

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

b. Host / Lead Institution

Eligible Institutions must be Canadian organizations with facilities to carry out research. Funds will not be released without a signed Memorandum of Understanding or a Research Agreement between TFRI and the Institution, and a signed award agreement or award letter between TFRI and the Institution.

c. Administration of Funding

An Institution receiving funds shall deposit the funds into a restricted fund account at the Institution. Normally, expenditures may only be authorized for the purposes set forth in the Project, or as specified in the budget schedule attached to a Collaborative Research Agreement. Payments from that account must be authorized by the Project Leader, Principal Investigator, or his or her designate. Total disbursements must not exceed the amounts advised by TFRI for the Project and any expenditure in excess of those amounts advised will not be reimbursed by TFRI. For efficient administration of funding the Institution should return the completed Award Administration Form to TFRI as soon as possible after award notification.

d. Frequency of Payments

Typically, funds are provided 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, or invoices for payments to be made in arrears following expense claim submission 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 be incurred and dated before the termination or end date to be acceptable. Expenditure commitments that relate to any services 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. Such re-payment of unexpended funds to TFRI shall 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 or Executive Committee for a Project must notify TFRI in writing with reasons if a decision is made for a budget amendment within the Project's scope and within the amount of the remaining funds.

b. No Cost Extension after the termination date

Renewing Projects will not be able to apply for a no cost extension. However, non-renewing Projects may submit a proposal for a no cost extension, which will require written approval from TFRI. The proposal should be made at least six months prior to the end of the Project, and 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 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 1f.

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 1b and 1e will apply with respect to transfer of funds to the new institution. If approval is given, it will be necessary for the original institution to provide a final financial statement to TFRI For

approval before the unspent balance is transferred back to TFRI. In turn, TFRI will provide a new grant and transfer the balance of unspent funds 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 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 and the Digital Health and Discovery Platform.

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 Project. Investigators are required to declare the nature of all overlapping funding as TFRI funding is provided specifically to support unique and distinct components of an approved Project.

c. Research Reporting

Research reports must be submitted for the duration of a Project by the Investigator every twelve months, or in accordance with the Notification of Award / Letter of Offer. A template for such reports is provided at <https://www.tfri.ca/funding-opportunities/policies-guideline-templates>. This report provides TFRI with details of progress, future work plans and research impacts. 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 links to, or copies of, peer-reviewed publications directly arising out of TFRI funding. TFRI is interested to receive such publications which may then be shared in TFRI's Links e-newsletter.

d. Annual Metrics Reporting

At the end of each calendar year, an Annual Metrics report is required 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 at the end of the Project to summarize the overall numbers from the entire duration of the Project.

e. Expenditure Reports

Unless agreed otherwise, each researcher receiving funding under a TFRI grant is required to submit a quarterly expenditure report. It must be submitted within 45 days of the end of every fiscal quarter in accordance with the Notification of Award / Letter of Offer to expenditurereports@tfri.ca, and within 60 days of the end of the final fiscal quarter for the grant term.

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 up to 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

Continued failure to provide reports on time may result in withholding future funding payments, lead to termination of the Project, and 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 from TFRI, effective upon posting on our website.

c. Certifications

An Institution must ensure that any approvals or certificates required to conduct the research funded by TFRI is 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 current for the duration of the Project.

d. Title to Equipment

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 insurance coverage. 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.

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 publicity. Such requests must be sent to TFRI's Chief Communications Officer at kcurwin@tfri.ca

g. Financial Audit

TFRI reserves the right to audit the Institution's accounts 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 written notice 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 by TFRI.

Appendix A

Eligible Expenditures

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 personnel salaries and benefits
- b. Cost of a Project Manager
- c. Consumables including laboratory supplies, purchased services, animals, and housing costs, per patient costs and small equipment (under \$5,000)
- d. Travel, meetings and administrative costs only as specified in the approved budget and in accordance with the [TFRI Travel Policy](#). Travel funds are to include costs to attend the TFRI Annual Scientific Meeting.

Ineligible

- e. Remuneration for Principal Investigators
- f. Major equipment over \$10,000 not included in the approved budget
- g. Academic fees for students
- h. Cost of a financial administrator
- i. Departmental, institutional or other types of overhead, indirect or infrastructure charges (i.e., building maintenance, rent, insurance, computer network charges, patenting costs, etc.)
- j. Laboratory and office furniture
- k. Entertainment or hospitality costs
- l. Membership fees
- m. Activities of researchers not directly part of the Project.
- n. Secondary or sub-granting of funds without written approval from TFRI.

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

Version: December 8, 2023