



GRANT ADMINISTRATION GUIDELINE

(RESEARCH OPERATIONS)

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1. TERMINOLOGY

1. **Agency:** (Federal) NSERC, SSHRC, CIHR (Tri-Agency or Tri-Council), FEDDEV / (Provincial) OCE.
2. **Applicant/Authorized Institutional Representatives:** The person drafting the application. This person must be a college employee, preferably and administrator or manager with management experience (ex. Academic Dean, Associate Vice President Research).*
3. **Authorized Institutional Representative Delegates:** the Authorized Institutional Representative may delegate its authority in writing. (Not mandatory to go through the Board of Directors)
4. **CCI:** College and Community Innovation Program
 - 4.1. Engage Grants for colleges
 - 4.2. Applied Research and Development Grants (ARD)
 - 4.3. Applied Research Tools and Instruments Grants (ARTI)
 - 4.4. College-University Idea to Innovation Grants (CU-I2I)
 - 4.5. Industrial Research Chairs for Colleges Grants (IRCC)
 - 4.6. Innovation Enhancement Grants (IE)
 - 4.7. Technology Access Centres Grants (TAC)
5. **Co-Applicant:** member of a research group applying for a team grant (i.e., university faculty or college faculty). Not use very often by colleges.
6. **Chair holder:** Researcher head of the Chair. This same searcher is the chair candidate for the grant application.
7. **Collaborator:** a research scientist or engineer from any sector, e.g., government scientist, academic researcher, company staff members.
8. **Researcher:** Chair candidate, Chair holder, Collaborator, Participant.
9. **Industrial Partner:** a Canadian-based company that carries out research and development (R&D) and/or produces goods or services within Canada, deriving the majority of its revenues from the sale of these goods or services and not from government aid.
10. **Institution:** Community College, Institute of technology, post-secondary private college or public college, Cegeps
11. **Primary Investigator:** Researcher who operationalizes the project activities and works directly with Industrial Partners, students, and the Applied Research Office.
12. **Participant:** Faculty, professional/technical staff, or student involved with the CCI Program.
13. **Research Grants Officer (RGO):** The person approving the applications. Must be of higher hierarchical level than Applicant. This person must be a college employee. Any applications, submitted electronically or by paper, must be approved by that person.*

Grant Administration Funding

14. **Stipend:** Financial support given to a recipient of a training award, or provided by a grantee to a trainee, to support them while they are working on their research thesis and/or gaining research experience.
15. **Salary:** Remuneration for work performed by research personnel that contributes toward the direct cost of research for which the funds were awarded, in accordance with institutional employment contracts or collective agreements, where applicable.

2.1 OVERHEAD AND ADMINISTRATION

DEFINITION

Considered to be overall cost of operating the Applied Research programs (incl. personnel, facilities and associated costs). The maximum allowable percentage for overhead and administrative costs is 20% of the grant installment per year to a recipient institution.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<p>All details are set according to the funding agreement with the associated agency.</p>	<p>Eligible Expenses</p> <ul style="list-style-type: none"> • Salaries for staff or students who provide administrative support for researchers and their projects; • Training costs for workplace health and safety; • Costs related to the maintenance of libraries and laboratories; administrative costs associated with getting a patent for an invention. • Costs for the purchase of books or periodicals, specialized office supplies, computing equipment and information services not formally provided by the institution to all its academic and research staff. • Costs of membership in professional associations or scientific societies if necessary for the research program/project. <p>Non-Eligible Expenses</p> <ul style="list-style-type: none"> • Support for the creation of spin-off companies. • Development of incubators.

PROCEDURE

Within Government funding agencies, a rule of 20% per grant is eligible to be used to assist in payment of these activities.

(**NSERC** - The institutions may request funds for overhead and administration costs attributable to the college's applied research program, and the maximum allowable percentage for overhead and administrative costs is 20% of the grant installment per year to a recipient institution).

2.2 RETROACTIVE EXPENSES

DEFINITION

Costs incurred between the date of the grant announcement on the Agency’s website and the effective funding start date of the grant are eligible.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<p>All details are set according to the funding agreement with the associated agency.</p>	<ul style="list-style-type: none"> • The Agency will not assume any responsibility for any costs should a change in funding occur. • The Agencies will not assume any responsibilities for retroactive expenses if the project or expenses are not approved. • Retroactive expenses are evaluated on a case-by-case basis by the Agency in accordance with the following four criteria: • They must be “eligible expenses” as per the sections below and/or the relevant program description; • They must be identified as retroactive expenses and justification provided at the time of submission of the original application. • They must relate to a CCI grant application that has been approved for funding; and • The cost must be incurred between the submission date of the original application and the official start date of the approved grant.

