SSHRC Partnership Grants
Kick Off Meeting

MAY 14, 2014
FERRIER 456
Overview

1. Introductions
2. Reporting requirements
   - Technical Reporting
   - Partnership Contribution Reporting
   - Financial Reporting
   - Subawards
   - Use of Grant Funds
4. Managing partnership projects: Best practices
5. Q & A
SSHRC Partnership Grants
Post-award management considerations

- Key differences from standard grants are:
  - Mandatory tracking and reporting of cash and/or in-kind contributions made to the project
    - Annual partner contribution statements required from each contributor
  - Technical reporting required to SSHRC over the course of the project
    - Each project is assigned a specific Program Officer who is responsible for the ongoing management of that project
  - Peer-review committee reconvened at the mid-term point to assess project progress and make recommendations regarding the continuation of funding
Reporting requirements
Reporting Requirements*

**Milestone Report**
- Due 12 months after the start date of the project
- Report focuses on progress to date.
- All projects experience delays in getting started. Be upfront about delays so that it can be taken into consideration at the mid-term review.

**Mid-Term report and review**
- Due at the mid-way point of the grant period (not including automatic no-cost extension)
- Peer-review committee evaluates the progress, based on the milestone report and mid-term report, and makes recommendation to SSHRC on the continuation of the project.

**Partner Contribution Form**
- Annual report of partner contributions received in the previous fiscal year (period ending March 31st)
- Due by May 31st each year

*SSHRC will confirm specific deadlines with grant holders several months in advance of due date*
Due by May 31st of each year

Each partner organization must sign and submit the form to the Project Director confirming the contributions made in the previous year.

Form does not need to be signed by authorized delegate of the organization but rather an individual who can attest to the contribution having been made.

Individual forms as well as a consolidated form of all contributions must be submitted to SSHRC annually.

Project office (director/coordinator) must manage the contribution statements and submit them to SSHRC.

SSHRC reserves the right to request back-up documentation proving the contribution. Project office should ensure that supporting documentation is kept.
What can be counted as a contribution?

- Cash contributions directly to the project
- Services where an established fee structure exists which is being waived (the full waived cost can be counted)
- Teaching release (cost of hiring the replacement can be counted)
- Costs must be related to direct costs of research

For more details on eligible contributions, see: http://www.sshrc-crsh.gc.ca/funding-financement/policies-politiques/cash_inkind-especes_en_nature-eng.aspx
For each Tri-Agency grant, RFMS must submit a Financial report (Form 300) for the period ending March 31st of each year (due by June 30).

Consolidated statement includes all Form 300s submitted from subaward recipient institutions.

RFMS sends consolidated statement to Project Director, who must review and sign the consolidated financial statement.

RFMS submits Form 300 to the agency.
Getting Started

FINANCIAL ASPECTS
How do I issue money to team members?

- SSHRC allows research funds to be issued to research team members appearing on the Notice of Award at the title of Co-Investigator.
- McGill must issue a subaward agreement/transfer of funds to each institution receiving research funds.

Subawards:

- Create a legal relationship between institutions to ensure compliance with regulations, including:
  - Financial Administration (account management, record keeping, use of research funds, etc.)
  - Financial reporting
  - Responsible conduct of research (ethics, research integrity, etc.)

- Provide an opportunity for research team to include language on reporting, intellectual property, governance, etc.

- Subrecipient is usually required to submit financial and technical reports earlier than the sponsor deadline for the prime institution.
Total grant is awarded to McGill. McGill is responsible for reporting to the sponsor. 
*For the sponsor, the relationship is uniquely between them and McGill.*

McGill can prepare subaward agreements which flow down portions of the funds, along with agency terms and conditions, to the collaborating institutions.
Roles and Responsibilities – Subaward agreements

Principal Investigator
- Manages the intellectual direction of the research project
- Determines and monitors project activities in collaboration with team members
- Requests the Subaward/amendments as required
- Advises central offices about any necessary changes to agreement

McGill – Central Offices (OSR, RFMS)
- Prepares and executes Subaward agreements & amendments on behalf of McGill
- Liaises with sponsor
- Clarifies terms and conditions for recipient institution
- Follows up with recipient institutions if audited

Subrecipient Institution
- Negotiates and signs the agreement on behalf of the institution
- Ensures compliance with terms and conditions
- Liaises with McGill
- Notifies McGill of required changes to the terms of the agreement
- Provides supporting documentation to McGill, as required
Planning subawards for co-investigators

<table>
<thead>
<tr>
<th>Co-Investigator Name</th>
<th>Co-Investigator Institution</th>
<th>Amount to be issued for 2014-15 (in CAD)</th>
<th>Scope of Work describing project-related activities to be supported</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jane Doe</td>
<td>University of Alberta</td>
<td>$15,000</td>
<td>Research Assistant to do data collection related to Sub-project 2</td>
</tr>
</tbody>
</table>

Requests for subawards should be sent via email to Amy in OSR (amy.larin@mcgill.ca).
Scopes of Work

- In consultation with research team, Project Director should develop Scopes of Work for each anticipated subaward agreement.

