

## Roles and Responsibilities

The administration of funds granted by an Agency is carried out by the grantee, the institution and the Agency. Refer to the [📄 Tri-Agency Framework: Responsible Conduct of Research](#) for researchers' responsibilities when applying for, or in receipt of, Agency funds, and with the [📄 Agreement on the Administration of Agency Grants and Awards by Research Institutions](#) for more details on administration of funds granted.

In accordance with federal laws and policies regarding grants, the Agency verifies eligibility for and entitlement to grants.

Grants are awarded to eligible researchers and are administered through the institution's administration systems. The grantee authorizes expenditures in accordance with Agency policies and requirements, as outlined in the relevant Agency guide on its Web site, or as stated as a condition of a grant, and with institution policies. No one may initiate or authorize expenditures from a grant account without the grantee's delegated authority.

Each institution establishes appropriate procedures, systems and controls to ensure that Agency policies and requirements are followed. The institution has the right and responsibility to withhold and withdraw approval of expenditures proposed by a grantee that contravene the Agency's requirements or the institution's policies and, when appropriate, to seek advice or ruling from the Agency as to eligibility of expenses.

Administrative, personnel and accounting procedures must conform to the standards, practices and policies of the grantee's institution.

## Deviation from Proposed Activities and/or Budget

All conditions specified in the formal grant notification and relevant program requirements must be respected. Unless otherwise specified, grantees may generally deviate from the proposed research activities and/or schedules. Furthermore, they are not required to adhere strictly to the allocation of funds set out in the application as long as they use their grant for the broad purpose for which it was originally awarded.

## Financial Monitoring of Accounts

Representatives of the Agencies will periodically review the institutions' financial administration to:

- assess whether grantees have the necessary financial/administrative tools to properly and effectively manage their research funds;
- review the effectiveness of procedures, systems and controls in place at the institution to ensure that the Agencies' policies and requirements are followed and that research funds are well managed;
- review expenditures from grant accounts to ensure that these were made in accordance with the established policies and requirements and for the broad purpose intended; and
- share and disseminate information on policies, requirements and expectations for financial accountability.

## Non-Compliance

Researchers are responsible for using grant or award funds in accordance with the policies of the Agencies, including the *Tri-Agency Financial Administration Guide* and Agency grants and awards guides; and for providing true, complete and accurate information on documentation for expenditures from grant or award accounts.

Using grant or award funds for purposes inconsistent with the policies of the Agencies; misappropriating grants and award funds; contravening Agency financial policies, namely the *Tri-Agency Financial Administration Guide*, and Agency grants and awards guides; or providing incomplete, inaccurate or false information on documentation for expenditures from grant or award accounts all constitute breaches of the Agencies' policies.

For information on how the Agencies address allegations of breaches of the *Tri-Agency Financial Administration Guide* or other Agency policies, refer to the  [Tri-Agency Framework: Responsible Conduct of Research](#) (section 6.1). Matters involving financial mismanagement, where there is evidence of fraud or other unlawful activity, are referred to the appropriate authorities as per the Treasury Board  [Directive on Losses of Money or Property](#).

## Acknowledgement

Support for research by an Agency grant is an investment by Canadian taxpayers. The Agencies' accountability regarding this use of grant funds includes informing the public about who receives the support, the type of research that will be conducted and how funds will be administered.

Grantees are required to acknowledge the Agency in publications arising from the supported research, in conference or congress materials, and on equipment and facilities purchased and/or

developed with grant funds (e.g., identification of Agencies' equipment funding through stickers provided by the agency).

## Intellectual Property/Patents

The Agencies:

- do not retain or claim any ownership of, or exploitation or proprietary rights to, intellectual property, copyright or inventions developed/resulting from research supported with Agency grant funds;
- do not pass judgment on the eventual commercial success of the research.

The institution must disclose to its grantees its policies on intellectual property rights and ownership arising from supported research. This requirement for disclosure is not intended to supersede any policy on disclosure that the institution might already have in place.

Should grantees decide to pursue commercialization of any results of the research, including all partnered initiatives, they must adhere to institutional and Agency policies governing the assignment of intellectual property.

Recipients of NSERC funding must comply with NSERC's [Policy on Intellectual Property and Copyright](#).

Recipients of SSHRC funding must comply with SSHRC's [Policy on Intellectual Property and Copyright](#).

Recipients of CIHR funding must comply with CIHR's [Intellectual Property/Patents Requirements](#).

## Archiving of Research Data (SSHRC and CIHR only)

### SSHRC only

SSHRC is committed to the principle that research data collected with grant funds belong in the public domain. Accordingly, SSHRC has adopted a policy to facilitate making such data available to other researchers. All recipients of SSHRC funding are required to comply with the [SSHRC Research Data Archiving Policy](#).

## **CIHR only**

Grantees must deposit bioinformatics, atomic and molecular coordinate data into the appropriate public database immediately upon publication of research results (e.g., deposition of nucleic acid sequences into GenBank). Refer to the  [Annex](#) of this policy for examples of research outputs and the corresponding publicly accessible repository or database.

Data retention, as already required by the majority of institutions, is mandated by CIHR. Grantees must retain original data sets arising from CIHR-funded research for a minimum of five years after the end of the grant. This applies to all data, whether published or not. The grantee's institution and Research Ethics Board may have additional policies and practices regarding the preservation, retention and protection of research data that must be respected.

## **Ownership of Collections and Specimens**

Scientifically valuable collections of animal, culture, plant or geological specimens, or archaeological artifacts collected by an authorized representative in receipt of grant funds are the property of the institution. These collections must be held in trust for the research community, which should have reasonable access to them. Such collections must be deposited as quickly as possible in an appropriate repository.

However, the Agency's policy on ownership of collections or specimens does not supersede any federal or provincial legislation on this issue.

The Agency's intention is not to restrict standard and recognized procedures of exchange of material and specimens between researchers and institutions, but to better ensure their continuing good condition and future availability.