PROCEDURE

1. According to the submitted proposal the Industrial partner and the Applied Research start spending partnership contributions and Lambton College monies. Once the approval of the funding agencies cost of the project are eligible to be claimed.
2. An email confirmation from NSERC to the Applied Research Department will be generated and kept for appropriate tracking.

2.3 COMPENSATION – RELATED EXPENSES – FACULTY RELEASE

DEFINITION

The releasing of a full time faculty to support their involvement in applied research projects.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<ul style="list-style-type: none"> • It has to be a full time faculty member. • Covers the replacement cost not a faculty cost. • Recent modification to union rules have made it not possible to hire full time faculty on a separate contract than their teaching. 	<ul style="list-style-type: none"> • It has to be Full Time faculty. • It is up to \$9,000 per course load reduction per semester per faculty. • There is no external grants to release faculty for proposal preparation or project development.

PROCEDURE

1. The research department will request a specific number of course releases from the appropriate department/Schools for the faculty members time to participate in the project according to the project needs. This specific number of course releases will be identified through discussion with the faculty member and other project members.
2. If the Dean approves, the faculty members SWF will be adjusted and a replacement instructor will be hired to take on the course work in the faculty member absence.
 - Note 1: The cost of the replacement of the faculty member is the eligible cost which will be paid through the Grant funding.
 - Note 2: There is possibility that the Department Dean asks for modification of release request for the faculty. This modification will be negotiated with the faculty as well as Applied Research Department.
3. The Applied Research Department will receive all the documentation to release a faculty (including SWF, replacement contract and cost associated in a Journal Entry (JE)). According to these documents, Applied Research Department will process the grant transfer to associated department.
4. This process is repeated occurring approximately 3 months prior to the Fall and Winter terms only.
5. Spring term and summer may not eligible for faculty release as generally a SWF is not generated with course hours.

2.4 COMPENSATION – RELATED EXPENSES – TECHNICAL/PROFESSIONAL SALARY

DEFINITION

Salaries and non-discretionary benefits for technical and professional staff carrying out applied research, research administrators, business development and technology and/or knowledge transfer personnel. The technical professional staff can include graduate students, adjunct researcher, support staff and non-college employees.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<ul style="list-style-type: none"> • Part time staff can be hired for a maximum of 24 hours per week. • Full time staff are not able to receive a contract over and above their work contract and have duties in current role replace for specified project timeframe. • Recently graduated students are able to be hired for a term of 1 year at 35 (full time). Once. • Full time faculty are not eligible to receive a summer contract (11th month.) 	<p>Eligible Expense</p> <ul style="list-style-type: none"> • Fees paid for the purpose of participant recruitment, such as modest incentives to consider participation (i.e., to establish a potential participant pool), where approved by a Research Ethics Board. • Fees paid to research participants, such as modest incentives for participation, where approved by a Research Ethics Board. • Subcontract costs. • Clerical salaries directly related to dissemination activities, including manuscript preparation. • Honoraria for guest speakers. • Recruiting costs for research personnel, such as advertising and airfare for candidates, foreign national recruitment fees, etc. <p>Non Eligible expense</p> <ul style="list-style-type: none"> • Any part of the salary, or consulting fee, to the grantee or to other persons whose status would make them eligible to apply for grants from the Agency. • Any form of compensation to co-applicants and collaborators of the grant regardless of their eligibility to apply for grants. • Administrative (or management) charges and fees. • Compensation-related benefits to recipients of stipends. • Discretionary severance and separation packages.

PROCEDURE

1. The research technical team will determine the Technical/Professional needs for the project and identify the appropriate personnel to complete the defined activities.
2. The research department will offer a contract to the person to participate in the project as detailed out in the proposal. The contract can range in hours (1 hr. – 35 hrs.) depending on funding and union rules.
3. The person will either become the primary investigator in the project and work directly with the Industrial partner organization or work in a support role to assist in the execution of the project.
 - If the person is a full time staff member, an agreement with the persons Dean / or individual supervisor will occur to determine the number of hours the person will be able to participate in the project.
 - The Applied Research department will work with the department to appropriately cover the cost of the hours of the staff member as replacement (the full time staff member does not receive a 2nd contract for these activities).
4. If the person is a part time faculty or staff member, their eligible to receive additional contract (up to 24 hrs/wk) and must be submitted in to the HRIS system.
5. The hours will be verified by the appropriate researcher and approved by the authorized grant delegate in the applied research department.

