

TERRY FOX RESEARCH INSTITUTE

RESEARCH ADMINISTRATION POLICY

In this policy document, the term “Institution” is used to refer to an organization which is either a Host or Lead Institution or a Recipient Institution of research funds from the Terry Fox Research Institute (TFRI). The term “Investigator” refers to a researcher who is a named Project Leader, Principal Investigator or Co-Investigator on an approved research project or award (“Project”) which receives funds from TFRI.

1. Financial administration

a. Funds Available

The TFRI will issue a letter of offer, notification of award, or other funding agreement addressed to the Institution and Investigator *identifying the terms and conditions and approved funds. All TFRI funding is subject to the availability of funds at TFRI from the Terry Fox Foundation or other funding sources managed by TFRI.* The letter / notification / agreement provides information about the start date, the duration of funding (in months/years), the end date, the researcher/recipients of the funding, and specific terms and conditions for the Project. A letter of offer or notice of award must be accepted by the Project Leader AND the Host / Lead Institution before it can be deemed executed. A funding agreement must be executed by all parties.

b. Host / Lead Institution

Eligible Institutions must be Canadian organizations with appropriate facilities to carry out research. A host institution will not be entitled to receive any research funds from TFRI without a valid signed TFRI/Institution Memorandum of Understanding (MOU) being in place that outlines the basic roles and responsibilities for management of research funding provided by TFRI

c. Administration of Funding

An Institution receiving funds shall deposit the funds into a restricted fund research account at the Institution and not co-mingle with any other funding. Eligible expenditures may only be authorized for the purposes set forth in the approved Project budget. Payments from that research account must be authorized in accordance with the Institution’s signing authority policies. Total disbursements must not exceed the amounts approved by TFRI for the Project. Any expenditures in excess of those amounts approved by TFRI are the responsibility of the Institution and Investigator and will not be reimbursed by TFRI. For receipt of To received approved funding via EFT funds transfer the Institution should return a completed Award Administration Form to TFRI as soon as possible after award notification.

d. Frequency of Payments

Typically, grant funds are provided by TFRI electronically within each quarter as follows:

Q1: April 1 – June 30

Q2: July 1 – September 30

Q3: October 1 – December 31

Q4: January 1 – March 31

For specific projects / programs, TFRI may require quarterly draw requests, invoices for payments made in arrears or expense claim submissions from the Institution.

e. Unexpended Funds

An Institution will return to TFRI all unexpended balances at the termination or end date of the Project. Expenditures must have been incurred and received before the termination or end date to be acceptable. Expenditures for commitments that relate to any services rendered or products delivered after the termination or end date will not be accepted. A final financial report is required showing the unexpended balance as of the termination or end date. Repayment of unexpended funds to TFRI must be made within 60 days of the termination or end date of the Project, whichever is earlier.

2. Actions Requiring Prior Permission of TFRI

a. Budgetary Changes

Any budget change greater than 10% of the annual budget of a New Investigator Award or greater than 5% of the annual budget of a larger program or project will require prior written permission from TFRI. The Project Leader for an approved Project must notify TFRI in writing with reasons if a decision is made to request a budget amendment within the Project's scope and within the amount of the remaining funds.

b. No Cost Extension after the termination date

TFRI Research Grants projects may submit a proposal for a no cost extension, which will require written approval from TFRI. The proposal must include a scientific rationale for the extension, the current balance of funds available and the estimated balance of funds available at the end date, and a description and costs of the work to be performed. Approval shall be in writing from TFRI and will provide a new termination date. If a no cost extension is not granted, all remaining unexpended funds at the termination date must be returned to TFRI as outlined in Section 1e.

For TFRI Program Project Grants that are approved for renewal, funded investigators included in that renewal may not apply for a no cost extension of their expiring grant funds, with the exception that any funded investigators who are not part of the renewed grant may individually apply for a no-cost extension of their remaining funds following the end of the initial award term.

For projects supported by the Marathon of Hope Cancer Centres Network or the Digital Health and Discovery Program, no-cost extensions may not be possible due to the funding rules from TFRI's third-party funders. Please consult with the relevant program guidelines or email the appropriate TFRI contact to submit a query regarding the availability of no-cost extensions.

c. Change of Institution

If an Investigator leaves an Institution receiving funding for a Project, the Project is normally terminated and unexpended balance refunded to TFRI. A request will be considered to transfer the full responsibility for the Project to another Investigator at the same institution based on its merits. If an Investigator moves to another eligible Institution, the investigator may request to have the unspent portion of the Project allocated to the new Institution. The conditions of Section 1 will apply with respect to transfer of funds to the new institution. If approval is given by TFRI, it will be necessary for the original host institution to provide a final financial statement to TFRI for approval and then the unspent balance must be transferred back to TFRI within 30 days. In turn, TFRI will provide a new grant and transfer the obligations and balance of unspent funds received from the original Institution over to the new institution. All TFRI Research Administration Policies will apply to the funds received by the new institution, as outlined by the terms of the institutional Memorandum of Understanding.

