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Research Development Manager

FSS Building, Room 5039F
Telephone: 613-562-5800, Ext. 2578

The Research Development Manager is responsible for the general management of the Faculty’s research activities. This includes the development and technical support of research grant and contract proposals. She formulates strategies to increase the Faculty’s participation and success rate in obtaining external funding, from all sources. She is also responsible for implementing strategies and activities designed to promote research-related activities and achievements at the Faculty. She actively participates in the Faculty’s research promotion activities.

Administrative Officer, Research

FSS Building, Room 5039G
Telephone: 613-562-5800, Ext. 1701

The Administrative Officer, Research is responsible for planning, organizing and managing all administrative and operational Research activities. She works closely with researchers, central services, the Faculty’s units and departments, affiliated institutes and external organizations to ensure that research projects are well-coordinated and operate smoothly. She provides advice and support related to managing research projects to researchers, administrative personnel and professors. She also develops and implements best practices and rules to improve research fund management at the Faculty of Social Sciences. She is responsible for final approval of all invoices and reimbursements paid for with research funds.

Financial Officer, Research and Trust

FSS Building, Room 5039
Telephone: 613-562-5800, Ext. 1854

The Financial Officer, Research and Trust is the resource person in the Office of the Vice-Dean for Research for the financial management of all research funds. She is also the resource person for the centres, institutes and research chairs. She is responsible for administering and managing the Canadian Foundation for Innovation (CFI) funds. She is also responsible for payment of all invoices and reimbursements paid for with social science research funds and for preparing journal entries and any
other administrative documents related to the research funds for which she is responsible. She also manages material, physical and computer resources.

**Administrative Assistant**

FSS Building, Room 5039

Telephone: 613-562-5800, Ext. 1698

The Administrative Assistant’s functions involve a variety of administrative, financial, secretarial and reception tasks for all management-related activities in the Research sector. She prepares all salary requisitions, travel reimbursements, reimbursement requests, invoices and any other administrative documents related to the funds for which she is responsible. She also provides support services for events planning, colloquia and receptions for the centres, chairs and research institutes.

**Administrative Assistant**

FSS Building, Room 5039

Telephone: 613-562-5800, Ext. 5908

The Administrative Assistant’s functions involve a variety of administrative, financial, secretarial and reception tasks for all management-related activities in the Research sector. She prepares all salary requisitions, travel reimbursements, reimbursement requests, invoices and any other administrative documents related to the funds for which she is responsible. She also provides support services for events planning, colloquia and receptions for the centres, chairs and research institutes.

**SCHOOL OF PSYCHOLOGY**

**Administrative Officer**

Vanier Building, Room 2002J

Telephone: 613-562-5800, Ext. 4177

The Administrative Officer is responsible for managing the School of Psychology administrative activities. She allocates and manages the school’s financial, material and physical resources and prepares, coordinates and manages the School’s budget. She also plans and coordinates all activities related to space allocation and maintenance. She is the resource person for budget, grant and administrative issues.
RESEARCHER’S RESPONSIBILITIES

- The researcher is responsible all research activities as well as the research funds provided through the University or to researchers in other organisations
- Conduct the research in the most cost-effective way possible
- Notify Research Management Services (RMS) of all major changes to the nature of the research being conducted
- Notify RMS of all status changes
- Compliance with all University and Tri-Agency policies and procedures

To ensure the University meets its responsibilities, it has established a series of policies and procedures in order to:

- Comply with the regulations of funding bodies;
- Manage funds;
- Be accountable to funding agencies and other University stakeholders; and
- Conduct research according to the highest standards of professionalism, safety and ethics.

Researchers are both employees of the University and are involved in carrying out research projects. The University delegates the overall responsibility for ensuring these research projects run smoothly and are well-managed to its researchers;

The University supports researchers by providing a structure that allows researchers to conform to the requirements of the University and outside agencies, manage research funds and deal with funding agencies.

Relevant documents

- Responsible conduct of research
- Policy 48 – Grants and Contracts Administered by the University
- Roles and responsibilities – Tri-Agency

GRANT OR RESEARCH CONTRACT?

What is the difference between a contract and a grant? The difference is neither about the dollar amount nor the type of research being done. The difference is in whether there is a legal obligation of the parties to produce results, or deliverables, within a specific deadline (a contract) or whether a funding is provided without the requirement for results (a grant).

A contract is a legally binding document in which the parties make promises to deliver a result in exchange for funds.
A grant involves funds provided to a researcher from an agency with the expectation of results—but without a legal requirement for achieving them. If the research project is successful, the researchers may receive more funding. However, if the results are not satisfactory, the funding agency may end the funding, meaning of course an end to the research project.

<table>
<thead>
<tr>
<th>Grant</th>
<th>Contract</th>
</tr>
</thead>
<tbody>
<tr>
<td>Usually a simple award letter</td>
<td>Legally binding agreement</td>
</tr>
<tr>
<td>Research proposal is well defined; normally no formal agreement</td>
<td>A defined scope of work outlining goals, research plan, obligations and responsibilities as well as the budget</td>
</tr>
<tr>
<td>Likely no confidentiality restrictions</td>
<td>Requirement to sign an agreement, i.e. proprietary data or knowledge (NDA)</td>
</tr>
<tr>
<td>Ownership of any intellectual property resides with the institution</td>
<td>Intellectual property rights and ownership clauses are negotiated and clearly defined; funding body retains the right to use research results</td>
</tr>
<tr>
<td>Unrestricted rights to publish research results without consulting the funding agency</td>
<td>Researchers must respect publication rights, such as pre-review by funding body</td>
</tr>
<tr>
<td>Annual renewal possible; no termination provisions</td>
<td>Termination provisions</td>
</tr>
<tr>
<td>Flexible time frame; no detailed schedule of work; research proposal and direction lies with the researcher</td>
<td>Detailed research schedule, including milestones and date for final deliverables. Restrictions on scope of research</td>
</tr>
<tr>
<td>Flexible deliverables (usually a progress or final report)</td>
<td>Specific deliverables, report requirements and timelines defined</td>
</tr>
<tr>
<td>Payment in advance; generally lump-sum payments (not necessarily based on deliverables)</td>
<td>Payment may be made in arrears and tied to milestones and deliverables. Little budget flexibility – establishes firm, detailed budget</td>
</tr>
<tr>
<td>The project or budget can be changed without notice to the funding agency</td>
<td>Changes to scope of work/budget require consent of funding body</td>
</tr>
<tr>
<td>Generally no honorarium for principle investigator</td>
<td>Investigator honorarium may be included in budget</td>
</tr>
</tbody>
</table>

**NON-RESEARCH TRUST FUNDS**

**Definition**

A trust fund is an asset, usually a sum of money, granted to a trustee responsible for administering the asset in accordance with instructions for carrying out specific activities or achieving certain goals. A trust fund may fall under one of two broad categories, namely:

- **Expendable fund** - A fund where the capital and interest earned, if applicable, may be spent
**Non-expendable fund** - A fund where the capital cannot be spent; only the interest earned may be spent

Under this policy, “trust funds” include monies collected from the public or any source outside the University for a specific purpose (such as a conference, special activity, etc.) and spent for this purpose.

**Approval**

Before a trust fund is accepted on behalf of the University, it must be approved by one of the following groups, depending on the purpose of the fund.

**Faculties and services:** Trust funds for conferences, conventions and seminars that are not supported by grants or contracts from outside agencies (requires the signature of the dean)

**Research services:** Trust funds for all grants and research and service contracts (see Policy 48)

**Student services:** Trust funds for student assistance and student activities

Trust funds that do not fall into one of the above categories must be approved by the Administrative Committee.

**NOTE:** All trust funds are non-research funds and that all contractual agreements between the University and external agencies must be reviewed by Technology Transfer and Business Enterprise (TTBE).

For more information on the administration of trust funds, please contact the Administrative Officer, Research or consult Policy 85.

