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# Using Your Research Grant Funds

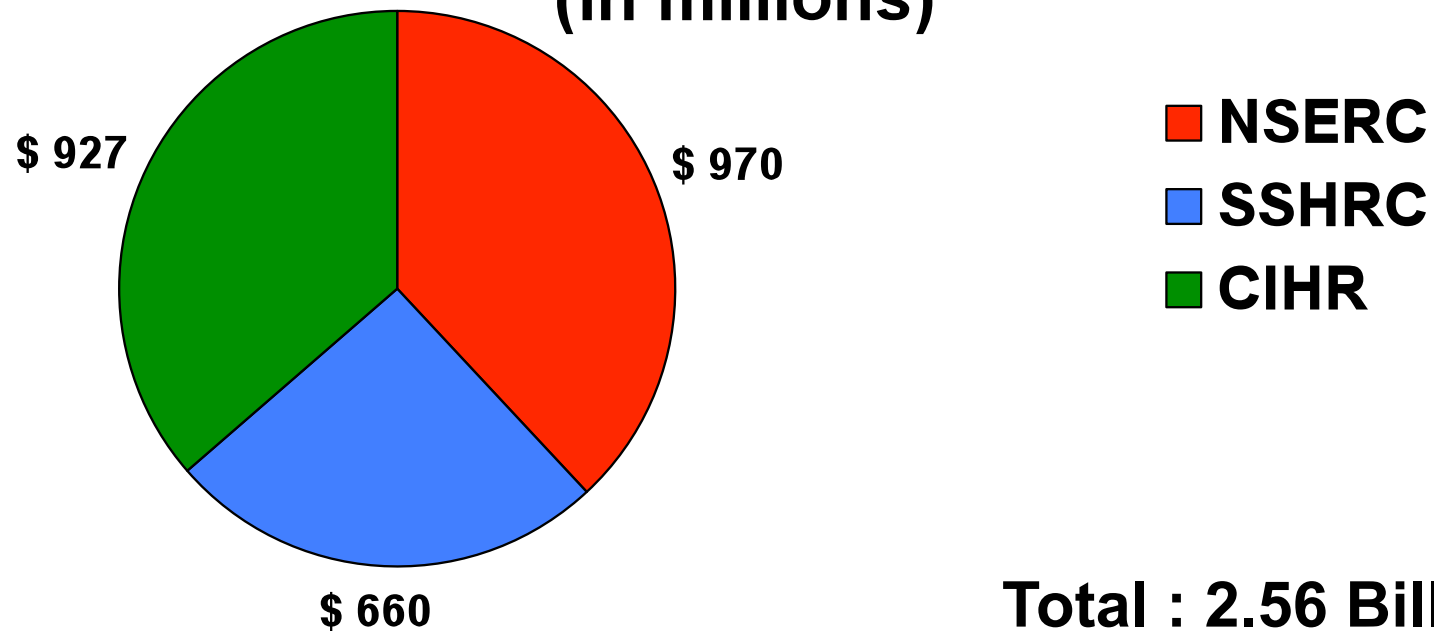
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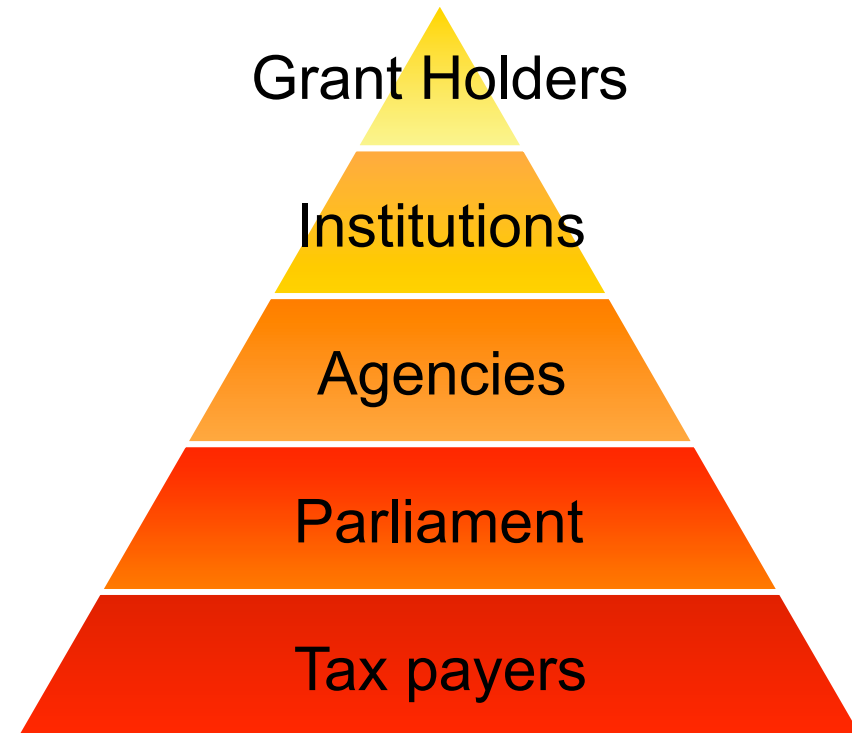
# Agenda

