

The Administration of Agency Grants and Awards by Lambton College

This Document summarizes Lambton College responsibilities in general and Research and Finance Departments responsibilities and duties for research grants and awards.

1. Definitions

The following words will have the meanings assigned to them in this Article.

- ▶ **Approver** means the individual with signing authority responsible for approving or rejecting the requested expenditure after verification according to granting agencies guidelines and research proposals.
- ▶ **Award** means funding provided by an Agency through a scholarship, fellowship, or Agency salary or career support grant.
- ▶ **Agency** means CIHR, NSERC, SSHRC or others.
- ▶ **Animal** means a vertebrate or a cephalopod.
- ▶ **CIHR** means The Canadian Institutes of Health Research.
- ▶ **Grant** means funding provided by an Agency to carry out research and related activities.
- ▶ **NSERC** means The Natural Sciences and Engineering Research Council of Canada.
- ▶ **Recipient** means an Award holder or a Grant holder.
- ▶ **Researcher** means an individual who carries out research activities.
- ▶ **SSHRC** means The Social Sciences and Humanities Research Council of Canada.
- ▶ **Verifier** means the individual responsible for evaluating and verifying the requested expenditure according to granting agencies guidelines and research proposals.

2. Financial Administration

- a. Lambton College shall:
 - i. Administer the funds that it receives from an Agency in accordance with:
 1. The Agency's financial policies and procedures including, but not limited to, the Tri-Agency Financial Administration Guide, as they may be amended or supplemented from time to time; and

- 2. Any additional terms or conditions of the Grant or Award;
- ii. Establish and maintain policies, systems, procedures and controls that require and ensure compliance by Recipients with the Agency’s financial requirements;
- iii. For each Grant and Award:
 - 1. Maintain a separate account;
 - 2. Ensure that each expenditure and charge made to the Grant or Award account is authorized by the Recipient, or by their delegate if the delegation is clearly documented; and
 - 3. Keep complete and accurate records on the use of Agency funding, including verifiable audit trails with complete supporting documentation for each transaction, for at least seven years;
- iv. Withhold or withdraw approval of expenditures that contravene an Agency or institutional policy or a term of the Grant or Award;
- v. Consult with the funding Agency whenever Lambton College is uncertain as to the Agency’s financial requirements;
- vi. Promptly process eligible and approved payments from Recipient accounts;
- vii. Provide adequate financial and administrative support to its Recipients to ensure sound management of funds;
- viii. In the event of a transfer of Grant or Award funds from Lambton College to another institution, ensure that the transfer complies with the provisions of the Agency’s applicable financial policies, guidelines and procedures;
- ix. Provide regular and timely financial reports on the use of Agency funds, as the Agency may require, and comply with Agency requirements related to ongoing financial monitoring;
- x. Provide each Grant and Award holder with regular information regarding their account;
- xi. Upon reasonable notice, allow Agency representatives access to its premises and facilities to carry out monitoring reviews and compliance audits, provide them with access to all accounts, records and other information related to a Grant or Award, and respond fully and accurately to any inquiries the Agency may make for the purpose of verifying adherence to Agency requirements; and
- xii. Allow representatives of the Auditor General of Canada access to the information mentioned in (xi) and to Lambton College’s premises so that he or she may exercise the powers granted under the Auditor General Act, including the carrying out of financial or performance audits.

3. Role of Lambton College Departments for Financial Administration of Grants

3.1. Applied Research and Innovation Department

- i. Understand eligibility criteria and budget monitoring process according to Lambton College guidelines;
- ii. Understand, be up-to-date, share and carry out projects with respect to the Funding Agencies eligibility criteria, processes, procedures and guidelines;
- iii. Develop and execute the award agreement;

- iv. Request a cost centre for the grant;
- v. Assign verifier and approver for the grants;
- vi. Assign and request proper signing authorities for the grant;
- vii. Monitor and manage the grant operation including hiring, purchasing and travels according the Agency's and Lambton College's financial policies, procedures and guidelines;
- viii. Develop regular financial reports for the Funding Agencies;
- ix. Provide each grant and award holder with regular information regarding their account;
- x. Monitor all collaborative applied research and contract project budgets, revenue and expenses considering guidelines by the College and funding agencies;
- xi. Prepare documentation to verify and issue purchase orders, hiring and invoices;
- xii. Maintain contribution reporting documents from project partners;
- xiii. Identify discrepancies, propose solutions and make adjustments to the budget as required with respect to the Agency's and Lambton College's financial policies, procedures and guidelines;
- xiv. Communicate with external funding sources regarding use of grant funds and reporting if it is required;
- xv. Work with the Finance Department to prepare documents for external audits;
- xvi. Prepare service/equipment tender documents;
- xvii. Manage the ownership of grant based equipment and facilities according to the Funding Agency guidelines;
- xviii. Liaise with appropriate college personnel or department to ensure financial activities are properly carried out according to the terms of research agreement and the Funding Agencies guidelines;
- xix. Process timesheet hours submitted by researchers/students and compare to budgeted time and inform the researchers and Finance Department of potential issues;
- xx. Monitoring deadlines for surveys and reports for the Funding Agencies;
- xxi. Coordinate the orientation process and training of new faculty researchers and student research assistants regarding reporting, administrative processes and grant related requirement;
- xxii. Ensure that Lambton College is comply with the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans, second edition ("TCPS2"), as amended from time to time for all research involving humans carried out under its auspices;
- xxiii. Ensure that Researchers about projects involving humans subjects are informed of their obligations under the TCPS2 and provided such training as they may reasonably require;
- xxiv. For any project uses animals in any of its research, maintain a valid Certificate of Good Animal Practice[®] from the Canadian Council on Animal Care ("CCAC"), or an indirect certification by a formal agreement with another organization that has a valid Certificate, and ensure that research funded by an Agency complies fully with CCAC standards, as amended from time to time;
- xxv. Monitor the projects and allow access to research funds only after the Lambton College's animal care committee or another animal care committee designated by Lambton College has approved the research, unless the activities involving animals will only take place in the future, in which case a part of the funds may be released to cover only expenses to be incurred before animals are used;

- xxvi. Ensure that approval by the animal care committee is maintained for the duration of research activities involving the use of animals;
- xxvii. Assist the Agencies in fulfilling their responsibilities under the Canadian Environmental Assessment Act 2012 to comply with any request for information that an Agency may require to meet its obligations under the Act;
- xxviii. Ensure that public communications concerning research, research training or related activities funded by an Agency, including publications and events, meet the requirements of the Government of Canada and of Lambton College. More specifically, Lambton College will adhere to the Public Communications Policy of the Federal Research Funding Organizations, as amended from time to time.

3.2 Finance Department

- i. Ensure agreements and /or documentation are in place for each research grant;
- ii. Create cost centre for each grant with proper accounts, communicate to all accounting staff;
- iii. Approve signing authority and communicate to accounting staff;
- iv. Communicate with research personnel to ensure financial activities are carried out according to the terms of the research agreement;
- v. Review financial working papers and statements to approve for submission to the Funding Agencies;
- vi. Review expenditures for compliance and reporting to granting source;