

Institutional Eligibility to Administer Tri-Agency Funding for Non-Academic Research Institutions:

Lessons learned from a recent applicant

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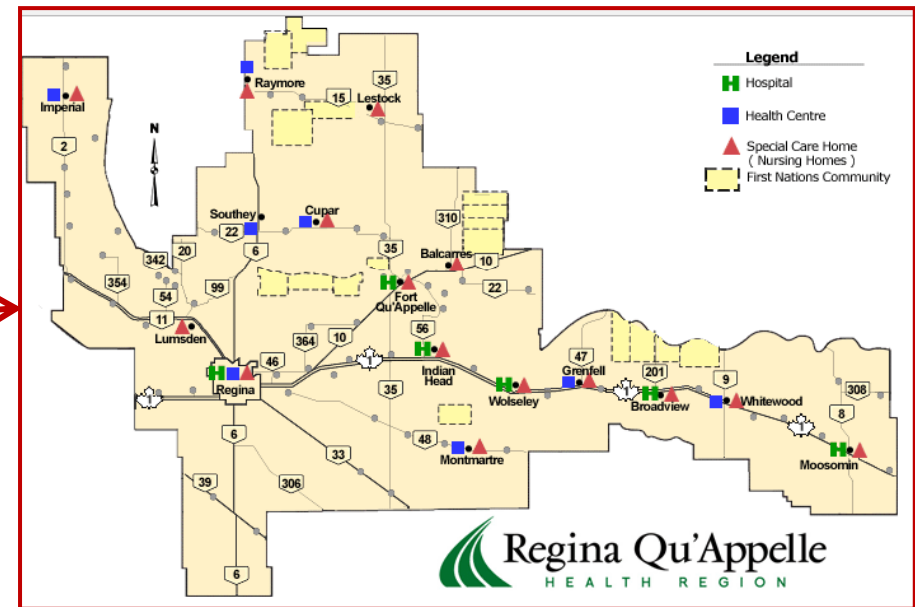




- **I do not work for the Tri-Agencies**
 - I do not represent their views
 - I do not claim to be an expert on their regulations/processes/administration
- **I represent the experience of an organization** that has recently applied for CIHR-eligibility to administer funds



- The Canadian Institutes of Health Research (**CIHR**), the Natural Sciences and Engineering Research Council of Canada (**NSERC**), and the Social Sciences and Humanities Research Council of Canada (**SSHRC**), **collectively the “Tri-Agencies,”** have harmonized their institutional eligibility requirements
- The **RQHR applied to obtain CIHR-eligibility**. The majority of the information contained in this presentation is applicable to NSERC and SSHRC as well, however there may be slight agency-specific variations in requirements



The RQHR is the largest health care delivery system in southern Saskatchewan

- Regional Health District
 - Employs ~11,000 employees (including 700 physicians)

