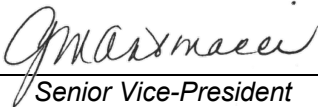


<b>Policy #</b>	<i>AC204 P1</i>
<b>Approved by:</b>	<i>Gina Antonacci</i>
<b>Approval Date:</b>	<i>December 13, 2021</i>
<b>Policy Holder Signature:</b>	
<b>Policy Holder:</b>	<i>Senior Vice-President Academic</i>
<b>Administrative Contact:</b>	<i>Dean of Research and Innovation, Associate Vice- President Academic</i>
<b>Replaces Policy Dated:</b>	<i>February 25, 2013</i>
<b>Review Date:</b>	<i>December 2026</i>

## Research Contracts, Grants and Fund Administration

### Purpose:

This procedure specifies the terms and conditions by which research contracts and grants will be reviewed and approved and how associated funds will be administered at the Humber College Institute of Technology and Advanced Learning (hereafter referred to as “Humber” or “the College”).

### Summary of Procedure Contents

- Purpose
- Definitions
- Procedures
  - Pre-Contract and Grand Application Process
  - Proposal Preparation
    - Budget Development Process
    - Approval Process for Submission of Proposals
      - Faculty/Department Approval
      - Budget Financial Approval
      - Office of Research and Innovation Approval
      - Executive Approval
  - Responsibilities
    - Principal Applicant Responsibilities
    - Principal Investigator Responsibilities
  - Research Grants and Fund Administration
    - Record Keeping
    - Administration and Management of Funds
    - Office of Research and Innovation Responsibilities
    - Recovery and Allocation of Indirect Costs
    - Change in the Status of Grant or Award Holders

- Policy Administration
- References
- Acknowledgements

## **Definitions:**

**Direct Cost:** A cost that is easily and accurately identified in research proposals or contracts. Examples of direct costs include, but are not limited to, wages and benefits of research personnel, materials, supplies, travel, equipment, and rental of space.<sup>i</sup>

**Indirect Cost/Overhead:** A cost in a research project that cannot be easily identified and charged to a particular research project but which is incurred by the College and allows research projects to take place. Indirect costs can include such financial considerations as: depreciation of building and equipment, maintenance (including utilities, waste disposal, and security), insurance, financial administration (including purchasing and accounting), and libraries.<sup>ii</sup>

**Principal Applicant:** As mandated by government policy, all funding obtained, including but not limited to Tri-Council Agencies, Canadian Foundation for Innovation and/or Ontario Centres of Innovation, are granted to the College, not to individuals. The Principal Applicant is therefore a college administrator.

**Principal Investigator:** An individual who is responsible for preparing the proposal. This will also be the individual responsible for the direction of the project and budget in compliance with granting agency guidelines, and Humber policies.

**Co-applicant or Co-investigator:** A member of the research team whose skills and/or education is essential to carrying out some part of the proposed project, for example data analyses. A Humber employee who will be involved should be included as a co-applicant if they meet the definition of the granting agency. The co-applicant will be normally be involved in the development of some sections of the proposal, but not responsible for its completion or submission.

**Research:** Any internally or externally funded initiative which the College and the academic community in general, consider to be research including:

- Finding solutions to practical problems through the application of knowledge;
- Experimental discovery;
- Activities leading to the publication of books, monographs, and contributions to edited books;
- Unpublished research, including work in progress;
- Consulting and contract work under the auspices of the College, and other professional activities involving research.

**Research Contract:** refers to an agreement to perform research, research-related or other scholarly activities for a sponsor under specified conditions in exchange for payment of direct and indirect costs. Normally, the idea for the project is generated by the sponsor,

and they require that certain guidelines be followed with regards to the direction of the research and/or to the use or publication of research results. In addition, sponsors usually want to retain control of some or all of the Intellectual Property generated from a project. Sponsors of research may include private companies, federal government departments (e.g., Human Resources Development Canada) or federal funding agencies (e.g., Canada Foundation for Innovation), and provincial government ministries (e.g., Ministry of Training, Colleges and Universities), provincial funding agencies (e.g. Regional Innovation Centers such as MaRS) or industry partners, be they for profit or not-for profit.