2.5 COMPENSATION – RELATED EXPENSES – STUDENTS/COOP

DEFINITION

A college student or other post-secondary student who is enrolled into courses at a post-secondary institution and salaries including non-discretionary benefits or stipends for work on research projects.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<ul style="list-style-type: none"> • Students will be limited to no more than 15 hours per week of Research employment during a school semester. • Eligible students will be able to apply for a COOP for 4 to 8 month (program dependent) and be able to work for 35 hours per week to at least the maximum number of hours required to complete the COOP term (420 hrs or 580 hrs). • Student may be eligible to work during the summer term (between academic terms) for 35 hours per week (Appendix G contract). • International student must validate their work eligible prior to applying for student research opportunity. 	<ul style="list-style-type: none"> • Stipends to visiting researchers up to a maximum of \$2,000 per month for up to 125 days per year, not including travel and subsistence costs.

PROCEDURE

1. The primary investigator will identify required student research activities and assist in sourcing a student to assist them in the project. The Applied Research department will assist as much as possible and provide a web posting to help attract interested students.
2. The PI will be asked to complete a request to hire document and return it to the applied research department.
3. The applied research department will complete all the necessary activities to hire the student if they are eligible.
4. The person is a part time faculty or staff member, their eligible to receive additional contract (up to 24 hrs/wk) and must be summited in to the HRIS system.
5. The hours will be verified by the appropriate researcher and approved by the authorized grant delegate in the applied research department.
6. Renewal or extension of contract will be determined by PI and project funding.

2.6 TRAVEL AND SUBSISTENCE COSTS

DEFINITION

Travel to support activities in a funded research project by institution representatives that have complete a pre-authorized travel for eligible research activities which has been approved (travel forms must be completed).

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<ul style="list-style-type: none"> • A pre-travel justification form (Applied Research Travel Report Form Before Travel) must be complete detailing all travel activities which includes location, persons to meet, duration and all estimated costs. • A post travel justification form (Applied Research Travel Report Form After Travel) must be complete detailing all travel activities which includes location, persons to meet, duration and all actual costs. • Costs of alcohol. • Please refer to policy # 4000-1-2 - Travel, Meals and Hospitality Policy. 	<p>Eligible Expenses</p> <ul style="list-style-type: none"> • Travel and subsistence costs (meals and accommodation) within Canada including reasonable out-of-pocket expenses for field work and collaborative trips for research personnel, college students and colleagues for a short period of time. • Travel and subsistence costs (meals and accommodation) outside Canada up to a maximum of \$5,000 per year when prior approval has been obtained by the Agency. • Air travel must be claimed at the lowest rate available, not to exceed full economy fare. • Travel cancellation insurance and seat reservation charges. • Travel health insurance for research personnel who do not receive any such benefits from their institution and/or other sources. • Safety-related expenses for field work, such as protective gear, immunizations, etc. • Monthly parking fees for vehicles specifically required for field work and only for month(s) when field work was conducted. <p>Non-Eligible Expenses</p> <ul style="list-style-type: none"> • Commuting costs of the authorized representative and associated research personnel between their residence and place of employment, or between two places of employment. • Passport and immigration fees. • Reimbursement for airfare purchased with personal frequent flyer points programs. • Costs of alcohol. • Costs of entertainment, hospitality and gifts, other than those specified above such as regular interactions with colleagues from the institution and personnel meetings.

PROCEDURE

1. The primary investigator or research participant must identify and estimate all details of the required travel (hotel, flights, conference fees, food) and complete a travel request form.
 - This form will be verified for eligibility (NSERC and Lambton College) and approved/denied and a notification will be sent to the form creator prior to incurring of expenses toward the travel.
2. All travel documents and receipts must be kept for proper reimbursement after travel is complete.
3. The primary investigator or research participant must complete a post travel form indicating all activities during travel including details regarding who one meets with and what benefit was brought back to the project.
4. A list of eligible costs can be found in the prior eligibility website and The Lambton College Travel, Meals and Hospitality Policy or by consultation with the applied research department.

