

Policy Title: Grant Management and Research Development

Category:	<input type="checkbox"/> Institutional - Board <input type="checkbox"/> Academic - Administrative <input checked="" type="checkbox"/> Institutional - Administrative <input type="checkbox"/> Employment - Administrative		
Approved by:	<input type="checkbox"/> Board <input checked="" type="checkbox"/> President		
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Policy Sponsor:	Vice President, Academic	Date last reviewed:	January 25, 2024
Date of Mandatory Review (expiry date):	January 2029	Date of last revision of Procedures:	January 25, 2024

1. POLICY

CMCC researchers, in the pursuit of research excellence and the furtherance of their research agendas, respond to requests for funding from government, foundations, industry, and internal and external awards.

1. External Awards

Applications to funders external to our institution require detailed plans including project execution, and scientific and fiscal reporting. The primary responsible party for meeting CMCC’s commitments to completion and accountability reside in the Principal Investigator (PI). The PI is responsible for making every effort to complete the project as stated in the funding agency-approved proposal and preparing progress reports as required.

- a. When a granting agency awards all or part of the funds requested in the budget portion of the grant application, the PI and Office of Research Administration (ORA) will be notified of this by the granting agency, and a contract will be drafted.
- b. If supplementary funds are required to complete the project as approved, it is incumbent upon the PI to contact the funding agency and determine if such funds are available. It is the responsibility of the PI to ensure that all possible steps have been taken to make up any anticipated shortfalls. Unless timely arrangements to deal with any project overspending have been made with the ORA, the PI will be personally responsible for such deficits.
- c. Modifications to agreements signed between CMCC and funding agencies, amendments can be made through consultation between the PI and the ORA.

- d. Expenses incurred by CMCC in the execution of a research proposal, if recoverable by grants, must be clearly accounted for. The two principal expenses to CMCC are those for personnel and overhead costs. Recovery of these expenses should be credited to the relevant CMCC operating expense to reflect recovery of such funds.
- e. External awards which permit the inclusion of indirect costs will be debited to reflect the recovery of funds for administrative expenses. Unless otherwise negotiated through the VP, Academic and approved by the President, the amounts will be credited to the relevant CMCC operating expense.

2. Internal Awards

CMCC maintains internal research funds which may be used at the discretion of the Division of Research to support research projects. Project accounts for awarded applications through CMCC's annual Internal Research Support Fund competition will be established through the *New Research Grant procedure*.

- a. Specific procedures for expensing/accessing funds from a project grant account must be adhered to as allocated in the proposal.
- b. In cases where employment of research project personnel is terminated at CMCC, it is incumbent upon the PI to ensure that the project can continue or be concluded with the best possible outcomes. Unless otherwise negotiated in the agreement between CMCC and the funding agency, the PI must take action to ensure that succession plans are in place to replace personnel named on the study to mitigate interruptions or negative impacts on the research.

- 3. Expensing for grants must follow the methods established by CMCC's Financial Services.
- 4. The PI is responsible for submitting progress reports to the ORA (annually or as otherwise stipulated by the ORA) and to the granting agency as per the agency's requirements.
- 5. Refunds to funding agents are based on the policies of the granting entity. Where possible, the Manager, ORA and the PI will include a clause in project agreements which stipulates what is to be done with residual funds.
- 6. At the conclusion of the project and filing of a final report to the ORA, after the account funds have been appropriately spent, the balance of funds returned to the granting entity or transfer of residuals as may be appropriate (such that the account balance is "0"), the Manager, ORA will coordinate with CMCC's Financial Services so that the project account is closed out.

2. PURPOSE

To provide guidance for researchers and administration accountability for grant funding and the furtherance of CMCC's research program.

3. SCOPE

All members of the CMCC community - including researchers, employees, students and support staff - associated with a research project, whereby the research:

- is sponsored by CMCC
- is conducted by or under the direction of any employee or agent (faculty or staff) of CMCC in connection with institutional responsibilities either on campus or off-campus or in collaboration with other institutions
- is conducted by or under the direction of any employee or agent of CMCC using any property or facility of CMCC; or
- involves the use of CMCC's non-public information to identify or contact human research subjects or prospective subjects

4. INFORMATION AND COMPLIANCE PLANS (not a comprehensive list)

CMCC incorporates by reference the *Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans – TCPS 2 (2022)*, as outlined in the *Agreement on the Administration of Agency Grants and Awards by Research Institutions*.