**Research Grant:** A fund provided in aid of the independent research activities of a staff member. Grant recipients are required to use the funds as outlined in the grant proposal and to contribute the results from the research to the public domain without undue delay. The Principal Applicant and co-applicants develop the research methodology. Grant agencies will not typically make any claim to Intellectual Property generated from projects they fund. Grant programs may be offered by federal or provincial agencies (e.g., Social Sciences and Humanities Research Council, Workplace Safety and Insurance Board), non-profit organizations, or foundations (e.g., Ford Foundation, Fulbright Foundation).<sup>iii</sup>

**Scholarly Activities:** Any internally or externally funded initiatives which the College and the academic community in general, consider to be scholarly activities including, but not limited to:

- Preparation of papers for submission to be refereed and non-refereed journals, and those delivered at professional meetings;
- Participation in panels;
- Editorial and referring duties;
- Dissemination of course writing and course design including creation of technological materials; and
- Consulting and contract work under the auspices of the College, and other professional activities involving scholarly activities.

**Sponsor:** An individual, company, institution or organization, which takes responsibility for the initiation, management, and/or financing of a research project.

## **Procedures:**

### **1. Pre-Contract and Grant Application Process**

- 1.1. Staff who wish to engage in a project and apply for funding should request approval from their Supervisor (Senior Dean, Dean, Associate Dean or Director (hereinafter called the “Supervisor”).

This pre-contract/grant proposal should be submitted to the Office of Research & Innovation (ORI) who will determine eligibility and discuss project viability. Each funder may have different requirements. However, in general, the proposal should include, but not be limited to items such as:

- How this initiative aligns with the College and Faculty/Department's strategic objectives;
- Name and contact information of the proposed Principal Investigator;
- If known, the names and contact information of other individuals who would be involved (co-applicants);
- If the co-applicants, collaborators or partners are known, evidence of their agreement in being listed on a grant application;
- Roles and responsibilities of the team members;
- Approximate expectations for the time (e.g. course release estimate) team members will be expected to dedicate to the initiative;
- Assurance that the research will not conflict with the other responsibilities of College team members;
- A summary of what will be done, who will be involved, how data will be collected, results analyzed and results disseminated;
- Approximate project timelines;
- Estimate of College services and resources required and assurance that the research can be accomplished with them;
- Written approval of supervisor.

If the proposal includes applicants from more than one Faculty or department, approval must be obtained from the Senior Deans/Heads of Department of all applicants or co-applicants.

1.2 It is possible that a Sponsor may approach ORI and express the desire to engage with Humber on an applied research project. ORI will work with the Sponsor to connect them with the appropriate staff. ORI, staff, and Sponsor will work together to determine the appropriate funding source options.

1.3 During the pre-grant application process, ORI will conduct a preliminary review of the proposal to ensure acceptable use of Humber services and resources, compliance with other relevant Humber policies (such as the Ethical Conduct for Research Involving Humans policy), the eligibility of the requested funds and any potential liability associated with the proposed grant proposal.

## 2. Full Proposal Preparation

2.1 Full Proposals and applications will be prepared with the support of ORI. Each application is different, depending on the funder. However most usually include, but are not limited to, the following:

- The name and contact information for the Principal Applicant (e.g. the College designate);
- Names and contact information of other individuals directly involved in the research (Principal Investigator and co-applicants);
- A detailed description of what will be done, who will be involved, how data will be collected, and how results will be analyzed and disseminated.
- Details on the expectations and time to be committed by each team member, including all co-applicants;
- Project timelines, including expected start and end dates, and milestones;
- A details budget and budget justification that describes the direct costs of the research project, how the costs will be covered by funds from the research grant and, what the Humber contribution will be (see below);
- A list of College services and resources (including human resources) to be used for recovery of indirect costs of the project, if permitted by the granting agency. The indirect costs of research are to be calculated as 20% of the total direct costs of the project or as stipulated by the Sponsor or Granting Agency. Any indirect costs not recovered by from the Sponsor or Granting Agency must be included as an in-kind contribution by the College to the project;
- Any restrictions affecting intellectual property (IP) resulting from the research (see policy and procedure on IP);
- The signature of the Principal Applicant (Authorized College administrator) verifying that they accept responsibility for the proposed research and other responsibilities.