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**CENTRAL SERVICES AT THE UNIVERSITY**

**RESEARCH MANAGEMENT SERVICES**

The Research Management Services (RMS) team is responsible for ensuring the sound management of grants and also ensuring that research is responsibly conducted. They aim to help our researchers be more successful by:

- Working closely with Faculty and institute research facilitators and with researchers on project and proposal development;
- Communicating and promoting research funding opportunities through our website, interactive tools and research distribution list (Listserv);
- Helping researchers and their administrative support staff manage grant funds by offering information and advice on internal and external policies and procedures;
- Acting as central liaison with the research funding bodies on administrative matters as the need arises;
- Producing and interpreting meaningful statistical data; and
Managing central granting programs intended to help researchers succeed at peer-reviewed grant competitions and to promote internal strategic initiatives.

Research Management Services Team

**Terry Campbell**  
Executive Director  
613-562-5800, Extension 1242

**Paul Bélanger**  
Assistant Director, Research Operations  
(613) 562-5800, ext. 1240

**Christian Beaulé**  
Assistant Director, Strategic Services  
(613) 562-5800, ext. 1926

**Anne Desrochers** (SSHRC and other FSS funds)  
Grants Officer  
613-562-5800, Extension 1215

**Alan Fleichman** (CIHR)  
Grants Officer  
613-562-5800, Extension 1245

**André Lalonde** (NSERC)  
Grants Officer  
613-562-5800, Extension 2523

**Francine Payant** (Research contracts)  
Research partnerships assistant  
613-562-5800, poste 2720

---

**OFFICE OF RESEARCH ETHICS AND INTEGRITY**

Any research project involving human subjects, whether funded or not, must receive the approval of one of the Research Ethics Boards (REB) prior to the start of the project.

It is the responsibility of the professor as researcher, as thesis supervisor and as lecturer to ascertain whether or not a project requires an ethical review. This may be done by consulting the Protocol officer for ethics in research.

**Submission dates**

The application for ethical approval is to be received by the **first three working days** of the month.

The Research ethics boards meet **every month** except during the month of July.

**Release of funds (Form 1B)**

There are instances where a project is not yet ready to be reviewed by a Research Ethics Board (REB) because the development of research methodology or instruments has not progressed to the point where a full ethics protocol can be submitted to the REB, yet where interim funding is needed from the grant funds in order to enable preparatory work to be conducted.
FORMS AND INFORMATION

The following forms are available at: http://research.uottawa.ca/ethics/submission-and-review

- Eligibility criteria for ethics review level
- Ethics Application Checklist
- Project submission form
- Sheet for extra names of co-investigators
- Research based on secondary use of data
- Modification to research project
- Course outline that requires research
- Release of funds (1B)

TECHNOLOGY TRANSFER AND BUSINESS ENTERPRISE

The Mission of the Technology Transfer and Business Enterprise (TTBE) is to provide services to the University of Ottawa research community that will increase the impact of research through the creation of strategic partnerships fostering innovation and facilitating technology development and commercialization.

The TTBE office helps establish strategic partnerships that provide new opportunities for collaborative research, technology development and commercialization. TTBE provides a number of services to University of Ottawa researchers and helps to contract research and technology development funding bodies through six major activities:

- Facilitation of contract research
- Development of new collaborative research opportunities
- Disclosure and evaluation of research discoveries
- Protection of research discoveries and intellectual property
- Transfer of research discoveries to partners
- Development of commercialization opportunities for research discoveries

TTBE staff

D. Joe Irvine, MBA, MSc
Director, TTBE
Telephone: 613-562-5842

Joanne R. Lauzon
Assistant Director, Research Partnerships
Telephone: 613-562-5800, Extension 1247
FINANCIAL SERVICES

Financial Services handles the administration and direction of all financial services, including accounting, research and trusts, client accounts and taxation.

Responsibilities and objectives of Financial Services

To establish financial policies and procedures and ensure that the policies and procedures of the University as well as the standards of agencies providing research funding are followed:

- Maintain appropriate internal controls
- Ensure sound use of University funds, in accordance with the policies of the University and external agencies
- Identify irregularities and work with the manager to find a solution
- Offer managers financial expertise to assist them in fulfilling the responsibilities of their positions
- Prepare financial reports, applications and invoices for research funding agencies

Should you need to contact Financial Services, please first contact your grant or contract administrator (see administrative staff list).

Financial reports

Tri-Agency financial reports

The University is required to submit to the Tri-Agency an annual statement of expenditures signed by the designated official, for every grant each year for the period ending March 31st using the Form 300 entitled “Grants in aid of research – Statement of account”.

If the copy of the Form 300 that was sent to the agencies if not signed by the grantee, the University must keep a copy of the Form 300 signed in their internal files.

The financial reports are sent to the Administrative Officer, Research at the Faculty and then scanned and sent to the researchers for their signature. Signed forms can then be sent by e-mail, fax or delivered in person. Once verified, they are sent to financial services.

Financial services are responsible for the production as well as sending all financials reports for all research grants and contracts. If you require any information regarding financial reports, please communicate with your grant administrator.
The administration of research funds at the University of Ottawa is carried out by numerous centralized and decentralized units, teams and individuals. With ever increasing administrative and accountability requirements being imposed by our research sponsors, it is essential that all who participate in the administration of research funds understand the nature and importance of their contributions to the sound management and administration of the research funding entrusted to us by our research sponsors.

Effective administration and management of research funds begins with the person to whom a grant or contract is awarded, often referred to as the “Award Holder” or “Grantee” or “Principal Investigator”, to whom we will refer as the “Researcher” in this document.

The Researcher clearly has full responsibility for the conceptualization, scientific conduct of a project and overall sound scientific and financial management of a project. Yet, effective administration of research funding, in compliance with all administrative, financial management, and regulatory requirements clearly goes beyond the expertise of any single individual. In order for Researchers to be able to conduct their work and meet their obligations as scientific leaders and managers, they must rely on a variety of administrative support and information systems provided through the University.

In broad terms, the operational management of research is highly decentralized at the University of Ottawa, with the great majority of administrative transactions being handled at the departmental, faculty of institute level. Other services are provided centrally, such as research contract negotiation, approval of account openings and fund advances, certain purchasing services, financial reporting, and regulatory compliance programs. All must work seamlessly together if we are to meet our collective responsibilities to our Researchers and our research sponsors.

The purpose of this document is to clarify the roles and responsibilities for the following units, teams and individuals involved in the administration of our research funding:

- Researchers
- Faculties / University Institutes and Centers
- Office of the Vice-President, Research and sub-units
- Financial Services
- Procurement Services
- Human Resources Service

BUDGETARY PLANNING

SSHRC, NSERC and CIHR – Budget Reduction
Often, the budget granted by the three funding agencies represents only a portion of the budget requested. Therefore, we suggest that you reapportion your budget as soon as you receive your notice of decision or one you receive comments directly from SSHRC.

**Budget changes**

According to the agencies:

“All conditions specified in the formal grant notification and relevant program requirements must be respected. Unless otherwise specified, grantees may generally deviate from the proposed research activities and/or schedules. Furthermore, they are not required to adhere strictly to the allocation of funds set out in the application as long as they use their grant for the broad purpose for which it was originally awarded. However, major changes in research objectives require prior Council approval.”

**Responsibilities and accountability**

Here is an example of a typical budget requested by SSHRC.

### Funds Requested from SSHRC

For each budget year, estimate as accurately as possible the research costs that you are asking SSHRC to fund through a grant. For each Personnel costs category, enter the number of individuals to be hired and specify the total amount required. For each of the other categories, enter the total amount required.