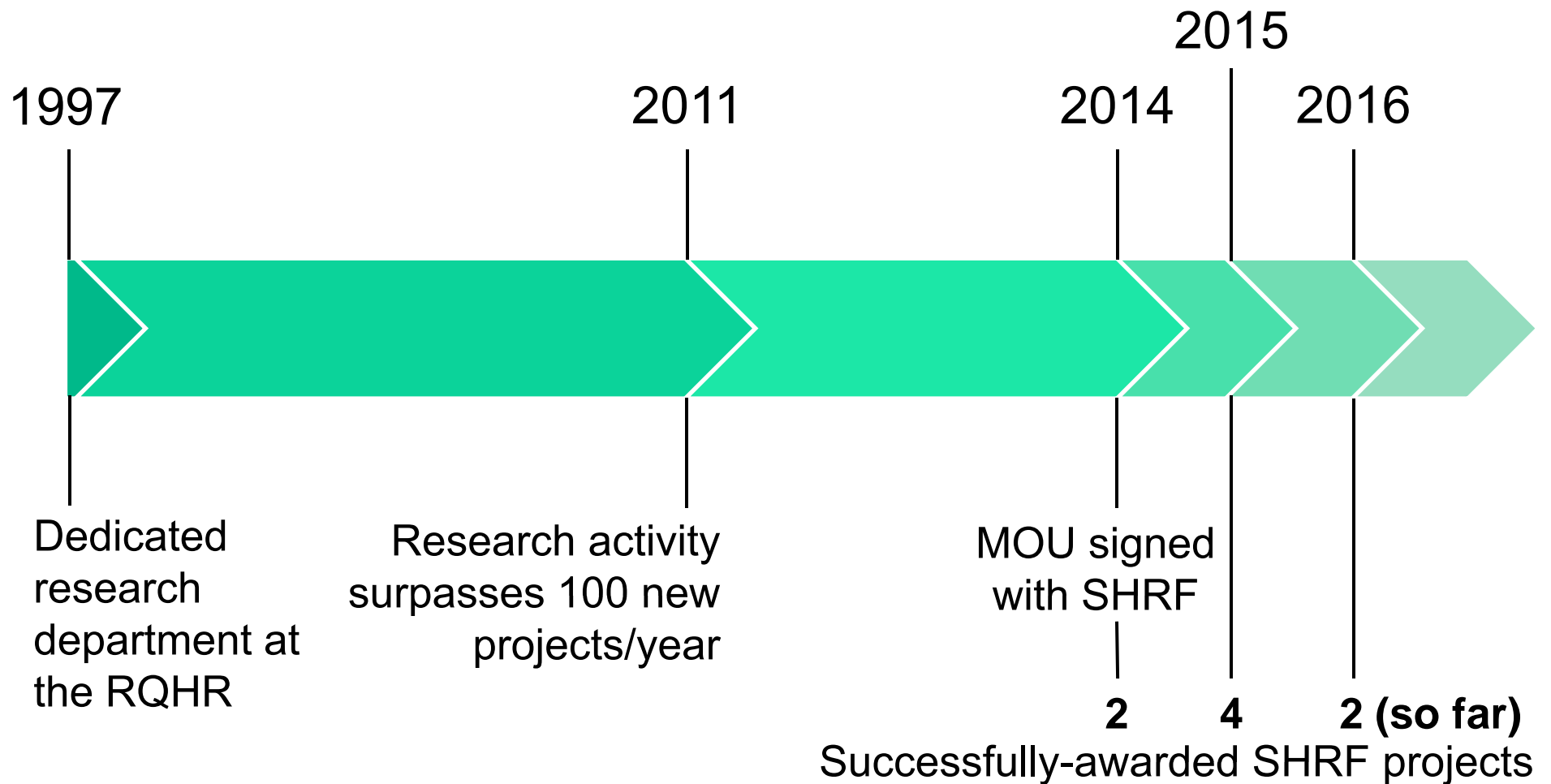


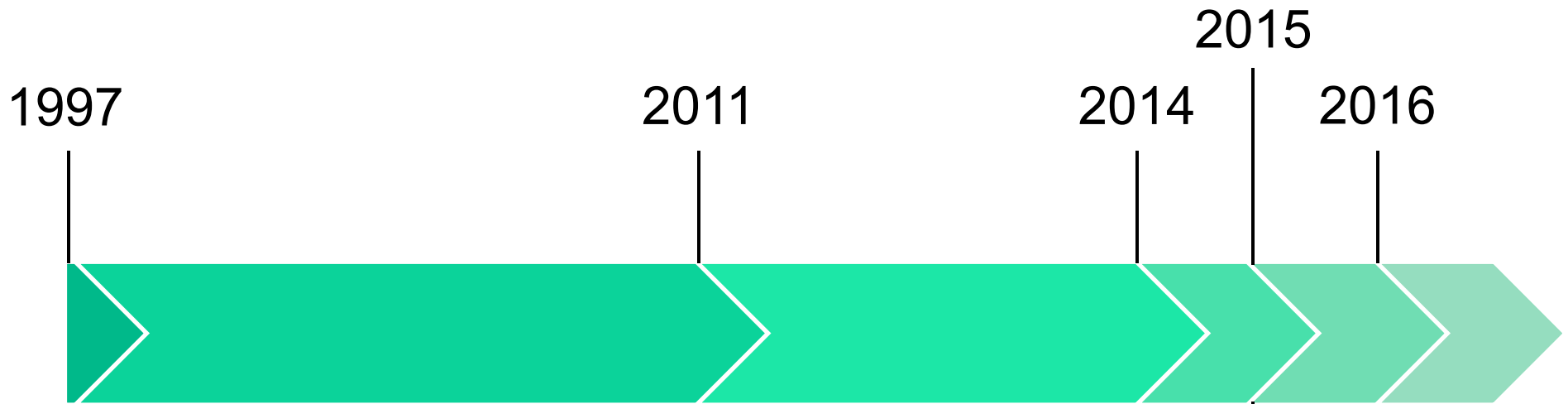
- Includes the Regina campus of the University of Saskatchewan College of Medicine

- No formal research affiliations with academic institutions
- Department of Research and Performance Support



The Road to Tri-Agency Funding





1 of the successful grants was co-funded by a national organization that stipulated we needed to be CIHR-eligible to hold funds!