- The Financial Investment in Research
- The Accountability Partnership
- The Roles & Responsibilities of the Partners
- The Requirements for Using Grant Funds

## Investment in Research 2007-08 Fiscal Year (in millions)



# Accountability Partnership





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# The Memorandum of Understanding (MOU) on the Roles and Responsibilities in the Management of Federal Grants and Awards

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# Roles and Responsibilities Agencies

- Timely release of approved grant funding
- Detailed grant fund payment information
- Clear, concise requirements for fund use
- Timely response to inquiries
- Consultation on program changes
- Monitoring reviews on management of grant funds

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# Roles and Responsibilities Institutions

- Infrastructure support
- Effective administration policies, systems & controls
- Ongoing oversight of grant fund use
- Administrative support to grant holders
- Liaison with granting Agencies
- Monitoring eligibility status of grant holders
- Annual reporting to granting Agencies.

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# Roles and Responsibilities Grant Holders

- Day to day management of their grant funds
- Compliance with grant fund use requirements
- Timely notification of eligibility status change
- Provision of required annual reports
- Recognition of Agencies' funding support.



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# Roles and Responsibilities

## Grant Holders

- The Grantee (or his/her delegate) is responsible for authorizing ALL expenditures from his/her account.
- The signature certifies that:
  - All expenditures on the claim are for the purpose for which the grant was awarded
  - The charges included have not been claimed for reimbursement from other sources
  - Reimbursements for expenditures received from other sources or institutions must be disclosed to the administering institution



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# The Tri-Agency Financial Administration Guide

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# Use of Grant Funds - General Principles

- For direct costs of the research only
- Effective and economic use of funds
- Equipment purchased belongs to the Institution
- If no written Agency policy, the Institution's policy applies
- Agencies defer to Institutions' conflict of interest policies to ensure accountable & responsible use of grant funds
- Institutions can withhold payment of expenses approved by grant holders that contravene Agencies' requirements or Institutions' policies.



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# Categories of Expenses

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## Compensation-Related Expenses (NSERC Grants)

### Eligible

- Salaries, stipends for research personnel
- Institutional non-discretionary benefits
- Salary/stipend yearly maximums
  - Master's students \$16,500
  - Doctoral students \$19,000.
- Salary/stipend yearly minimum
  - Doctoral fellows \$25,000
- Stipend monthly maximum
  - Visiting Researchers \$2,000
- Consulting fees
- Fees paid to research subjects
- Subcontract costs
- Clerical salaries directly related to dissemination activities
- Honoraria for guest lecturers.

### Ineligible

- Grant holders or persons eligible to apply for funding from Agencies
- Students holding a master's or doctoral scholarship
- Administrative charges and fees
- Discretionary severance and separation packages.

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## Compensation-Related Expenses (SSHRC Grants)

### Eligible

- Salaries, stipends for research personnel
- Institutional non-discretionary benefits
- Stipend yearly maximums
  - Master's students \$12,000
  - Doctoral students \$15,000
  - Postdoctoral fellows \$31,500
- Salaries to students or postdoctoral fellows (*per Institutions' salary scale*)
- Consulting fees
- Research subject fees
- Subcontract costs
- Clerical salaries directly related to dissemination activities.
- Research Time Stipend Grants (*program ended*).