d. Sabbaticals

Any request to retain support for a Project during a sabbatical must be accompanied by official verification that the sabbatical is approved by the Host Institution and the Institution hosting the Investigator. The Investigator must include in his/her written request: (1) the dates and location of the sabbatical, (2) a short summary of the research to be conducted, (3) the arrangements made for maintaining and supervising the Project, and (4) the names and co-ordinates of individuals (scientific and financial) who will be responsible for Host-Institution sign-offs during the period of the sabbatical. No Project funds may be spent outside of Canada, with the exception of the purchase of research goods and services directly required for the Project.

3. Project Reporting

a. TFRI Policies

All TFRI policies are to be observed, including but not limited to the Conflict of Interest Policy and the Commercialization Policy. Current policies are to be found at <https://www.tfri.ca/funding-opportunities/policies-guideline-templates>. Separate policies will be published for the Marathon of Hope Cancer Centres Network at <https://www.marathonofhopecancercentres.ca/researcher-hub/administrative-templates-and-guidelines> and the Digital Health and Discovery Platform at <https://www.dhdp.ca/>.

b. Disclosure

Investigators and co-investigators are required to make a full disclosure of any financial interest they, or a close family member, has in a commercial venture whose business activities are related to the subject matter of the approved Project. Investigators are required to declare the nature of any duplicate or overlapping funding they may have

received or may receive that are for the same activities funded by TFRI. TFRI funding is provided specifically to support unique and distinct components of an approved Project.

c. Research Progress Reporting

Research progress reports must be submitted for the duration of a Project by the Investigator on the frequency identified in the Notification of Award / Letter of Offer or funding agreement . . Progress reports provide TFRI with details of progress, future work plans and research impacts.

For TFRI core programs, (PPG, NI, etc.), all research reports must be submitted to reports@tfri.ca no later than 45 days after the end date for the period being reported. Investigators are asked to send TFRI web links to, or copies of, peer-reviewed publications directly arising out of TFRI funding. TFRI is interested in receiving such publications which may then be shared in TFRI's Links e-newsletter or by other media methods. A template for such reports is provided at <https://www.tfri.ca/funding-opportunities/policies-guideline-templates> .

For MOHCCN and DHDP programs, Progress report templates will be made available depending on the specific needs of those programs. Reports are due at the intervals stated in the funding agreement or as requested by each program. Check the respective program website for reporting templates.

d. Annual Metrics Reporting

For TFRI core programs, (PPG, NI, etc.), at the end of each calendar year, an Annual Metrics report is required from each funded project that itemizes all publications, presentations and posters published that year, lists all staff and trainees, identifies leveraged funding, intellectual property and commercialization, etc., during the period of the report. The annual metrics report must be submitted to reports@tfri.ca on or before February 15th of each year. A final Metrics report, using the same annual metrics report template found on <https://www.tfri.ca/funding-opportunities/policies-guideline-templates> must be submitted 45 days after the end of the Project to summarize the overall metrics from the entire duration of the Project.

For MOHCCN and DHDP programs, specific metrics reporting will be requested as deemed necessary to meet the reporting terms required under each program.

e. Expenditure Reports

For TFRI core programs, (PPG, NI, etc.), unless agreed otherwise in writing, each researcher receiving funding under a TFRI grant is required to submit a quarterly expenditure report. It must be submitted within 20 days after the end of every fiscal quarter in accordance with the Notification of Award, / Letter of Offer, or funding agreement to reports@tfri.ca, and within 60 days after the end of the final fiscal quarter for the grant term.

For MOHCCN and DHDP programs, each researcher receiving funding is required to submit a quarterly expenditure report in the prescribed format throughout the approved term of the award. The expenditure reports must be submitted within 30 days after the end of every fiscal quarter and may also include the expenditures and source of match funds, assets purchased, etc. All reports must be submitted on time to avoid withholding of further funding, including scheduled payments and the processing of claim reimbursements, where applicable. Reports are to be submitted to MOHfinancialreports@tfri.ca or DHDPreports@tfri.ca as appropriate.

Please refer to the fiscal quarters as such:

Q1: April 1 – June 30

Q2: July 1 – September 30

Q3: October 1 – December 31

Q4: January 1 – March 31

f. Post Project Update

The Investigator may be prompted to provide a post-grant update within twenty-four months after the end date of the Project, as impacts of research occur beyond the end of a project. The update will capture publications, status of trainees, etc.

g. Failure to submit Research, Annual Metrics, or Expenditure Reports

Failure to provide reports on time may result in withholding future funding payments, termination of the Project funding, and/or a full refund to TFRI of grant funds provided.