<table>
<thead>
<tr>
<th>Personnel costs</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student salaries and benefits/Stipends</td>
<td>15</td>
<td>22,710</td>
<td>15</td>
</tr>
<tr>
<td>Masters</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Doctorate</td>
<td>2</td>
<td>21,870</td>
<td>2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-student salaries and benefits/Stipends</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postdoctoral</td>
</tr>
<tr>
<td>Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Travel and subsistence costs</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant/Team member(s)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Canadian travel</td>
<td>1,000</td>
<td>1,000</td>
<td>1,000</td>
</tr>
<tr>
<td>Foreign travel</td>
<td>4,000</td>
<td>4,000</td>
<td>4,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Students</th>
<th>Year 1</th>
<th>Year 2</th>
<th>Year 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian travel</td>
<td>1,000</td>
<td>1,000</td>
<td>1,000</td>
</tr>
<tr>
<td>Foreign travel</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professional/Technical services</td>
</tr>
<tr>
<td>Supplies</td>
</tr>
<tr>
<td>Non-disposable equipment</td>
</tr>
<tr>
<td>Computer hardware</td>
</tr>
<tr>
<td>Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other expenses (specify)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Field Work</td>
</tr>
</tbody>
</table>

Total | 54,976 | 56,366 | 57,806 |

For this example, we will look only at year one.

**Based on the budget justification submitted to SSHRC, this project requires the following for the first year:**

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount Requested</th>
</tr>
</thead>
<tbody>
<tr>
<td>A doctoral student</td>
<td>$21,870</td>
</tr>
</tbody>
</table>
Let us assume that SSHRC awards this project a total of $35,000 for the first year and the same reductions apply in following years. This means that the planned budget must be revised to accommodate the reductions. Here is an example of a reapportioned budget for the year:

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount Requested</th>
<th>Reapportioned Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>A doctoral student</td>
<td>$21,870</td>
<td>$15,000</td>
</tr>
<tr>
<td>A master’s student</td>
<td>$22,710</td>
<td>$12,000</td>
</tr>
<tr>
<td>Researcher’s travel</td>
<td>$5,000</td>
<td>$3,500</td>
</tr>
<tr>
<td>Students’ travel</td>
<td>$1,000</td>
<td>$1,000</td>
</tr>
<tr>
<td>Supplies needed for the project</td>
<td>$3,196</td>
<td>$2,500</td>
</tr>
<tr>
<td>Field Work</td>
<td>$1,200</td>
<td>$1,000</td>
</tr>
<tr>
<td>TOTAL</td>
<td>$39,967</td>
<td>$35,000</td>
</tr>
</tbody>
</table>

According to the explanation provided by SSHRC, a researcher must achieve the general objective for which the funds were awarded. SSHRC and the University will not question minor budget changes and you are not required to have them approved.

If you require any further instructions on budgetary planning, please communicate with your grant administrator.

TRIP planning – conferences and field work

Transportation, accomodations, per diem

Business trips are oftentimes a large component of a research grant. Whether it is for participation in scientific conferences or research in the field, the expenses are often high. Since it is necessary to travel in the most economical way possible, it is necessary to plan the trip well in advance. Here are some tips to ensure a low-cost travel.

1. Book your flight well in advance. You can book directly with Air Canada or with a company like Travelocity. You also have the option to contact Maritime Travel, the University’s travel agency. They will ensure that the travel arrangements are met while ensuring that the travel costs are the lowest possible. In addition, Maritime can bill us directly, so that you do not have to pay the flight out of pocket. It is still necessary that you provide us with all necessary documentation upon your return including original boarding passes.

2. Book and pay for your accommodation online in advance. This way, you ensure that you are getting the lowest possible rate. If you request a travel advance (see page 34), you will not be out of pocket.
3. If you travel outside Canada, check in advance the foreign per diem rates. That way, you can plan your meals accordingly.

The most important thing to keep in mind is that the travel must be done in the most economical way possible. If you find, for example, a deal for a 5 star hotel (which is not normally allowed), you must demonstrate that at the time of the purchase, the cost was lower than that of a hotel rates at 4 stars.

### OTHER FIELD TRIP EXPENSES

Since field research often includes non-traditional expenses, it is very important that you meet your grant administrator to see what documentation will be required for reimbursement.

1. **Payment of research personnel abroad:** It often occurs that researchers must hire research staff in the country where the research is conducted. There are two ways you can pay:
   a. If the person had a bank account:
      - Original invoice
      - Total payable amount
      - Full name and address
      - Phone number
      - Date of birth
      - Budget code
      - Position title and job description
      - Banking information for a wire transfer (Full name and address of the bank, bank account number and IBAN)
   b. If the person does not have a bank account: You can make the payment to them directly on site and have them sign an official receipt indicating what work they have completed and confirming that they have received payment. The amount will be reimbursed with the travel claim.

2. In some countries, a receipt or invoice is not provided for services such as taxis, bus, etc. We suggest that you bring with you a receipt book and that you have the service provided sign the receipt. Only with this proof of payment can you be reimbursed.

If you require details on the eligibility of expenses or other advice, please contact your grant administrator.

### RESEARCH CONTRACTS

Research contracts are managed differently than typical research grants. Since the exact budget and allowable expenses are often determined in the contract, there is not much flexibility. It is important to note that the regulations of the University of Ottawa must be respected unless a specific clause in the contract indicates otherwise.
When a research contract is finalized, you will receive a notice of decision. The second page of that notice typically looks like this:

### Expense Distribution

<table>
<thead>
<tr>
<th>Type</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Publishing</td>
<td>$1,370.00</td>
</tr>
<tr>
<td>Translation</td>
<td>$1,000.00</td>
</tr>
<tr>
<td>Marketing &amp; Outreach</td>
<td>$7,600.00</td>
</tr>
</tbody>
</table>

**Overhead Distribution**

<table>
<thead>
<tr>
<th>Unit</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Expenses</td>
<td>$9,999.00</td>
</tr>
<tr>
<td>Amount Awarded</td>
<td>$9,999.00</td>
</tr>
<tr>
<td>Remainder</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

This page includes a detailed budget that shows expenses for costs related to publishing, translation and marketing expenses only. Therefore, in this situation, we would not be able to accept equipment related expenses. In a piece of equipment would be required for the project, you must follow the procedure on the following page for budget changes.

Here is another budget example.

### Budget Example 2

<table>
<thead>
<tr>
<th>Start Date</th>
<th>End Date</th>
<th>Amount Awarded</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-06-11</td>
<td>2009-06-31</td>
<td>$16,000.00</td>
<td></td>
</tr>
</tbody>
</table>

#### Honoraria

<table>
<thead>
<tr>
<th>Person</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prof 1</td>
<td>$5,067.00</td>
</tr>
<tr>
<td>Prof 2</td>
<td>$2,118.00</td>
</tr>
<tr>
<td>Prof 3</td>
<td>$4,078.64</td>
</tr>
</tbody>
</table>

#### Expense Distribution

<table>
<thead>
<tr>
<th>Type</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Materials / supplies</td>
<td>$359.38</td>
</tr>
<tr>
<td>Student Salary</td>
<td>$3,240.62</td>
</tr>
</tbody>
</table>

**Overhead Distribution**

<table>
<thead>
<tr>
<th>Unit</th>
<th>Amount</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Faculty of Social Sciences</td>
<td>$1,063.63</td>
<td>65 %</td>
</tr>
<tr>
<td>University of Ottawa</td>
<td>$400.00</td>
<td>25 %</td>
</tr>
<tr>
<td>Technology Transfer and Business Enterprise</td>
<td>$103.64</td>
<td>10 %</td>
</tr>
</tbody>
</table>

**Total Expenses:** $18,000.00

**Amount Awarded:** $16,000.00

**Remainder:** $0.00
Under this contract, there are three separate amounts awarded to three different professors under the category “Honoraria.” The total amount of the honoraria is always placed in a suspense account (62XXXX 271999 2114). When a project is completed, the professor(s) may choose to receive the honorarium as salary or to forgo the honorarium by depositing it in a general research account (see page 34 for the procedure).

Since general expenses are also withdrawn as soon as an account is opened, the available balance would be $3,600 (i.e. $359.38 in supplies and $3,240.62 in student salary).

**Budget changes**

The procedure for changing a research contract budget is as follows:

1 – Contact your grant administrator at the Faculty.

2 – Send an email to Joanne Lauzon at TTBE and include:

   your proposed budget;

   the reason for the change.