### Ineligible

- Grant holders or persons eligible to apply for funding from Agencies
- Stipends to students holding a master's, doctoral, or postdoctoral award from the Agencies
- Administrative charges and fees
- Discretionary severance and separation packages.

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## Compensation-Related Expenses (CIHR Grants)

### Eligible

- Salaries of research associates, assistants, technicians & trainees, per Institution's rates
- Institutional non-discretionary benefits
- Stipend yearly minimums
  - Graduate students \$17,850
  - Postdoctoral fellows with a PhD \$36,750
- Stipend yearly minimum for fellows with a health professional degree and *not holding a Canadian licence*
  - From \$17,850 to \$46,750 per Institutions' policy
- Stipend yearly minimum for fellows with a health professional degree and *holding a Canadian licence*
  - 0-2 years postgrad academic experience \$36,750
  - 2 plus years postgrad academic experience \$47,250
- Stipend monthly minimum for undergrads training in research in summer \$1,313
- Consulting fees
- Research subject fees
- Subcontract costs
- Clerical salaries directly related to dissemination
- Honoraria for guest lecturers.

### Ineligible

- Grant holders or persons eligible to apply for funding from Agencies
- Payments to practicing clinicians participating in the research on a part-time basis
- Payments to individuals participating in the research as an investigator and who receive remuneration for teaching or service work
- Administrative charges and fees
- Discretionary severance and separation packages.

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# Compensation-Related Expenses

## Supporting Evidence Requirements

- Name of the person
- Position or category of employment
- Salary or stipend
- Duration of compensation
- Details of supplementary benefits
- Authorization of grant holder or delegate.



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# Travel and Subsistence Expenses

## Eligible

- Transportation
- Meals & accommodation
- Travel cancellation insurance
- Travel health insurance (if not provided by employer or other sources, NSERC/CIHR grants only)
- Child care expenses as specified by the Agencies (For traveling nursing mothers or single parents)
- Relocation (NSERC/CIHR grants only)
- Entry visa fees
- Safety-related expenses for field work travel.

## Ineligible

- Commuting (home to/from work and between two workplaces)
- Passport & immigration fees
- Thesis examination/defense related travel
- Reimbursement of airfare acquired with frequent flyer points.

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# Travel and Subsistence Expenses

## Supporting Evidence Requirements

- Purpose of trip
- Dates & destinations
- Prospectus or program for conference related travel
- Details of daily expenses
- Details of vehicle usage
- Original receipts (no credit card slips).
- Original air travel ticket & boarding passes.
- Separate claim for each claimant for each trip
- Traveler's affiliation to the grant holder's research project
- Signature of claimant and grant holder or delegate
- Signature of department head or dean for grant holder's travel claim.

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# Sabbatical and Leave Periods

## Eligible

- Direct costs for research work
- Travel to conferences
- Vehicle required for field work
- Equipment & materials
- transportation (to and from sabbatical location)
- One round trip ticket between home institution and sabbatical location. (NSERC/CIHR grants only)

## Ineligible

- Transport of research personnel for supervisory or academic purposes
- Travel to home institution for supervisory purposes
- Living expenses.

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# Sabbatical and Leave Periods

## Supporting Evidence Requirements

- Original invoices, contracts, receipts
- Travel claim and supporting documents for travel (see travel and subsistence expenses supporting evidence slide)
- Authorization of grant holder or delegate
- Signature of Department Head or Dean for grant holder's travel claims.

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# Equipment and Supplies Expenses

## Eligible

- Research equipment and supplies (refer to checklist in the Tri-Agency Financial Administration Guide)
- Travel to manufacturer (for major equipment purchases only)
- Shipping for purchased equipment
- Brokerage & customs charges
- Extended warranty-equipment
- Staff training on use of equipment or specialized facility
- Maintenance and operating costs for equipment/vehicles used for research.

## Ineligible

- Insurance (Equipment & Vehicles)
- Space/facilities rental
- Construction/renovation of facilities.

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# Equipment and Supplies

## Supporting Evidence Requirements:

- Original invoices, contracts, receipts
- Justification for supplies expenses in terms of their need for the research project
- Authorization of grant holder or delegate.

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# Computers and Electronic Communications

## Eligible

- Computers, hardware, & software for research
- Internet service for research at home or at Institution (if not normally provided by the Institution)
- Cellular phone & Personal Digital Assistants (PDAs) for research data collection use only.