4. General Provisions

a. Applicability of the Research Administration Policy

In the case of conflict between these policies and those in the individual grant agreements, the terms of the grant agreements will take precedence.

b. Updates to the Research Administration Policy

The Research Administration Policy will be updated from time to time by TFRI and such updates will become effective upon posting on the TFRI website ([TFRI policies-guideline-templates](#)).

c. Certifications

An Institution must ensure that any approvals or certificates required to conduct the research funded by TFRI are approved and in compliance with all applicable law, regulation, and Institutional policy prior to expenditure of applicable funds. The Institution is responsible to ensure such approvals and certificates are kept current for the duration of the Project.

d. Title to Equipment

Unless otherwise agreed to in writing, title to all equipment purchased is vested in the Institution at which the equipment is placed, and it is the responsibility of that Institution to ensure that there is adequate and appropriate maintenance and insurance coverage during the term of an approved project. However, while ownership is vested in the Institution, TFRI reserves the right to enter into discussions concerning the ultimate disposition of such equipment in the event of program or Project changes.

For MOHCCN and DHDP programs, title to equipment may be subject to specific terms and conditions from TFRI's funders and will be identified in the research funding agreements.

e. Acknowledgement of Funding

Recipients of funding are expected to acknowledge the support of TFRI in all scientific communications and media releases related to the Project. Investigators are expected to comply with TFRI's Visual Identity Guidelines to be found at www.tfri.ca.

- Example: "This research was supported by a Terry Fox Research Institute Program Projects Grant to B. Smith and C. Jones at the University of Toronto (TFRI Project #1011).

If a project receives partnered funding from another organization, whether administered by TFRI or separately by the partner organization, it is incumbent upon recipients to adhere to the funding acknowledgement policies of the partner as well.

f. Publicity

The Institution shall provide reasonable notice to TFRI of proposed publicity arising out of work funded by TFRI. The Institution is required to obtain written permission of TFRI before it uses TFRI's name or logo in any social or print publicity. Such requests must be sent to TFRI Director of Communications at pmothe@tfri.ca.

g. Financial Audit

TFRI reserves the right, during business hours and at its cost, to audit the Institution's financial accounts and records with respect to its funded Projects.

h. Scientific Audit

It is a condition of funding that the Project may be reviewed at any time. Such review may be carried out by means of visits by one or more members of a review team to the research site at a mutually convenient time during business hours.

i. Termination

TFRI may terminate the award upon sixty (60) days written notice for any reason including if TFRI's funding is suspended, discontinued, or withdrawn, or if the Institution and/or the Investigator fails to demonstrate satisfactory progress and/or comply with any of the terms herein and such failure continues for a period of fifteen (15) days after receipt of written notice from TFRI.

Appendix A

Eligible Expenditures for TFRI Program Project and New Investigator Grants

Eligible expenditures must be identified in and directly support the approved budgets for a Project. Unless otherwise approved in writing by TFRI, the following costs are eligible or ineligible:

Eligible

- a. Research & clinical study salaries and benefits
- b. Cost of a Project Manager
- c. Contracted Service costs only as specified in the approved budget
- d. Consumables including laboratory supplies, purchased services, animals and housing costs, per patient costs and small equipment (under \$5,000)
- e. Costs of data collection, database, maintenance of information holdings, the data management plan and analysis provided it is directly related to the approved application project.
- f. Travel, meetings and administrative costs only as specified in the approved budget and in accordance with the [TFRI Travel Policy](#). Travel funds can include costs to attend the TFRI Annual Scientific Meeting.

Ineligible

- g. Remuneration for Principal Investigators
- h. Major equipment over \$10,000 not included in the approved budget
- i. Academic fees for students
- j. Cost of a financial administrator
- k. Departmental, institutional, or other types of overhead, indirect charges or infrastructure charges (i.e., building maintenance, rent, insurance, computer network charges, patenting costs, etc)
- l. Laboratory and office furniture
- m. Entertainment, liquor or hospitality costs
- n. Membership fees
- o. Activities of researchers not part of the Project.
- p. Secondary or sub-granting of funds without written approval from TFRI.
- q. Expenditures outside of Canada unless vendor purchases for research goods and services required for the Project, or any travel costs not consistent with Eligible section f above.

If in doubt, ask TFRI about specific expenses before these are incurred.

For MOHCCN and DHDP programs, consult their program specific lists of eligible and ineligible costs.