3 – Explain whether the change will have an impact on the project start and end dates.

   *If the agency approves the change, TTBE will send a notice of decision. This notice will include the new budget and, if necessary, the new end date.*

---

**ELIGIBILITY OF EXPENSES BASED ON THE PROJECT FUNDED**

**CONCEPT OF ELIGIBILITY OF EXPENSES BASED ON THE PROJECT FUNDED**

All expenditures from a research fund must be related to one or more activities for the advancement of the research project in question.

Example: Reimbursement of travel to a conference

We must inquire as to how this conference relates to your research project and how the objective of this travel relates to your research project.

**USING GRANT FUNDS – GENERAL PRINCIPLES**

- Direct and necessary costs of research only
- Effective and economic use of funds
- Equipment purchased is the property of the Institution
- If no written Agency policy, the Institution’s policy applies
- Agencies defer to Institutions’ conflict of interest policies
Institutions can withhold payment of expenses approved by grant holders that contravene Agencies’ requirements or Institutions’ policies

### ELIGIBILITY OF EXPENSES BASED ON THE RULES OF FUNDING AGENCIES AND THE UNIVERSITY

<table>
<thead>
<tr>
<th>Type of Funding</th>
<th>Policies</th>
</tr>
</thead>
<tbody>
<tr>
<td>SSHRC, NSERC and CIHR</td>
<td>University and <a href="#">Tri-Council financial administration policies</a></td>
</tr>
<tr>
<td>Research contracts</td>
<td>Eligible expenses are determined based on the budget imposed by the funding agency and on the University’s rules</td>
</tr>
<tr>
<td>Internal research funding (RDP, etc.)</td>
<td>University and <a href="#">Tri-Council financial administration policies</a></td>
</tr>
<tr>
<td>General research accounts</td>
<td>University and <a href="#">Tri-Council financial administration policies</a>, with some exceptions (see table below)</td>
</tr>
</tbody>
</table>

| Start-up funds | Faculty and University policy (See Page 36) |

### HUMAN RESOURCES MANAGEMENT IN RESEARCH

**Difference between a Research Assistant and a Soft-Funded Research Bursary**

<table>
<thead>
<tr>
<th>RESEARCH ASSISTANT</th>
<th>SOFT-FUNDED RESEARCH BURSARY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work related to professor’s research project</td>
<td>Work related to student’s thesis</td>
</tr>
<tr>
<td>Benefits (9.6%)</td>
<td>No benefits or holidays</td>
</tr>
<tr>
<td>Payroll deductions (income tax and union dues)</td>
<td>No payroll deduction for income tax (only 1% for union dues)</td>
</tr>
<tr>
<td>Employer-employee relation</td>
<td>No employer-employee relation</td>
</tr>
<tr>
<td>Maximum of 10 hours a week for full-time students</td>
<td>Maximum of five hours per week</td>
</tr>
<tr>
<td>Can be offered to both part-time and full-time students</td>
<td>For full-time students only</td>
</tr>
</tbody>
</table>

### RESEARCH ASSISTANTS

**CUPE collective agreement**

**Article 18 - Job Postings and Appointments**

<table>
<thead>
<tr>
<th>Internal Research Funding</th>
<th>External Research Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>The job must be posted according to the CUPE collective agreement requirements (10 working)</td>
<td>Job posting is not required</td>
</tr>
</tbody>
</table>
**The department is responsible for the posting**
The researcher can still post the job (following collective agreement guidelines)

**Internal source = Operational funds, start-up funds, general research accounts and all other university or Faculty funding**
If the researcher chooses to post the job, they must do so according to the collective agreement requirements

**Preparation of the contract**

According to Article 18.6 of the collective agreement between the University of Ottawa and CUPE, the employer must use the following order of priority when assigning a position:

1. Full-time graduate student who is registered in a program associated with the unit where the position is offered and who has received less than two full appointments, or no appointment, in an academic year;
2. Full-time graduate student registered in a program associated with the unit where the position is offered;
3. Full-time graduate student not registered in a program associated with the unit where the position is offered;
4. Full-time undergraduate student registered in a program associated with the unit where the position is offered;
5. Part-time graduate student registered in a program associated with the unit where the position is offered;
6. Part-time graduate student not registered in a program associated with the unit where the position is offered;
7. Part-time undergraduate student registered in a program associated with the unit where the position is offered.

After selecting a student, you must contact the administrator of your research grant to prepare the contract.

The following information must be emailed to the administrator:

- Student’s name and number
- Address, telephone number and email address
- Employee number (if available**)
- Copy of work permit for non-Canadians
- Full- or part-time status
- Program of study (e.g. Master’s in Sociology)
- Number of hours of the contract
- Start and end dates
- Budget code
** If the person has never worked for the University or does not remember their employee number, then their social insurance number and date of birth must be provided; a void cheque must also be provided.

Non-Canadians without a social insurance number may obtain a social insurance number at the office of Human Resources Development Canada on the second floor of the Esplanade Laurier, 300 Laurier Street in Ottawa (613-990-5100). Remember to bring a letter confirming your request for a SIN when you go to our Human Resources Service. Without this proof, you cannot be paid.)

After receiving the aforementioned information, the administrator prepares the assistantship contract and then emails the professor and student to obtain signatures.

All research assistantship contracts paid by research funds must be approved by Sylvie Desrochers (with the exception of Psychology; they are to be approved by Louise Robert).

**NOTE: Before hiring an employee, ensure you have enough funds to cover the salary and benefits (9.2%).

### HOURLY RATES FOR RESEARCH ASSISTANTS

#### Graduate Students (both master’s and doctoral level)

<table>
<thead>
<tr>
<th>Period</th>
<th>Hourly rate</th>
<th>Benefits</th>
<th>Standard contract</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 1&lt;sup&gt;st&lt;/sup&gt; 2013 – August 31&lt;sup&gt;st&lt;/sup&gt; 2014</td>
<td>$40.47</td>
<td>9.2%</td>
<td>130 h</td>
<td>$5,745</td>
</tr>
<tr>
<td>September 1&lt;sup&gt;st&lt;/sup&gt; 2014 – August 31&lt;sup&gt;st&lt;/sup&gt; 2015</td>
<td>$41.20</td>
<td>9.2%</td>
<td>130 h</td>
<td>$5,850</td>
</tr>
<tr>
<td>September 1&lt;sup&gt;st&lt;/sup&gt; 2015 – August 31&lt;sup&gt;st&lt;/sup&gt; 2016</td>
<td>$41.94</td>
<td>9.2%</td>
<td>130 h</td>
<td>$5,955</td>
</tr>
<tr>
<td>September 1&lt;sup&gt;st&lt;/sup&gt; 2016 – August 31&lt;sup&gt;st&lt;/sup&gt; 2017*</td>
<td>$42.77</td>
<td>9.2%</td>
<td>130 h</td>
<td>$6,072</td>
</tr>
</tbody>
</table>

You need to ensure that the researcher has enough funds to cover the salary and benefits (estimated at 9.2%).

*Average annual increase: estimated at 2%.

*Estimated hourly rate used for the preparation of grant applications only.*

#### Undergraduate students

<table>
<thead>
<tr>
<th>Period</th>
<th>Hourly rate</th>
<th>Benefits</th>
<th>Standard contract</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 1&lt;sup&gt;st&lt;/sup&gt; 2013 – August 31&lt;sup&gt;st&lt;/sup&gt; 2014</td>
<td>$24.29</td>
<td>9.2%</td>
<td>130 h</td>
<td>$3,450</td>
</tr>
</tbody>
</table>
You need to ensure that the researcher has enough funds to cover the salary and benefits (estimated at 9.2%).

*Average annual increase: estimated at 2%.

Estimated hourly rate used for the preparation of grant applications only.