## Ineligible

- Monthly connection or rental costs of telephones
- Connection or installation of communication lines
- Voice mail
- Library acquisitions, computer and other information services provided to all members of the Institution.

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# Computers and Electronic Communications

## Supporting Evidence Requirements:

- Original invoices, contracts, receipts
- Written justification for PDA acquisitions/use
- Authorization of grant holder or delegate.



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# Dissemination of Research Results

## Eligible

- Development & maintenance of Web-based information
- Dissemination of findings –via traditional & contemporary means
- Page charges for published articles including open access costs
- Manuscript preparation
- Translation
- Workshops, seminars directly related to the research.

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# Dissemination of Research Results

## Supporting Evidence Requirements:

- Original invoices, contracts, receipts
- Authorization of grant holder or delegate

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# Hospitality Expenses

## **ELIGIBLE CONTEXT:**

### ***Networking***

A formal courtesy between the grant holder and guest researchers

### ***Research related activities***

Assemblies that aid and contribute to the achievement of the research objectives such as meeting with partners and stakeholders.

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# Hospitality Expenses

## Eligible

- Non-alcoholic beverages
- Meals

## Ineligible

- Alcoholic beverages
- Entertainment
- Gifts

# Hospitality Expenses

## Supporting Evidence Requirements:

- Purpose of the event
- Date(s) of the event
- Number of participants
- Original receipts (no credit card slips)
- Authorization of grant holder or delegate.

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# Services & Miscellaneous Expenses

## Eligible

- Recruiting costs for research personnel
- Safe disposal of waste
- Books, periodicals, specialized office supplies, not provided by the Institution
- Training/development in novel techniques necessary for the research
- Professional association or scientific society memberships necessary for the research
- Monthly parking fee for a vehicle specifically required for field work, when used for that purpose.

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# Services and Miscellaneous Expenses

## Ineligible

- Education related costs such as thesis preparation, tuition fees
- Cost for preparation of teaching materials
- Regulatory compliance costs including ethical review, biohazards, environmental assessments
- Professional training or development
- Staff recognition and awards
- Monthly parking unless specifically required for field work
- Regular clothing
- Patenting
- Basic services & supplies for research labs (ie heat, distilled water etc)
- Moving a lab
- Insurance costs for buildings/equipment
- Sales tax to which an exemption or rebate applies

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# Services and Miscellaneous Expenses

## Supporting Evidence Requirements:

- Original invoices, contracts, receipts
- For internal acquisitions/services costs:
  - documentation describing the acquisition/service
  - if a shared acquisition/service, the method of calculating the allocation of the costs
- Authorization of grant holder or delegate.



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# Consequences of Fund Misuse

- **Ineligible cost**
  - Reimbursement by grant holder
- **Frequent ineligible costs**
  - Freeze or terminate the grant fund
  - Committee on Professional and Scientific Integrity
- **Fraudulent use of funds**
  - Legal authorities



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## Useful Contacts - NSERC & SSHRC

Rita Carrière - Acting Manager  
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### **Awards Administration**

Élise Milot, Acting Manager  
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Annie Rémillard, Team Leader  
[Annie.Remillard@nserc-crsng.gc.ca](mailto:Annie.Remillard@nserc-crsng.gc.ca)

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# Useful Contacts - CIHR

- Financial Monitoring and Eligibility of Expenses

**Isabelle Beauvais**, Manager, Policy, Training and Monitoring

E-mail: [ibeauvais@cihr-irsc.gc.ca](mailto:ibeauvais@cihr-irsc.gc.ca)

**Ian Raskin**, Senior Financial Monitoring Officer

E-mail: [eraskin@cihr.irsc.gc.ca](mailto:eraskin@cihr.irsc.gc.ca)

Any questions concerning eligibility of expenses can be forwarded to :

[expense-eligibility@cihr-irsc.gc.ca](mailto:expense-eligibility@cihr-irsc.gc.ca)

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# WEB SITE ADDRESSES

- CIHR: [www.cihr-irsc.gc.ca](http://www.cihr-irsc.gc.ca)
- NSERC: [www.nserc-crsng.gc.ca](http://www.nserc-crsng.gc.ca)
- SSHRC: [www.sshrc-crsh.gc.ca](http://www.sshrc-crsh.gc.ca)