2011. Planned implementation July 1, 2011.
2011-06	Implementation date rescinded by Board of Governors fax poll pending legal review and approval of policies I.03 and I.06.
2013-06-11	Implementation date approved by Board of Governors. Policy and Programs Committee Motion #PP09-2013. Board of Governors Motion #BG13-2013. Implemented July 1, 2013.
2014-12-15	Released with finalized pdf fillable Aurora College Research Application.
2018-06-08	Policy revised. Approved by the Public Administrator Ref.#Admin-24-2018. Implemented July 1, 2018.
2021	Next scheduled review