<table>
<thead>
<tr>
<th>Time period</th>
<th>Maximum hours permitted per week</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 1st 2014 – August 31st 2015</td>
<td>$24.73 9.2% 130 h $3,510</td>
</tr>
<tr>
<td>September 1st 2015 – August 31st 2016</td>
<td>$25.18 9.2% 130 h $3,575</td>
</tr>
<tr>
<td>September 1st 2016 – August 31st 2017*</td>
<td>$25.68 9.2% 130 h $3,645</td>
</tr>
</tbody>
</table>

**Part-time students are permitted to work more than 10 hours per week.**

**BURSARIES PAID FROM RESEARCH FUNDS**

There are three different types of bursaries that can be offered to a student:

1. **“No-obligation” bursary**: The student has no obligation to complete work for these funds.
2. **Soft-Funded Research Bursary (SFRB)**: The student completes work, for a professor, that is directly related to the student’s thesis.
3. **Postdoctoral fellowship**: Please see page 28 for more details.

**Soft-Funded Research Bursaries**

*Policy 110a – Graduate Students Holding Soft-Funded Research Bursary (“SFRB Students”)*

**Admissibility criteria**

Any duty, assignment or activity assigned to a graduate student must:

a. be significantly related to the work required to fulfill the requirements of the student’s program of study as set out in the appropriate calendar of the Faculty of Graduate and Postdoctoral Studies;

b. enhance the student’s experience and knowledge in the student’s study of her chosen discipline; and
c. not be assigned for the purpose of replacing the work of clerical or technical staff that normally
would perform such duties;
d. not require more than five hours per week on average;
e. not place unreasonable demands upon the student by compelling her to devote the majority of
her time completing the duty, assignment or activity within a short period of time; and
f. be set out in writing by the professor at the time the bursary was offered, approved by the
academic unit and accepted by the student after a discussion with the professor.

The offer must include the amount and duration of funding. It must also address all matters regarding
ownership of any intellectual property.

**Note:** If a professor gives a student a soft-funded research bursary (or a research bursary), the grant
administrator must first verify whether we have an obligation toward this student.

**If so:** The administrator must advise the professor that we have an obligation toward the
student. The professor is then asked to present the student with options. Either the student
accepts the bursary, which fulfills our obligation, or we give the student a research
assistantship. If the student accepts the bursary as fulfillment of our obligation to provide an
assistantship, the student must sign the form in Appendix 1.

**Note:** A student may have a soft-funded bursary and a research assistantship at the same time.

However, the maximum 10-hours-a-week rule must be respected.

For the contract to be prepared, the following information must be emailed to the administrator:

- Student’s name and number
- Address, telephone number and email address
- Employee number (if available**)
- Full- or part-time status
- Program of study (e.g. Master’s in Sociology)
- Total amount of contract
- Start and end dates
- Budget code

**If the person has never worked for the University or does not remember their employee number, then
their social insurance number and date of birth must be provided; a void cheque must also be provided.

Non-Canadians without a social insurance number may obtain a social insurance number at the office of
Human Resources Development Canada on the second floor of the Esplanade Laurier, 300 Laurier Street
in Ottawa (613-990-5100). Remember to bring a letter confirming your request for a SIN when you go to our Human Resources Service. Without this proof, you cannot be paid.

After receiving the aforementioned information, the administrator prepares the contract and then emails it to the professor and student to obtain signatures.

PROFESSIONAL FEES / HONORARIA (P3)

PROFESSIONAL FEES / HONORARIA – CANADIANS

- To determine whether a person must receive professional honoraria, the attached questionnaire (Appendix 1), “Business Relationship or Employer-Employee Relationship,” must be completed. This questionnaire was developed based on a Canada Revenue Agency questionnaire. (See also “Employee or Self-Employed”)
- If the result is “self-employed,” this indicates that the person integrates the payer’s activities into their own activities and that a business relationship probably exists. Otherwise, it is reasonable to conclude that an employer-employee relationship exists.
- If a business relationship exists, a request to pay honoraria is completed. (If an employer-employee relationship exists, the person should be paid through another type of remuneration, based on the hours worked.)

To prepare the documentation, we need the following information:

- Completed analysis (Appendix 2)
- Original invoice:
  - Total amount to be paid
  - Person’s full address
  - Telephone number
- Employee number (if available**)
- Budget code
- Position title

** If the person has never worked for the University or does not remember their employee number, then their social insurance number and date of birth must be provided; a void cheque must also be provided.

NOTE: A student may never receive professional honoraria.

PROFESSIONAL FEES / HONORARIA – NON-CANADIANS

If a non-citizen performs work for you outside Canada and you wish to pay them a salary, we need the following information:

- Original invoice:
- Total amount to be paid
- Person’s full name and address
- Telephone number

- Date of birth
- Country where the work was completed. If completed in Canada, an indication of who will be paying the related taxes (project or the person who completed the work)
- Budget code
- Position title
- Bank information for a transfer (full name and address of the bank, bank account number and IBAN)

### RESEARCH PERSONNEL – NON-STUDENT

#### SPAF VERSUS EPAF

<table>
<thead>
<tr>
<th>SPAF</th>
<th>EPAF</th>
</tr>
</thead>
<tbody>
<tr>
<td>A SPAF must be used when a term employee who will work <strong>15 hours or more</strong> a week is hired or has a contract renewed for a period of <strong>4 months or more</strong>.</td>
<td>An EPAF (P3D) must be used when a term employee who will work <strong>less than 15 hours a week</strong> is hired or has a contract renewed regardless of the duration of the contract, has a contract of <strong>4 months or less</strong> or when a student is hired through the Work-Study Program.</td>
</tr>
<tr>
<td>When a SPAF is issued, the Staffing sector produces a contract for the employee outlining the employee’s working conditions.</td>
<td>The Staffing sector will not produce a contract for the employee.</td>
</tr>
<tr>
<td>The employee will accumulate holidays for the duration of the contract</td>
<td>Vacation time will be paid with each payroll deposit.</td>
</tr>
</tbody>
</table>

#### SUPPORT PERSONNEL ACTION FORM (SPAF)

*Policy 47B – Working conditions for contractual staff paid from grants and external contracts*

Research personnel working **15 hours or more** per week for a duration of **4 months or more** will be paid by a SPAF. Such personnel generally includes research coordinators and research professionals.

- It is critical that the SPAF be sent to Human Resources as soon as the employee is hired or renewed, as we have a legal obligation to pay our employees on the first pay day following their hire date, as per the University’s payroll calendar.
- It is essential that a job description be included in the employees personnel file. The evaluation of the job description is done by the University of Ottawa’s Administrative Committee.

**SALARY LEVELS**
• At the time of hiring, up to 2% per year can be awarded for experience in a position with similar functions or levels of responsibility as the job being filled. How experience has been gained, continuity of employment (taking into account long periods of unemployment) and progress-through-the-rank in previous jobs are all part of the factors affecting the salary offered.
• The salary offer is compared to those of internal employees in similar positions to ensure internal salary equity.
• Any offer higher than the standard salary grade of the job being filled is conditional to approval by the University of Ottawa Administrative Committee.

Salary increases

• Employees occupying a position for a medium and long term period have rights to the same salary increases as term non-unionized employees of the University of Ottawa. These increases are applied on the anniversary date of their contract, conditionally to a satisfactory job performance.

To prepare a SPAF, we need the following information:

• Full name and address
• Telephone number and email address
• Employee number (if available**)
• Copy of work permit for non-Canadians
• Annual salary or hourly rate
• Number of hours per week
• Start and end dates
• Budget code
• Position title
• Job description

** If the person has never worked for the University or does not remember their employee number, then their social insurance number and date of birth must be provided; a void cheque must also be provided.

Non-Canadians without a social insurance number may obtain a social insurance number at the office of Human Resources Development Canada on the second floor of the Esplanade Laurier, 300 Laurier Street in Ottawa (613-990-5100). Remember to bring a letter confirming your request for a SIN when you go to our Human Resources Service. Without this proof, you cannot be paid.)

NOTE: Before hiring an employee, ensure that you have enough funds to cover the salary and benefits (9.6%).

ELECTRONIC PERSONNEL ACTION FORM (EPAF – multiple pays)
Support staff working less than 15 hours per week will be paid by EPAF (P3D). P3D forms must be completed to pay employees who will receive a fixed amount per pay period for the duration of their contract (multiple pays).