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Successfully-awarded SHRF projects

Information taken from: <http://www.cihr-irsc.gc.ca/> - "*Institutional Eligibility to Administer CIHR Grant and Award Funds*"

- **CIHR awards funds to recipient's institution**, not directly to the recipient (Principal Investigator)

In order to promote applications from as many qualified health researchers as possible, **CIHR accepts applications from Nominated Principal Applicants from the following institutions/organizations:**

- Canadian post-secondary institutions
- Canadian non-governmental, not-for-profit organizations
- **Canadian non-federal government departments or agencies (regional health authorities)**
- Other organizations whose research activity falls within mandate of CIHR

Information taken from: <http://www.cihr-irsc.gc.ca/> - “*Institutional Eligibility to Administer CIHR Grant and Award Funds*”

- **CIHR awards funds to recipient's institution**, not directly to the recipient (Principal Investigator)
- Institution then administers a dedicated account for the recipient to access funds
- Institution must first apply to obtain CIHR Common Grant and Award account

The **following criteria must be met:**

- Sign the *Agreement on the Administration of Agency Grants and Awards by Research Institutions*
- Complete “eligibility requirements process”

Requests for **institutional eligibility considered when:**

- Institution is not already affiliated with an eligible institution **AND** has ≥ 1 individual successfully awarded CIHR funding
- OR**
- Institution is affiliated with eligible institution **AND** has ≥ 5 individuals successfully awarded CIHR funding

Sets out **general terms and conditions** governing administration of grants and awards by institution

Institution must:

- Provide space/infrastructure for research activities to take place
- Develop/implement policies, procedures, and controls to ensure research activities comply with legislation, Agency policies and procedures, grant/award-specific requirements
- Verify and endorse the eligibility of each applicant, monitor eligibility status throughout term of award, inform Agency of changes

Institution must:

- Administer/expend funds in accordance with Tri-Agency Financial Administration Guide
 - Maintain separate accounts
 - Ensure expenditures are authorized
 - Keep complete/accurate records, provide financial reports
- Comply with open access, public communication, and intellectual property policies

“Institution must be engaged in research, research training and related activities, in Canada. The institution must also recognize the vital importance of research, the new knowledge and applications that it creates, the knowledgeable and skilled human resources developed through the process of conducting research, as well as the importance of peer review, which ensures that funded research meets the highest standards of excellence.”

-<http://www.science.gc.ca/default.asp?lang=En&n=3D5FA603-1>

Supporting documentation:

- Short history of institution
- Mission statement
- Policy on research
- Current strategic plan
- Research mandate
- Latest annual report
- Statement of Canadian incorporation or constitution, information on governance structure, constitution of board of governors
- Status of institution (is institution affiliated with another institution?)

“Institutions must promote and assist research and, therefore, must develop and implement effective policies, administrative systems, procedures and controls to ensure that the funds are used as effectively as possible, are accounted for to the Canadian people for their use, allocation and outcomes, and that the activities supported are conducted in accordance with the highest ethical and financial standards.”

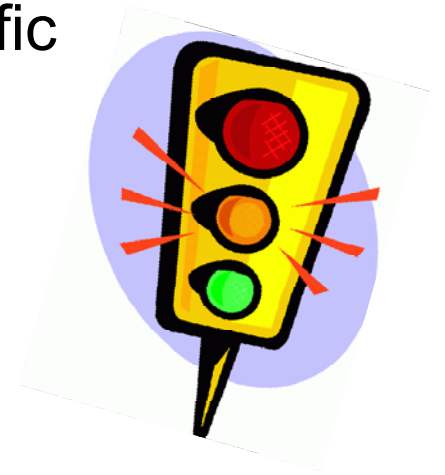
-<http://www.science.gc.ca/default.asp?lang=En&n=3D5FA603-1>

Supporting documentation:

- Audited financial statements for last two years
- Completed Financial Management Risk Assessment Questionnaire
- Statement that institution has policy that follows TCPS 2
- Statement that institution has policy that follows Tri-Agency Framework: Responsible Conduct of Research
- Statement that institution maintains Certificate of Good Animal Practice (if research on animals is conducted)

Institution must:

- ✓ Not already be affiliated with an eligible institution
- ✓ Support research
- ✓ Meet financial administration requirements
- ? Develop/implement policies, procedures, and controls to ensure research activities comply with legislation, Agency policies and procedures, grant/award-specific requirements