- As a best practice, a Scope of Work should describe the expectations and requirements of the Prime Institution from the subrecipient, including:
  - Anticipated activities and outcomes
  - Timelines for the achievement of deliverables
  - Expected method to meet the deliverables
  - Budget breakdown by cost categories
  - Reporting schedule to the PI/team

Scopes of work are to the Project Director’s advantage as they outline the expected activities and can be used to resolve disputes between parties.
Use of Grant Funds

- All expenses must follow the use of grant funds section of the Tri-Agency Financial Administration Guide (TAFAG).
- Note that when recommending a proposal for funding, SSHRC peer-review committees evaluate the feasibility and appropriateness of the amount requested in relation to the activities proposed. They do not pronounce themselves on the eligibility of expenses contained in a proposal budget. All expenses must still conform to the TAFAG.
- All expenses must be allowable by agency guidelines but also be directly related to the advancement of the project objectives.
Frequently Asked Questions
Changes to the project

Can changes be made to the project plans?
- Yes, provided that the research activities continue to support the broad objectives for which the proposal was awarded funding, Project Director has authority to determine the intellectual direction of the research.

Can expenses be reallocated?
- Yes, provided the expense is eligible according to agency guidelines and is related to the research objectives, grant holders have full authority to determine how the funds are spent in support of the project’s objectives.

Can a new research team member be added to a grant after it has been awarded?
- Yes, grant holders can add or remove members of their research team at any time over the course of the project. Contact Amy in OSR for more details.
Frequently Asked Questions
Financial Management

- **Who can authorize or initiate expenditures on SSHRC grants?**
  - The PI authorizes expenditures. No one may initiate or authorize expenditures from a grant account without the PI's delegated authority.
  - PI must delegate temporary signing authority to Chair in order for Chair to sign on PI’s behalf. Even though the Chair is PI’s supervisor, it does not mean that the Chair has automatic authority to sign on behalf of PI.
  - For reimbursement of claims charged to a Tri-Agency grant the following applies:

<table>
<thead>
<tr>
<th>Claimant</th>
<th>Signature Required By</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student</td>
<td>Principal Investigator</td>
</tr>
<tr>
<td>Visiting Researcher</td>
<td>Principal Investigator + Chair</td>
</tr>
<tr>
<td>Principal Investigator or Principal Investigator’s Delegate</td>
<td>Chair</td>
</tr>
</tbody>
</table>
Who can be paid using SSHRC funds?

Any research personnel who are ineligible to apply for SSHRC grant funding (does not include scholarships and fellowships) as the PI can be paid using grant funds.

Research personnel who hold any academic appointment which makes the individual eligible to apply for grants (even if they do not hold any grants) cannot be paid using Tri-agency grant funds, even if the tasks to be undertaken are not related to their academic appointment.

Can unspent funds be carried forward?

All unspent funds can be carried forward from one year to the next until the end of the term of the grant, including any extension period without prior approval from the agency.
Managing Major Projects

BEST PRACTICES
Best Practices

- **Hire a Project Manager/Project Coordinator**
  - Partnership Grants allow the salary of a Coordinator/Manager.
  - McGill’s Research Administration Network, has many training resources for project staff.
  - See: [http://www.mcgill.ca/research/ran](http://www.mcgill.ca/research/ran)

- **Ensure all team members understand their role and responsibility within the project**
  - OSR has a template Collaboration Agreement that can be issued to all participating institutions that confirm the governing principles of the project (non-financial aspects). Contact Amy for more details.

- **Ensure governance structure, including dispute resolution structures are well-defined**

- **Manage the sub-site activities by requiring reports from subaward recipients**
  - If funds are not being spent, Project Director can modify the instalments to be issued for future years. Contact OSR for more details.
Who to Contact?

Office of Sponsored Research
- Changes to Fund parameters & questions related to the agency terms and conditions
- Liaison with agencies regarding award management
- Issuance of sub-awards to other institutions (ineligible institutions)
- Signature of the Partner Contribution Form for the VPRIR contribution

Research Financial Management Services
- Fund account information
- Eligible expenses
- Statements of Account (Form 300)
- Issuance of sub-awards to Canadian institutions
Key Contacts

- **Office of Sponsored Research**
  Amy Larin, Senior Awards Officer
  Amy.larin@mcgill.ca
  398-4803

- **Research Financial Management Services**
  Natalina Clemente
  Natalina.clemente@mcgill.ca
  398-5998

- **Financial Services Team (FST) member**
  [https://www.mcgill.ca/financialservices/researchers/fst-teams](https://www.mcgill.ca/financialservices/researchers/fst-teams)
Thank you!

Q & A