To prepare an EPAF, we need the following information:

- Full name and address
- Telephone number and email address
- Employee number (if available**)
- Copy of work permit for non-Canadians
- Hourly rate
- Number of hours per week
- Start and end dates
- Budget code
- Position title.

** If the person has never worked for the University or does not remember their employee number, then their social insurance number and date of birth are to be provided, along with a void cheque.

Non-Canadians without a social insurance number may obtain a social insurance number at the office of Human Resources Development Canada on the second floor of the Esplanade Laurier, 300 Laurier Street in Ottawa (613-990-5100). Remember to bring a letter confirming your request for a SIN when you go to our Human Resources Service. Without this proof, you cannot be paid.)

NOTE: Before hiring an employee, you need to ensure that you have enough funds to cover the salary and benefits (9.6%).

TIMESHEETS (or EPAF P3C)

You always have the option of paying an employee on an hourly basis as a casual employee. Payroll for employees paid on an hourly basis whose number of hours worked varies from week to week must be set up using the EPAF P3C forms; timesheets must then be completed for each pay period. It is important to provide detailed hours worked per day.

To pay someone using time sheets, we need the following information:

- Full name and address
- Telephone number and email address
- Employee number (if available**)
- Copy of work permit for non-Canadians
- Hourly rate
- Details of hours worked per day
- Budget code

** If the person has never worked for the University or does not remember their employee number, then their social insurance number and date of birth must be provided; a void cheque must also be provided.

---

**WORK STUDY PROGRAM – HIRING AN RA**

To ensure compliance with the CUPE collective agreement (especially based on the research funding from internal sources), the current procedure is that which is followed by research wishing to obtain and fill positions through the Work study program:

- The Faculty / Department / Researcher makes a request to create a position with the Work study program via the process already in place;
- When it comes to hiring, to respect the rules of the collective agreement, the professor posts the position within his department;
- When the professor has identified the student(s) who has the expertise and the experience to perform the duties that the position requires (as described in the job description), he asks the student to register (and hopefully qualify) for the Work Study program (via the internal processes in place for financial assistance);
- The researcher completed the job posting with Work Study (with the approval of Financial Aid and Awards);
- The researcher asks his students (after he or she was qualified) to apply for the job via the Work Study posting system;
- The researcher can then “confirm” the employment of the student through the process set in place by Financial Aid and Awards;
- The contract is prepared by the Office of the Vice-Dean for Research (with the exception of the School of Psychology);
- The researcher and administrator transmit the S-form confirming the hiring of the student to Financial Aid and Awards;
- The research can then receive the allotted refund amount.

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**POSTDOCTORAL FELLOWSHIPS**

**Steps for hiring a postdoctoral fellow at the University of Ottawa**

- Generally, a student must first contact a researcher who shares the same research interest and can thus serve as a research supervisor.
- **Financial support is necessary.** Typically, there are three options:
  - A fellowship from an external agency
  - A fellowship or salary paid through a professor’s grants or contracts
  - A fellowship or salary paid by a research unit of the University

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• Occasionally, financial support may include a part-time teaching task.

• **There must be a formal letter of offer from the research supervisor** outlining the nature of the research planned, confirming how the fellow will be paid (fellowship, salary) and providing other relevant details.

The Faculty of Graduate and Postdoctoral studies requires that the minimum fellowship be of at least $34,000 a year.

You must contact the administrator of your grant to prepare the contract. Provide the administrator with following information:

- Full name and address
- Telephone number and email address
- Employee number (if available**)
- Copy of work permit for non-Canadians
- Total amount of contract (must be a minimum of $34,000 per year)
- Start and end dates
- Budget code

** If the person has never worked for the University or does not remember their employee number, then their social insurance number and date of birth must be provided; a void cheque must also be provided.

The contract must then be signed by the research director and the postdoctoral fellow.

The Postdoctoral Registration form must be completed.

The fellow must then provide the following documents to the coordinator of postdoctoral fellowships:

- The completed and signed Postdoctoral Registration form
- Proof of remuneration; (copy of B form)
- A copy of a work permit (for non-Canadians)
- A detailed resumé
- Proof of PhD degree
- A copy of the acceptance letter from the research supervisor or the funding agency

For more information please consult the FGPS website: [http://www.grad.uottawa.ca](http://www.grad.uottawa.ca)

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**ELIGIBILITY TABLE – COMPENSATION-RELATED EXPENSES (TRI-AGENCY)**

<table>
<thead>
<tr>
<th>Eligible</th>
<th>Ineligible</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Salaries and Institutional non-discretionary benefits (per Institutions’ policy)</td>
<td>• Salary of Grant holders or persons eligible to apply for funding from Agencies</td>
</tr>
<tr>
<td>• Stipends (per Institutions’ policy)</td>
<td>• Administrative charges and fees</td>
</tr>
<tr>
<td>– NSERC - Salaries and Stipends to postdoctoral fellows are limited to two years’ support from the</td>
<td>• Compensation-related benefits to recipients of stipends</td>
</tr>
<tr>
<td></td>
<td>• Discretionary severance and separation packages.</td>
</tr>
</tbody>
</table>
Agency. Three years’ support is acceptable, when justified
– NSERC - 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
• Consulting fees
• Fees paid to research subjects
• Subcontracting costs
• Clerical salaries directly related to dissemination activities
• Honoraria for guest lecturers
• CIHR only - Release Time Stipends only when awarded
• Salary Replacement Allowances only when included in a particular funding opportunity.

• Payments to practicing clinicians participating in the research on a part-time basis unless specified in the Funding Opportunity.
• Payments to individuals participating in the research as an investigator and who receive remuneration for teaching or service work unless specified in the Funding Opportunity.

TRAVEL REIMBURSEMENTS

POLICY 21 – TRAVEL EXPENSES AND FIELD TRIPS

Below are the key elements of Policy 21 and Administrative Procedure 16-11, with the modifications required to incorporate funding agency policies.

The purpose of Policy 21 is to:

a) require prior approval of travel for University business;

b) provide a set of principles by which rules may be established in Procedure 16-11 for the reimbursement of eligible travel expenses that ensures the effective use of public resources;

c) ensure transparency, accountability and compliance with accounting and reporting regulations; and

d) manage authorized business travel in a consistent and cost-effective manner based on fair and transparent principles.

Before travel

Employees and Approved Travelers must obtain prior written authorization from the Authorized Approver by completing and obtaining the signature of the Authorized Approver on the Request for authorization to travel form.

APUO members need not include a pre-authorisation with the travel reimbursement.

TRAVEL ADVANCES
**Only Employees** may request an advance for anticipated travel expenses by submitting no later than fifteen (15) days prior to departure the Request for authorization to travel form approved and signed by the Authorized Approver. Employees must immediately return any advances for which the event has been cancelled or postponed beyond one month.