2.7 OPERATING, EQUIPMENT AND SUPPLIES

DEFINITION

Grants support only expenditures related to the purchase, installation and development of research equipment, as well as the operation of an applied research facility and requests for equipment must be incorporated into the CCI application. The maximum allowable percentage for operating, equipment and supply cost expenditures is **20%** of the total project costs to a recipient institution.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<p>Eligible Expenses</p> <ul style="list-style-type: none"> • If purchase is under \$10k, the applied research department will authorize. • If purchase is between \$10K and \$100K, 3 quotations are required to be compared and the lowest quotation will be vetted and purchased. • If purchase is over \$100K, an RFP (request for purchase) is placing on the government purchasing system and the lowest bid will be awarded the purchase (this can take up to 3 months to complete). • Policy #: 4000-2-1 - Purchasing Policy. • Policy #: 40002-2 – Disposal Policy. 	<p>Eligible Expenses</p> <ul style="list-style-type: none"> • Materials, supplies and other consumables necessary to conduct the applied research. • Small equipment to conduct the applied research. • Maintenance and operating costs of equipment used for Agency-supported applied research. • Professional and technical services. • Parts and materials for prototype development, if the prototype will be owned by the college at the conclusion of the grant. • Travel costs to visit manufacturers to select major equipment purchases (including international travel if unavailable in Canada). • Transportation costs for purchased equipment. • Extended warranty for equipment. • Brokerage and customs charges for the importation of equipment and supplies. • The costs of training staff to use equipment or a specialized facility. • Costs for safe disposal of waste. • Consulting fees for technical or professional services for operating of the project. <p>Non-Eligible Expenses</p> <ul style="list-style-type: none"> • Insurance costs for equipment and research vehicles. • Costs of the construction, renovation or rental of laboratories or supporting facilities. • Consulting fees for testing required to certify a partnering company’s product, process or service. • Consulting fees for technical or professional services from service providers who have an existing relationship with the partnering company.

LAMBTON COLLEGE	FUNDING AGENCY
	<ul style="list-style-type: none"> • Costs for the depreciation of the equipment used. • Parts and materials for prototype development, if the prototype will be owned by the company partner at the conclusion of the grant. • Expenses related to the construction, purchase or lease of a building.

PROCEDURE
<ol style="list-style-type: none"> 1. The primary investigator (PI) will identify the necessary equipment, consumables and or testing required in their applied research project and defined in the research proposal. <ul style="list-style-type: none"> • If other equipment is required not set in proposal, a justification to NSERC is required and approved prior to purchase. 2. The PI will contact the appropriate vendor to request a quotation of cost, delivery details and availability. 3. The PI will provide all information to the applied research department with a detailed justification to be verified for eligibility and approved prior to ordering by Grant Fund Administrators. <ul style="list-style-type: none"> • Please see equipment purchase cost limits and speak to the Applied Research department for further details. 4. Applied research will order the equipment / material according to quotation and college policy. 5. Once equipment / material is received, Applied Research will organized payment. 6. The equipment will be tagged with a sticker from the Agency (ex. NSERC). 7. This process applies to all College stores (ex. Book Store, Xerox, Campus). 8. Once the project is complete, the device will be returned and reallocated to other project. 9. Once the piece of equipment has been determine to have reach it end of life, the unit with be disposed (following the Lambton college Disposal policy) and the residual funds will be set into an applied research account for reallocation to other research projects.

2.8 COMPUTERS AND ELECTRONIC COMMUNICATIONS

DEFINITION

Any piece of electronic computing equipment and/or specialized software used for activities involved with Applied Research projects. These pieces of electronic equipment and/or software are identified in the applied research proposal and purchased with the applied research grant funding.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<p>Eligibility for College to Hire Researchers</p> <ul style="list-style-type: none"> • If purchase is under \$10k, the applied research department will authorize. • If purchase is between \$10K and \$100K, 3 quotations are required to be compared and the lowest quotation will be vetted and purchased. • If purchase is over \$100K, an RFP (request for purchase) is placing on the government purchasing system and the lowest bid will be awarded the purchase (this can take up to 3 months to complete). 	<p>Eligible Expenses</p> <ul style="list-style-type: none"> • Computers, tablets, modems, emerging technology and other hardware and/or specialized software required for the applied research not normally provided by the institution, and with adequate justification establishing the need in relation to the funded research. • Cellular phones, smartphone or other electronic devices when they are necessary for research purposes (e.g., data collection) and/ or for personnel safety with adequate justification establishing the need in relation to the funded research. • Monthly plan fees for electronic devices when being used for the research purposes (e.g., data collection) and/or for personal safety only. • <p>Non-Eligible Expenses</p> <ul style="list-style-type: none"> • Standard monthly connection or rental costs of telephones. • Connection or installation of lines (telephone or other links). • Voice mail. • Library acquisitions, computer and other information services provided to all members of an Institution. • Home internet costs.

