

Roles and Responsibilities

	Grant Recipient and Delegates	Administering Institution	Tri-Agency
General	<ul style="list-style-type: none"> • Authority to use funds • Ability to formally delegate authority to use funds, who <ul style="list-style-type: none"> - have knowledge and skill necessary to exercise role effectively - must not be responsible for review and approval of payment of expenses • Formal delegation must be accessible to relevant institutional staff • Adhere to the Tri-Agency Framework: Responsible Conduct of Research 	<ul style="list-style-type: none"> • Develop and implement effective policies, administrative systems, procedures and controls to ensure compliance with legislated requirements, Agency policies and procedures and other Agency requirements • Oversee administration of grants • Ensuring appropriate use of and accounting for grant funds • Provide training on institution’s policies and practices with respect to Tri-Agency grant administration • Provide adequate physical and organizational infrastructure for research • Oversee and submit grant amendments to Agency 	<ul style="list-style-type: none"> • Sets policies, principles and directives • Communicate and consult on changes to policies, principles to grant recipients • Make funds available in a timely manner • Periodic review of the use and administration of grant funds • Oversee approval of changes to grant administration • Right to terminate a grant when Agency requirements can no longer be met
Use of Grant Funds	<ul style="list-style-type: none"> • Authorize expenditures and any adjustments (JVs) on grant account • Ensure eligibility of expenses with guide and program specific literature • Provide supporting documentation 	<ul style="list-style-type: none"> • Oversight over expenditures to ensure: <ul style="list-style-type: none"> ○ Proper authorization ○ Expense compliance with institutional policies and procedures ○ Purpose of expense is clear • Withhold or withdraw payment that contravenes agency’s requirements • At the discretion of the institution, eligible period (for pre-spending) starts when Agency formally notifies the grantee of funding decision • Keep complete and accurate records and report on the use of the grant funds (7 years) 	

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Financial Matters	<ul style="list-style-type: none"> • Ensuring eligibility of expense • Inform administering institution if a deferral of an installment is necessary • Inform those involved with the project of the outcome of extension requests • Review and sign Form 300 	<ul style="list-style-type: none"> • Ensuring eligibility of expense • Complete, approve and submit Form 300 to grant recipient and agency • Ensure secondary administering institutions carry out responsibilities via an agreement • Submission of deferral/extension requests 	<ul style="list-style-type: none"> • Reviews and authorizes extension requests • Creates reconciliation report of grant instalments
General Administration	<ul style="list-style-type: none"> • Application for ethics certificate • Ensure proper usage of purchased items • Decide on use and management of equipment with the institution • Notify and obtain approval for transfer of equipment • Report on research activities: Progress, achievement and final reports as required by funding agency 	<ul style="list-style-type: none"> • Review and approve of ethics • Disclose policy on intellectual property rights and ownership to grantee • Decide on use and management of equipment with grantee/user group 	
Administrative Changes	<ul style="list-style-type: none"> • Inform institution of changes to own eligibility to hold grant • Inform institution of plan to change primary institution • Ensuring individuals on grant team are compliant with eligibility criteria detailed in program literature 	<ul style="list-style-type: none"> • Conduct the annual eligibility confirmation exercise • Submit request to change grant recipient or members of grant team, or termination of a grant to agency via Grant Amendment Form 	

Revised April 1, 2020