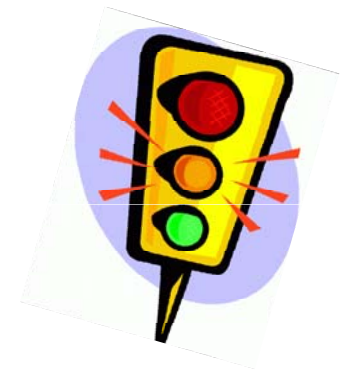


- ❖ Develop/implement policies, procedures, and controls to ensure research activities comply with legislation, Agency policies and procedures, grant/award-specific requirements

The RQHR had one policy relating to research:

“All research involving human subjects that is conducted within the Regina Health District, under its auspices, must be approved by the Regina Health District’s Research Ethics Review Committee prior to commencing.”

- ✘ Reference to TCPS 2 & Tri-Agency Framework
- ✘ Scholarly Integrity
- ✘ Managing external funds



The **RQHR** now has **7** policies relating to research:

1. Ethical Conduct of Research and Other Studies Involving Human Participants
2. Operational Approval for Research
3. Scholarly Integrity
4. Intellectual Property
5. Data Storage and Retention
6. Externally Funded and/or Sponsored Research
7. Indirect Costs of Research



Institution must:

- ✓ Not already be affiliated with an eligible institution
- ✓ Support research
- ✓ Meet financial administration requirements
- ✓ Develop/implement policies, procedures, and controls to ensure research activities comply with legislation, Agency policies and procedures, grant/award-specific requirements
- ✓ ≥ 1 individual successfully awarded CIHR funding

- ❖ ≥ 1 individual successfully awarded CIHR funding

- ✓ One of our investigators successfully awarded a SHRF grant co-funded by an organization that receives its funding through the Government of Canada through the Networks of Centres of Excellence (NCE)
 - NCE jointly administered by Tri-Agencies

So...that means we've got an investigator who was successfully awarded Tri-Agency funding...right??



- ❖ ≥ 1 individual successfully awarded CIHR funding
- ✘ Being a “secondary recipient” of Tri-Agency funds doesn't count

- ❖ ≥ 1 individual successfully awarded CIHR funding **directly from the agency as a Principal Applicant**



They won't give me CIHR
funding because I'm not
an eligible institution



I can't become an eligible
institution because I don't
have funding

Many organizations (not including the Tri-Agencies) wrongly believe that an Institution must be “eligible” to receive Tri-Agency funds



The screenshot shows the CIHR website header with the Government of Canada logo and navigation links. The main navigation bar includes: Funding, Institutes, College of Reviewers, Initiatives, Collaboration, and Health research in action. A search bar is visible on the right. Below the navigation bar, a breadcrumb trail reads: Home → Funding → Overview. A sidebar on the left shows a menu with 'Funding' and 'Overview' options. The main content area displays the title: **List of CIHR Eligible Institutions Authorized to Administer Grant and Award Funds**.

If they don't find the Institution online, they think they can't issue funding to that Institution

Funds can be transferred **from a Primary Institution** in direct receipt of Agency funds (upon authorization of the grantee) **to a Secondary Institution** in order to facilitate research collaboration

1. From an eligible Primary Institution to an eligible Secondary Institution
2. From an eligible Primary Institution to a non-eligible Secondary Institution (CIHR and SSHRC only)
 - Primary Institution retains all responsibilities and accountabilities for funds
 - Primary Institution must ensure a **letter of agreement with the Secondary Institution** is in place
 - **Letter of transfer of funds** signed by Secondary Institution

I guess we don't NEED to be an eligible institution...



- ❖ ≥ 1 individual successfully awarded CIHR funding

A separate RQHR-affiliated investigator was awarded a CIHR Planning and Dissemination Grant (as the Principal Applicant) – Notice of Decision October 2016



Institution must:

- ✓ Not already be affiliated with an eligible institution
- ✓ Support research
- ✓ Meet financial administration requirements
- ✓ Develop/implement policies, procedures, and controls to ensure research activities comply with legislation, Agency policies and procedures, grant/award-specific requirements
- ✓ ≥ 1 individual successfully awarded CIHR funding

Our application for institutional eligibility is currently under review

1. Make sure you **NEED** to be an eligible institution to hold funds
 - Are you the Principal Applicant for a grant or award?
 - Or are you a Secondary Institution being transferred funds from a Primary Institution?
 - What are the specific grant requirements?
2. Make sure your institutional **research policies/procedures comply** with the Tri-Agency Framework and TCPS 2
3. Engage your Finance Department to make sure all of the **appropriate administrative requirements** can be met
4. When in doubt, **contact the agency!**

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