### 2.2 Budget Development Process

2.2.1 Unless otherwise agreed upon, applicants will work directly with ORI to develop the research project budget. It is advised that applicants contact ORI as early as possible in the process to minimize any negative effects of delays.

The full cost of the project must be fully calculated and should clearly differentiate between direct and indirect costs. All budgets must also clearly state what organization, institution or sponsor is covering the cost.

The operating budget should include but not be restricted to i. Direct Costs, ii. Indirect Costs and iii. Proposed sources of funding which will include any or all of the following:

- i. Direct Costs:
  - a. Salaries, stipends and/or honoraria for research project personnel;

- b. Itemized supplies required to conduct the research;
  - c. Itemized equipment that must be purchased, if an allowable expense by the funder, and associated operating and/or maintenance costs;
  - d. Itemized travel costs, either to conduct the research or for meetings/conferences;
  - e. Knowledge dissemination (e.g. journals, industry publications, social media, conferences etc.);
  - f. Other costs as appropriate.
- ii. Indirect Costs:
- a. Infrastructure resources to conduct the research including space, equipment and maintenance costs;
  - b. Salary for support services employees in departments such as Finance, Research Ethics Board, ORI, administrative staff, etc;
  - c. Building maintenance and operating expenses such as heat, lighting, property taxes;
  - d. Other as appropriate for the proposal.
- iii. Proposed Sources of Funding: The total budget should include all sources of funding, potential or confirmed, including any and/or all of the following:
- a. Amount requested from the funder(s)
  - b. Cash contributions from the industry partner and/or Sponsor. This would include itemized supplies provided by the Sponsor for the purposes of the project, new employees hired specifically for the project, and equipment that is purchased by the Sponsor for the project, only if the equipment is to belong to Humber upon completion of the project
  - c. In-kind contributions from the Sponsor. This includes salaries of existing staff who will donate some of their time to the project without additional compensation, and itemized equipment or space that is being used for the project but which remains the property of the Sponsor upon completion of the project
  - d. Cash contributions from Humber: Commitments of the college to hire new staff, equipment, supplies or other resources specifically for the project should be counted as cash.
  - e. In-kind contributions from Humber: This would cover the salaries of current employees who are redirecting some of their time to the project. This should not include administrative staff from Finance or Human Resources as these salaries are covered under indirect costs
  - f. Cash and in-kind contributions from other sources: should be calculated and categorized according to the guidelines of Direct and Indirect costs, above.

## 2.3 Approval Process for Submission of Proposals

Unless otherwise agreed upon with ORI, proposals will require approval in the following sequence:

1. Faculty/Department Pre Approval.
2. ORI approval.
3. Financial Department approval of the Budget.
4. Principal Investigator's Supervisor's Approval.
5. Final ORI/Research Grants Officer - RGO approval.

It is the responsibility of the Principal Investigator to allow adequate time for all of the reviews and approvals to be completed. They should contact the approvers well in advance of any deadlines to learn about plans for approvers to be out of office and to identify alternate approver(s), as necessary. Failure to provide adequate time to properly review may result in delays that jeopardize the timely submission of the application.

The following subsections provide details about each type of approval.

### 2.3.1 Faculty/Department (Pre) - Approval

The pre-approval stage is designed to allow the Faculty/Department to understand the commitment they are making should the proposal be approved. When approved by the Supervisor it constitutes agreement that the involvement of staff is understood, that the budget is sufficient to cover agreed upon expenses and that the Faculty or department will be financially responsible for covering revenue shortfalls resulting from overspending on grant accounts, including indirect costs.

