

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 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 Collaborative Research Agreement between TFRI and the Institution, and a signed Notification of Award/Letter of Offer by an authorized official of the Institution, such as the Vice President of Research.

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 must advise:

- (i) the official name and address of the Recipient for cheques/electronic funds transfers (EFTs),
- (ii) the research account identification where funds supplied will be placed, and
- (iii) the name of the Investigator responsible for that account.

d. Frequency of Payments

Funds are provided quarterly in advance in January, April, July, and October. For specific projects / programs, TFRI may require quarterly draw requests, or invoices for payments to be made in arrears from the Institution.

e. Where funds are sent

The Project Leader may elect to receive all the funds for a project at his/her Institution. In doing so, his/her Institution assumes full responsibility for all financial reporting at its own cost, including for funds then sent to a third party identified in the approved budget. Funds supplied and expensed by third parties must also be identified in all financial reporting.

f. Unused Funds

An Institution will return to TFRI all unexpended or unencumbered balances at the termination or end date of the Project. Expenditures incurred after the end date will not be accepted. Such re-payment of unused funds shall be made with 60 days of the end date of the Project.

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 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. A request will be considered to transfer the full responsibility for the Project to another Investigator based on its merits. If an Investigator moves to another eligible Institution, she may request to have the unspent portion of the Project

allocated to the new Institution. If approval is given, it will be necessary to provide a final financial statement from the old Institution before the unspent balance is transferred to the new Institution. In addition, new certificates will be required from the Animal Care Committee, the Ethics Review Committee and/or the Biohazards Committee of the new Institution, as applicable.

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 www.tfri.ca. 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 six months, or in accordance with the Notification of Award / Letter of Offer. A template for such reports is provided at www.tfri.ca. This progress report provides TFRI with details of progress, future work plans and research impacts. All research reports must be submitted no later than 60 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. A final Metrics report must be submitted at the end of the Project to summarize the overall numbers from the entire duration of the Project.

e. Post Project Update

The Investigator will be prompted to provide a post-grant update eighteen 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.

4. Statement of Cash Receipts and Disbursements

The Institution is required to submit a statement of cash receipts and disbursements. It must be submitted within 60 days of the end of every fiscal quarter in accordance with the Notification of Award / Letter of Offer.

a. Failure to submit Research or Financial Reports

After a reminder to provide timely reports, continued failure to report on a timely basis will result in deferment of future funding disbursements, and may lead to termination of the Project.

5. Eligible Expenditures

Eligible expenditures are identified in approved budgets for a Project. The following costs are eligible or ineligible:

Eligible

- a. Research & clinical study 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.
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. Overhead 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 by researchers not part of the Project.

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

6. 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. 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.

c. 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.

d. 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).

e. 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

f. Financial Audit

TFRI reserves the right to audit the Institution's accounts with respect to its funded Projects.

g. 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.

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