*When the amount of Eligible Expenses is greater than the advance given to the Employee, the University will reimburse the Employee in an amount representing the difference. When the amount of the Eligible Expenses is less than the advance given to the Employee, the Employee must pay the difference to the University at the time the Request for reimbursement of travel expenses form is submitted.*

The travel advance and authorisation to travel forms can be found at:

http://www.uottawa.ca/financial-resources/accounting/

---

**TRANSPORTATION**

*Travel should be made by the most practical, economical and direct route possible and in keeping with the principles set out in Policy 21 and Procedure 16-11. Claimants are encouraged to purchase airline or other transportation through the Internet and to take advantage of any advance purchase fares and seat sales whenever possible.*

<table>
<thead>
<tr>
<th>Item</th>
<th>Policy</th>
<th>Required documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>By air</td>
<td>The University reimburses an amount representing the lowest rate available not to exceed the full economy fare. Funding agencies for research projects do not allow travel by business class regardless of the flight duration.</td>
<td>Passengers (original) boarding passes and itineraries</td>
</tr>
<tr>
<td>By rail</td>
<td>The University reimburses an amount not to exceed first class.</td>
<td>The original ticket</td>
</tr>
<tr>
<td>By rental car</td>
<td>The University reimburses an amount not to exceed the amount of a compact model or its equivalent for car rentals. Claimants who rent vehicles are responsible to obtain adequate car rental insurance. The rental shall not exceed the cost of airfare. When making a reservation, the Claimant should request process for government personnel, promotional prices <a href="http://www.uottawa.ca/financial-resources/accounting/">CAUBO negotiated prices</a>.</td>
<td>• The original receipt from the rental company (including rental fee, insurance premium and KM charges by the rental agency) • Receipts for fuel</td>
</tr>
<tr>
<td>By privately owned automobile</td>
<td>Reimbursed at a fixed rate of $0.47/km. The reimbursement for costs are calculated by applying the kilometric rate to the most direct route and shall not exceed the cost of airfare. Use of a private vehicle is limited to those trips where no other suitable public transportation is available or where the use of a private vehicle is more economical and effective considering all factors such as costs, time constraints and itinerary.</td>
<td>Print the MapQuest or Google maps itinerary. The itinerary includes the total mileage</td>
</tr>
</tbody>
</table>

*Travel between the employee’s residence and the place of business or between two work places are **not** an allowable expenses.*

---

**ACCOMMODATIONS**

### MEALS AND INCIDENTAL EXPENSES

#### APUO MEMBERS

- For each full day of travel, APUO members may claim the meal and incidental per diem shown below. Incidental per diem covers expenses such as gratuities, laundry, dry cleaning and local telephone calls.

- Meal claims shall include gratuities and taxes. The claimant cannot claim for and will not be reimbursed for meal that are included in the accommodation rate, transportation date and cost of registration fees or otherwise included in another expense.

**PER DIEM RATES - CANADA AND THE U.S.**

<table>
<thead>
<tr>
<th>Meal</th>
<th>Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Breakfast</td>
<td>$16.00</td>
</tr>
<tr>
<td>Lunch</td>
<td>$16.00</td>
</tr>
<tr>
<td>Dinner</td>
<td>$42.80</td>
</tr>
<tr>
<td>Incidentals</td>
<td>$17.30</td>
</tr>
</tbody>
</table>

**INTERNATIONAL PER DIEM RATES – NATIONAL JOINT COUNCIL**

Expenses for meals and incidentals while traveling on University business will be reimbursed based on the daily meal allowance rates in Appendix A. The meal allowance includes gratuities and taxes.
• In exceptional situations, claims may be made for actual expenses for meals. Claims for actual meal costs exceeding the daily meal allowance must be supported by detailed, original receipts and must be accompanied by a written explanation.
• When meals are included in the transportation fare or in the cost of registration fees, meal expenses cannot be claimed.

OTHER AUTHORISED TRAVELERS (Invited speakers and researchers, students, etc)

• Subject to the rates shown above, the claimant is reimbursed actual expenses for meals and incidental expenses supported by original itemized receipts whether the travel occurs in Canada, the United States or abroad. Meal claims shall include gratuities and taxes. The claimant cannot claim for and will not be reimbursed for meal that are included in the accommodation rate, transportation date and cost of registration fees or otherwise included in another expense.

OTHER TRAVEL EXPENSES

<table>
<thead>
<tr>
<th>Item</th>
<th>Policy</th>
<th>Required documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Taxis</td>
<td>You may claim taxi expenses related to your trip.</td>
<td>Original receipts</td>
</tr>
<tr>
<td>Business dinners</td>
<td>If you incur costs related to a business dinner, you may be reimbursed according to Policy 60. Reimbursement for alcohol is not permitted.</td>
<td>Original detailed receipt</td>
</tr>
<tr>
<td>Registration fees</td>
<td>Registration fees are reimbursable.</td>
<td>Original proof of payment</td>
</tr>
<tr>
<td>Other expenses</td>
<td>All other expenses incurred must be justified.</td>
<td>Original receipts</td>
</tr>
</tbody>
</table>

ELIGIBLE AND INELIGIBLE EXPENSES

Eligible expenses

• Transportation, accommodation & meals
• Travel cancellation insurance
• Travel health insurance (if not provided by employer or other sources)
• Safety-related expenses for field work travel (Protective equipment, vaccination, etc.)
• Entry visa fees (for the Principal Investigator or Research personnel)

Relocation costs for eligible research personnel and their immediate family members:

• economy airfare; or
• cost of land travel, up to the equivalent of economy airfare.

Child care expenses while a nursing mother or single parent is travelling:

• The eligible cost for a single parent is limited to overnight child care costs incurred while the grantee is travelling.
The eligible cost for a nursing mother who is travelling with a caregiver and a child is limited to the customary cost of child care (CIHR, NSERC, SSHRC) or travel and accommodation costs up to a maximum of $1,000 for the traveling caregiver, in lieu of child care expenses (CIHR only).

Ineligible expenses

- Expenses applicable to an accompanying person
- Expenses paid by another organization or source or for which they are eligible to be paid by another organization or source.
- Commuting costs of grantees and associated research personnel between their residence and place of employment, or between two places of employment.
- Passport and immigration fees.
- Costs associated with thesis examination/defense, including external examiner costs.
- Reimbursement for airfare purchased with personal frequent flyer points programs.
- Any expenses incurred for personal reasons or of personal nature (for example: toiletries, personal entertainment, room mini bar, movies, hotel exercise facilities, sporting events, magazines, books, shoeshine, sightseeing trips)

TRAVEL REIMBURSEMENT CLAIM

The travel reimbursement must include the following information:

- Copy of the pre-authorisation (with the exception of APUO members)
- If the traveller is not the PI, traveler’s affiliation to the grant holder’s research project
- Purpose of trip; detailed research activities
- Dates & destinations (people and place visited)
- Prospectus or program for conference related travel
- Details of daily expenses
- Details of vehicle usage
- Original receipts (no credit card slips) *
- Original air travel ticket & boarding passes (if available) or any other evidence that support travel expenses claimed
- Supporting documents of currency rates (please see below)
- Separate claim for each claimant for each trip
- Signature of claimant
- Approval from the Grant holder or delegate

* Photocopies, credit card statements and Interac slips are not sufficient. If original itemized receipts and any other supporting documentation do not provide sufficient information or cannot be obtained or are not available, the Claimant must provide a written explanation, complete the Form for missing receipts and submit, for consideration, a copy of any other document as proof of the expense. Minor expenses that are impossible to receipt must be detailed on the Form for missing receipts.
INTERNATIONAL TRAVEL

- Eligible expenses are converted according to the Bank of Canada’ conversion rate. Documentation supporting exchange rates must be submitted with the travel claim.
- The conversion rate is calculated by using an average rate for the travel period or actual rates incurred.

SABBATICAL LEAVE

Eligible Expenses

- Vehicle required for field work
- Direct costs for research work (including travel and accommodations)
- Equipment & materials transportation (to and from sabbatical location)
- Travel to conferences
- Round trip travel between home institution and sabbatical location (NSERC/CIHR grants limited to one round-trip only)

Ineligible expenses

- Transport of research personnel for supervisory or academic purposes
- Travel to home institution for supervisory or academic purposes
- Living expenses (ex: per diem, accommodations)

APPROVALS

All travel reimbursement claims and requests for travel advances must be signed by the employee and approved by the immediate supervisor.

- Principal investigator: Principal investigators (PI) claiming a travel reimbursement must always sign as the “requester.” The PI can then obtain an approval from the department chair, or the claim will be approved by the vice-dean of Research.
- Others: If a person, other than the PI is submitting a travel reimbursement claim, the person must sign as the “requester” and the PI will sign as the “approver.”

BUSINESS MEETINGS, RECEPTIONS AND CONFERENCES

POLICY 60 - POLICY ON HOSPITALITY, RECEPTIONS, BUSINESS LUNCHEONS AND EXPENDITURES CHARGEABLE TO UNIVERSITY ACCOUNTS

Below are the key elements of Policy 60, with the modifications required to incorporate the policies of funding bodies.
Networking:
A formal courtesy between the grant holder and guest researchers.