Should the Faculty/Department wish to be involved in reviewing the content of the proposal prior to submission, they should understand the funder submission timelines or run the risk that these are missed and the proposal does not get considered.

### 2.3.2 Financial Approval of the Budget

Applicants should work closely with ORI in the development of the budget. Once finalized the budget must be reviewed and approved by the Director of Finance and Planning, or designate, prior to final approval by ORI.

Signature of the Director of Financial Services, or designate, indicates that the budget conforms to Humber standards and that the indirect costs have been appropriately budgeted.



### 2.3.3 ORI Approval

ORI will review the proposal to ensure that:

- (1) The project aligns with Humber's Research Strategic Plan;
- (2) The project conforms to and addresses applicable institutional policies;
- (3) The proposal contains all appropriate, relevant and necessary elements and complete details are provided, including information about the roles and responsibilities of co-applicants;
- (4) The budget, budget justification and project timelines are appropriate for the scope of work proposed; and
- (5) All necessary approvals have been obtained.

Formal approval provided by the Dean of ORI will constitute that the preceding five criteria have been met in advance of executive approval.

### 2.3.4 Executive Approval

The signature of the President will be required for funding in excess of one million dollars. As appropriate, the President may delegate final approval to the Senior Vice-President Academic or to the Vice President, Administration and CFO. Furthermore, the President or designate will only review and consider research applications that have been approved as per this policy. In some cases, for small funding amounts, Executive Approval may be delegated by the Senior Vice-President Academic to the Dean of ORI.

As authorized officials responsible to the College's Board of Governors, the President or designate will use their discretion regarding implications of the proposal on the College, particularly as it concerns institutional liability. Therefore, along with authority to approve research proposals, the President or delegate may, at their sole discretion, seek counsel about, propose modifications to, or reject the proposal, as deemed necessary.

## **3. Responsibilities**

### 3.1 Principal Applicant Responsibilities

As mandated by government policy, all funding obtained, including but not limited to Tri-Council Agencies, Canadian Foundation for Innovation and/or Ontario Centres of Innovation, are granted to the College, not to individuals. Should researchers/scholars leave the College, others will be assigned to take over the corresponding duties. As such unless otherwise agreed upon the Principal Applicant (PA) will be an administrator. The PA is responsible for ensuring that the terms and conditions outlined in the grant proposal are followed. Specifically, the PA assumes responsibility for:

- The performance and completion of the work in full compliance with the proposal approved by the granting agency;
- Ensuring all participants have the appropriate training and experience to perform the role and responsibilities as described in the proposal;
- Ensuring that everyone working on the research project is aware of and agrees to comply with all applicable terms and conditions of the granting



agency and of the College, especially those relating to publication, intellectual property, and confidentiality;

- The management of the grant fund account, once it is established, which includes authorizing expenditures in accordance with the budget;
- Working closely with the Principal Investigator, as applicable, to ensure the project is moving forward as per the timelines and within the approved budget; and,
- Ensuring that all relevant stakeholders including Faculty Deans, and Vice-Presidents who provided approval for the grant proposal, are informed as soon as possible of any circumstances, which could prevent satisfactory completion of the research.

### 3.2 Principal Investigator (PI) Responsibilities

Unless otherwise agreed upon with ORI, PI responsibilities include:

#### 3.2.1 Administration

- Submitting the Research Ethics Board approval letter for research involving human participants, as appropriate. This approval must be obtained prior to the release of funds; and
- Submitting requests for expenditures in accordance with the budget approved by the Granting Agency.

#### 3.2.2 Personnel

- Direction of research personnel, including research assistants and students, as it relates to performing project-related duties.