5. RELATED POLICIES (not a comprehensive list)

- Research Policy Manual
- Responsible Conduct of Research
- Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans – TCPS 2 (2022)

6. DEFINITIONS

External award is funding that has been awarded through government agencies, corporate sponsors, or foundations for the purpose of conducting a research project or program. These awards may be granted through a request for proposals or through a business case presented to and approved by the funder.

Funding Agency in this policy may include the Canadian federal or provincial governments, other governments such as the US, industry partners (chiropractic research, advocacy, and insurance groups), or third-party government research or charitable foundations. An example of a third-party government research foundation is the Centre for Research Expertise for the Prevention of Musculoskeletal Disorders (CRE-MSD), based out of the University of Waterloo.

Internal award includes restricted funds or those that have been raised through donors in CMCC's stakeholder community. Funding must be approved through an application

process involving review by one or more Directors of the Division of Research and Innovation, and the VP, Academic.

Members of the CMCC Community in this policy include researchers (including adjunct faculty), employees, students and support staff associated with a research project.

Research refers to the processes undertaken with conscious effort to develop or acquire generalizable new knowledge. As defined in U.S. federal policy [45CFR46.102(l)], research means a systematic investigation, including research development, testing, and evaluation, designed to develop or contribute to generalizable knowledge.

New Policy Approved (date):	Created from a section of the Research Policy Manual as a stand-alone policy January 25, 2024
Policy Revision History (dates):	N/A

-----**END OF POLICY**-----

7. PROCEDURES

1. New Research Grant Procedure

To ensure that all expenses are clearly documented, the following procedure must be followed:

- a. When the granting agency forwards a Notice of Award, the PI must notify the ORA, and provide a copy of the notice to ora@cmcc.ca.
- b. The ORA staff, working with the PI, will set up a new research grant account (project account) outlining the name of the study, CMCC account number, the PI, and the amount of the approved grant with appropriate line items using a New Research Grant Form. The line items will be consistent with the grant application as approved by the funding agency.
- c. The New Research Grant Form will be forwarded by the ORA to the VP, Academic for authorization and signature. This form will then be submitted, with the contract between CMCC and the Funder Agency, to CMCC's Financial Services, which will set up a new account number to hold funds. The Funder Agency will arrange transfer of funds to the new project account.
- d. Expensing for grants must follow the methods established by CMCC's Financial Services.
- e. All funds received must be directed to CMCC's Financial Services, which will notify the ORA upon receipt of funds.

2. Procedure for payment of research assistants:

- a. Assistants appearing in research project budgets must meet with the PI to determine project duties and points in time at which the assistant will be paid.
 - b. The PI will work with the ORA to submit a New Hire form to CMCC Human Resources, detailing the number of Lump Sum payments that will be issued, and including calculations for vacation pay and benefits deductions.
 - c. Human Resources will send out a Letter of Offer, signed by the Manager, ORA, to the assistant, who may be required to provide information necessary to enter the assistant on Payroll, including a CV.
 - d. The PI will contact the ORA at each interval when a Lump Sum is to be paid, and a Lump Sum form will be submitted to Payroll directing the assistant to be paid in the next Payroll instalment.
 - e. Once all payments have been made to the research assistant, the research assistant will be terminated from the Payroll system.
3. Procedure for accessing research funds
Researchers interested in accessing internally restricted research funds must:
- a. Submit a proposal for the use of funds to the attention of the directors in the Division Research and Innovation (i.e., the Directors, Human Performance, Life Sciences, Health Policy and the Assistant Director Research) and the VP, Academic. The proposal must be aligned with the CMCC's strategic themes and include a timeline for disbursement of funds.
 - b. Proposals for use of funds will be reviewed at regularly scheduled meetings held within the Division of Research and Innovation.
 - c. A decision by majority concerning the application must be reached among the Directors, Research and Innovation and the VP, Academic.
 - d. The VP, Academic and the Manager, ORA will consult with the Vice President, Administration and Finance to ensure that approved proposals conform with CMCC practices and any relevant government guidelines (such as through the Canada Revenue Agency).
 - e. Results for approved proposals will be communicated to applicants, and a plan will be established to expend funds and ensure appropriate reporting is established.
4. Grant expensing procedure
The following methods are acceptable for expensing goods and services through CMCC's Financial Services for research grants:
- a. Purchase Order: Using this method, the vendor sends an invoice to CMCC which includes the Purchase Order Number (PO#) of the expense, and