PROCEDURE

1. The primary investigator (PI) will identify the necessary computers and electronic communications device in their applied research project and defined in the research proposal.
 - If other equipment is required not set in proposal, a justification to NSERC is required and approved prior to purchase.
2. The PI will contact the applied research department who will communicate with the IT department to gather a quotation and timeline for delivery of the device.
3. The PI will provide to the applied research department a detailed justification to be verified for eligibility and approved prior to ordering by Grant Fund Administrators.
4. Applied research will order the device according to quotation and college policy.
5. Once device is received, Applied Research will organized payment.
6. The device will be recorded and tracker via spreadsheet and software.
7. Once the project is complete, the device will be returned and reallocated to other project.
8. Once the piece of equipment has been determine to have reach it end of life, the unit with be disposed (following the Lambton college Disposal policy) and the residual funds will be set into an applied research account for reallocation to other research projects.

2.9 DISSEMINATION OF RESEARCH RESULTS/NETWORKING

DEFINITION

The dissemination of information regarding activities during and after an applied research project.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<ul style="list-style-type: none"> Applied Research will complete any activities regarding knowledge dissemination but will work with the Marketing department to properly brand and complete media materials. Any marketing material must have Lambton College logo and branding. 	<ul style="list-style-type: none"> Costs relating to communications activities and networking, including hosting technical lectures and workshops, and attending professional and technical conferences and lectures. Activities aimed at increasing local companies' awareness of the applied research expertise available at the institution, including literature, meetings and workshops; lectures; and meetings and workshops open to the local community to raise awareness of the institutions work and to share results that could have an economic, social and/or environmental impact. Costs of developing web-based information, including website maintenance fees. Costs associated with the dissemination of findings, i.e., through traditional venues as well as videos, CD-ROMs, and other media. Page charges for articles published, including costs associated with ensuring open access to the findings (e.g., costs of publishing in an open access journal or making a journal article open access). Translation costs associated with dissemination of findings. Costs of holding a workshop or seminar related directly to the funded research (including non-alcoholic refreshments or meal costs). Hospitality costs (non-alcoholic refreshments or meals) for networking purposes in the context of formal courtesy between the institution's staff and guest researchers and of research-related activities in the context of assemblies that facilitate and contribute to the achievement of the objectives of the projects (e.g., authorized representative meeting with Industrial partners, stakeholders, guest researchers).

PROCEDURE

1. Primary investigator must obtain the Industrial partners approval prior to any dissemination of the research project materials or activities. These activities can include meetings, conferences, technical papers or reports.
2. Once the Industrial partner has approved the dissemination of knowledge, the activities will be discussed with the applied research department who will provide support.
 - If the activities require travel for a tradeshow or conference to disseminate project information, please refer to the Travel and Subsistence Costs section for details on applying for travel approval and all eligible travel expenses.
3. The results of all dissemination activities will be reported to the applied research department prior to the activities occurrence.

2.10 RESEARCH AND TECHNOLOGY TRANSFER SUPPORT SERVICES

DEFINITION

To assist the research partner with the pre-commercialization activities related to the research project outcomes.

ELIGIBILITY GUIDELINES

LAMBTON COLLEGE	FUNDING AGENCY
<ul style="list-style-type: none"> • According to Lambton College policy the Industrial partner will own 100% of the IP of the project. • Applied Research has an Intellectual Property agreement which is reviewed and signed with all Industrial partners prior to the beginning of research activities. • Lambton College will also assist in the pre-commercialization service (patent development) with the Industrial partner. • Industrial partner is responsible for the commercialization of project. 	<ul style="list-style-type: none"> • Research planning and promotion, and public relations. • Pre-commercialization support services (e.g., intellectual property protection where appropriate, market studies, business plan development, counseling and technology evaluation). • Administration of invention patent applications. • Administration of agreements and partnerships with companies. • Support for technology licensing. • Marketing of technology; data sets and databases; software, computer models and other tools; survey instruments; and teaching materials arising from the applied research. • Most technology transfer expenses and costs must be shared with the Industrial partners. • Patenting expenses including college legal fees (for college portion of patent ownership).

PROCEDURE

1. The Primary Investigator and the Industrial partner will identify the pre-commercialization information details and inform the applied research department.
 - Ex communicate with an accelerator to transfer technical knowledge to assist the Industrial partner in the next stage of development.
2. The applied research department will determine the eligibility of the request and approve or deny on a case to case basis.
3. The Primary Investigator will work with the Industrial partner to complete the necessary work.
4. Upon completion of the activities, the Primary Investigator will report back to the Applied Research department with the detailed results of the services.