#### 3.2.3 Record Keeping

Unless otherwise agreed upon the Principal Investigator is responsible for the following:

- Ensuring that a copy of the submitted proposal with all necessary signatures is provided to ORI;
- Providing a copy of the grant approval letter and final approved budget to ORI;
- Directing all project-related non-salary and salary expenditures through the appropriate contacts in ORI;
- Ensuring that all project-related meetings have recorded minutes; and,
- Other as required for other entities and in particular the Research Ethics Board approval and/or the granting agency.

ORI will assist in the maintenance of all administrative files for audit purposes, including receipts, payroll information, and employee contracts.

#### 3.2.4 Reporting

- Draft interim and final reports; and,
- Ensuring that the Dean(s) associated with the project, ORI and, as appropriate, the President are informed as soon as possible of any circumstances which could prevent satisfactory completion of the project.

#### **4. Research Grants and Fund Administration**

Once a grant has been awarded, a Partnership Agreement will be developed to support the binding agreements between the institution, Sponsors, and the Principal Applicant. The Partnership Agreement will further outline the legal obligations of all parties. The Partnership Agreement is reviewed and approved by the office of the Senior Vice-President Academic, and the Legal & Risk Management office, as appropriate.

##### **4.3 Office of Research & Innovation (ORI)**

After a grant proposal has been successfully funded, unless otherwise agreed upon, ORI will be responsible for:

- (1) Developing the partnership agreements
- (2) Ensuring that grant funds are utilized in compliance with the Granting Agency guidelines and are adhering to Humber Finance and Purchasing and Applied Research and Innovation requirements. This includes authorization of expenditures in accordance with the approved budget;
- (3) Onboarding, coordinating and documenting all hiring of students, academic staff or other support in accordance with the terms of the Granting agency;
- (4) Ordering supplies;
- (5) Tracking project expenditures;
- (6) Preparing reports and submitting to Finance for review prior to the Granting Agency reporting deadlines; and
- (7) Working with Financial Services to ensure an audited financial statement of the grant fund accounts is maintained and requested in advance of reporting deadlines.

##### **4.4 Recovery and Allocation of Indirect Costs**

Provisions for the recovery of indirect costs of performing research and scholarly activities as appropriate will be included in all Humber research grant proposals, where permitted by the granting agency. The total indirect costs will be calculated at 20% of the total direct costs of the project, or as stipulated by the Granting Agency. The President has the authority collectively to adjust this rate on a case-by-case basis, as may be deemed appropriate. The Principal Investigator with the support of ORI is responsible for ensuring that the requested budget includes indirect costs.

The revenue received by Humber, as a recovery of indirect costs, will be distributed as follows:

- 50% to Humber's Financial Services Office; and
- 50% to ORI.

The Senior Dean or Dean of the Principal Investigator's Faculty or Department is responsible to ensure that all direct and indirect costs that were not agreed upon in the original submission and therefore not recovered by the grant will be covered by their Faculty or Department.

#### **4.5 Change in the Status of Grant or Award Holders**

The Senior Dean or Dean of the Principal Investigator shall immediately notify the Dean of ORI of any change in the employment status of a grant or award holder or essential co-investigator so that the appropriate sponsoring agencies can be notified in a timely manner. The replacement of any research personnel must be approved by the Dean of ORI. The replacement of a Principal Investigator may also require approval of the Granting Agency.

#### **5. Policy Administration**

The Dean of ORI will be responsible for the administration of this policy and procedure and to monitor its effectiveness.

#### **References:**

Humber Approval and Signing Authority Policy

Humber Intellectual Property Policy

Humber Ethical Conduct for Research Involving Humans

Various SOPS (TBD)

#### **Acknowledgements:**

McMaster University

Mohawk College

Tri-Agency Guide on Financial Administration

#### **References:**

#### **Appendices:**

---

#### Endnotes

<sup>i</sup> Adapted from University of Toronto's *Policy on Research Contracts and the Recovery of Indirect Costs of Research*.

<sup>ii</sup> Adapted from University of Toronto's *Policy on Research Contracts and the Recovery of Indirect Costs of Research*.

<sup>iii</sup> Adapted from University of Ottawa's policy on *Grants and Contracts Administered by the University*.