CMCC's Financial Services issues a cheque directly to the vendor. Before the purchase is made, the PI must prepare a PO# requisition, which includes the exact amount, the nature of the expense, and the name and address, etc. of the vendor.

- i. The PO# requisition is submitted to the ORA for approval by the appropriate level of management. and, depending on the amount to be authorized, may be signed by the PI and the Manager, ORA, one of the Directors of Research and Innovation, or the VP, Academic.
 - ii. CMCC's Financial Services then issues a PO# and the researcher can then proceed to order the item/service and give the PO# to the vendor (who includes it on the invoice).
 - iii. When CMCC's Financial Services receives the invoice, the payment is already authorized, and the vendor will receive payment.
- b. Invoicing: If an up-front cash or credit card payment must be made for an item/service, then:
- i. The PI must notify the ORA of the exact amount, the nature of the item/service, the name, etc. of the vendor, and a copy of a quote or invoice.
 - ii. The Manager, ORA will determine whether the expense qualifies for coverage using the Research and Innovation departmental credit card, or if the invoice must go to CMCC's Financial Services, and failing approval such expense will be the personal responsibility of the PI.
 - iii. The Manager, ORA will use the invoice or quote provided by the PI to arrange credit card payment or prepare a cheque requisition.
 - iv. If an electronic transfer is required, it must first be vetted through the ORA. Once vetted, CMCC's Financial Services will initiate the transfer concurrent with the Payroll payment schedule, where the electronic transfer may take up to two weeks to be processed.
- c. Expense Report: It is also possible for the PI to incur expenses for items approved in the budget, and then submit an expense report to be reimbursed. This is also the most common method to incur expenses for grant-approved travel, including for conferences. In these instances.
- i. The PI will incur expenses directly, keeping copies of original receipts, and credit card or other statements associated with the expense.
 - ii. The PI will submit expenses using an Expense Report form, including all relevant information, to ora@cmcc.ca.

- iii. The ORA will submit the expenses to CMCC’s Financial Services. In cases where the PI has delegated grant expenses to non-CMCC personnel, the reimbursement package from the ORA will include a Cheque Requisition form with requisite information for CMCC’s Financial Services to issue payment.
 - iv. Once vetted, either Payroll or Financial Services will issue payment in the next payment interval, within two weeks.
 - d. The researcher shall notify the ORA of any equipment purchases that will be covered under CMCC’s liability insurance. The ORA will then notify the Office of the Vice President of Administration and Finance to ensure that such coverage is enforced.
 - e. Where authorized by the granting agency, investigator salaries will be transferred from the grant in their entirety at the end of each CMCC fiscal year in which they were budgeted. An external salary or consulting fee received by a CMCC faculty member who has assigned research hours, for the time spent on research work which falls within a faculty member’s assigned research hours, will be credited to the Division of Research and Innovation.
 - f. Provisions for potential variance of up to 15% of the budget total may be included in agreements signed between CMCC and funders at the time of award. Otherwise, and for budget variances of greater than 15%, if the proposed budget allocation is determined by the PI to be inconsistent with the anticipated expenses, it is incumbent upon the PI to obtain written approval from the funding agency to make any modification to the submitted budget, and notify the ORA of such a change. This will allow for the amendments to be made to the agreement between CMCC and the funder, where necessary.
5. Progress Reporting:
Progress report must contain, at a minimum, a summary of debits to the research account, a description of remaining funds, and an overall status report on the project. Additionally, the ORA must receive a copy of all reports made to the granting agencies.

New Procedure Approved (date):	January 25, 2024
Procedure Revision History (dates):	N/A

8. ATTACHMENTS

None.