Research related activities:
Assemblies that aid and contribute to the achievement of the research objectives such as meeting with partners and stakeholders.

Hospitality expenses

<table>
<thead>
<tr>
<th>Eligible expenses</th>
<th>Ineligible expenses</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Non-alcoholic beverages</td>
<td>• Alcoholic beverages</td>
</tr>
<tr>
<td>• Meals</td>
<td>• Entertainment</td>
</tr>
<tr>
<td></td>
<td>• Gifts</td>
</tr>
<tr>
<td></td>
<td>• Regular interactions with colleagues</td>
</tr>
</tbody>
</table>

The table below sets out maximum per-person limits that must be used in planning all hospitality functions. In particular, the maximum per-person cost limits for any form of hospitality may be exceeded only in unusual and non-recurring circumstances and must have the prior approval of the vice-president of Resources. These amounts include tax and tips.

<table>
<thead>
<tr>
<th>Reception type</th>
<th>Maximum cost per person (including refreshments)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Breakfast</td>
<td>Two times meal allocation in Policy 21</td>
</tr>
<tr>
<td></td>
<td>$32.00</td>
</tr>
<tr>
<td>Lunch</td>
<td>Three times meal allocation in Policy 21</td>
</tr>
<tr>
<td></td>
<td>$49.80</td>
</tr>
<tr>
<td>Dinner</td>
<td>Two times meal allocation in Policy 21</td>
</tr>
<tr>
<td></td>
<td>$85.60</td>
</tr>
<tr>
<td>Reception</td>
<td>Two-and-one-half times meal allocation in Policy 21</td>
</tr>
<tr>
<td></td>
<td>$107.00</td>
</tr>
</tbody>
</table>

Note: The maximum cost per person includes taxes and tips.

Supporting evidence requirements:
• Purpose of the event
• Date(s) of the event
• Number of participants
• Original detailed receipts (no credit card slips)
• Authorization of grant holder or delegate.

REIMBURSEMENT FORM FOR BUSINESS DINNERS AND RECEPTIONS

| EQUIPMENT AND SUPPLIES |

<table>
<thead>
<tr>
<th>ELIGIBLE AND INELIGIBLE EXPENSES</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Eligible expenses</th>
<th>Ineligible</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Research equipment and supplies (refer to Table in the <a href="#">Tri-Agency Financial</a>)</td>
<td>• Insurance (Equipment &amp; Vehicles)</td>
</tr>
</tbody>
</table>
**Administration Guide**

- Travel to manufacturer (for major equipment purchases only)
- Shipping for purchased equipment
- Extended warranty for equipment
- Brokerage & customs charges
- Staff training on use of equipment or specialized facility
- Maintenance and operating costs for equipment/vehicles used for research

**Supporting evidence requirements**

- Original invoices, contracts, receipts
- Purchase price
- Justification detailing the relation of expenses to the research project
- Authorization of grant holder or delegate

---

**COMPUTERS AND ELECTRONIC COMMUNICATIONS**

<table>
<thead>
<tr>
<th>Eligible expenses</th>
<th>Ineligible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computers, modems, and other hardware and specialized software required for the research (if not normally provided by the institution and with adequate justification)</td>
<td>Monthly connection or rental costs of telephones</td>
</tr>
<tr>
<td>Internet service for research at home or at the Institution (if not normally provided by the Institution)</td>
<td>Connection or installation of communication lines</td>
</tr>
<tr>
<td>Cell phones or smartphone devices when they are necessary for data collection, and/or personnel safety reasons with adequate justification</td>
<td>Voice mail</td>
</tr>
<tr>
<td></td>
<td>Library acquisitions, computer and other information services provided to all members of the Institution.</td>
</tr>
</tbody>
</table>

**Supporting evidence requirements**

- Original invoices, contracts, receipts
- Justification detailing the relation of expenses to the research project
- Authorization of grant holder or delegate
OTHER RESEARCH EXPENSES

DISSEMINATION OF RESEARCH RESULTS

Eligible expenses

- Development & maintenance of Web-based information
- Dissemination of findings – via traditional & contemporary means
- Page charges for published articles including open access costs
- Manuscript preparation
- Translation
- Workshops, seminars directly related to the research

SERVICES AND MISCELLANEOUS EXPENSES

Eligible expenses

- Recruiting costs for research personnel
- Safe disposal of waste
- Books, periodicals, specialized office supplies, not provided by the Institution
- Training/development in novel techniques necessary for the research
- Specialized courses with adequate justification
- Professional association or scientific society memberships necessary for the research
- Monthly parking fee for a vehicle specifically required for field work & when used for that purpose.

Ineligible expenses

- Staff recognition and awards
- Education related costs such as thesis preparation, tuition fees leading up to a degree
- Professional training or development
- Cost for preparation of teaching materials
- Basic services & supplies for research labs (i.e. heat, distilled water etc)
- Insurance costs for buildings/equipment
- Regulatory compliance costs including ethical review, biohazards, environmental assessments
- Monthly parking unless specifically required for field work
- Sales tax to which an exemption or rebate applies
- Regular clothing
- Patenting
- Moving a lab

GENERAL RESEARCH ACCOUNTS
General principles

General research funds are used to cover certain costs related to the academic research activities of the holder of a fund or account. Like all trust accounts, these funds belong to the University and are held in trust for researchers to further their research endeavours. Funds can only be used for expenses directly related to research, such as travel, equipment, material, supplies.

*Funds must be used in an effective, reasonable and judicious way, and expenses must be essential to the holder’s academic research work. A holder can in no way benefit personally from the funds.*

All of the University of Ottawa’s administrative policies and procedures (e.g. Policy 21 on travel and Policy 60 on hospitality, receptions and business luncheons) apply to the management of these accounts.

**A decision to place money in this type of account is irrevocable:** you cannot later decide to withdraw money from the account and convert it to personal income. This requirement is absolutely necessary in order to satisfy Canada Revenue Agency guidelines.

A researcher or professor may only hold one such fund.

Since the funds in these accounts are by nature limited and may not necessarily be renewed:

For any transaction (salary or other) to be charged to such a fund, the holder must ensure that there are sufficient funds for the TOTAL expense (including commitments, if applicable) before charging the expense. Any expense exceeding the balance available at that time will be refused.

**The account holder will be responsible for any deficit.**

**This cost centre can include:**

1. Any unencumbered positive balances from completed contracts and grants, once all approvals for the transfer have been obtained from the funding body and on approval of the Office of Research Grants and Ethics Services;
2. Any additional payment used in lieu of salary as per established procedures;
3. Contract honoraria or professional fees allocated to research funds; Research Grants and Ethics Services will make the transfer upon written request from the principal investigator and as approved by the chair and dean of the Faculty;
4. Small unencumbered research contributions (with supporting documentation confirming the contribution) pre-authorized by RGES or TTBE (e.g. overhead returned by the Faculty).

**Other important administrative details**

- This account will only accept transactions while the account has a positive balance.
- Any equipment purchased with these funds becomes the property of the University of Ottawa.
- The opening of these accounts and fund deposits are subject to the University’s policies and procedures.
Any request to open an account must be accompanied by an RE form duly signed by the holder, the director of the unit and the vice-dean of Research and be accompanied by a short description of the activities (research or academic) to be funded by this account.

In any situation where remuneration for services rendered is forgone, any transfer into these accounts must be approved by the director of the unit and the dean of the Faculty (or their delegate) before obtaining final approval from RGES.

In any situation where professional honoraria from a research contract are forgone, it is necessary, in order to demonstrate proper handling of the funds by the University, for any transfer into these accounts to be approved by the director of the unit and the dean of the Faculty (or their delegate) before final approval is obtained from TTBE, after which TTBE will transfer the funds.

Accounts are opened for an initial three-year period and may be renewed.

If an account holder leaves, any residual balance is returned to the holder’s home Faculty;

Eligibility of Expenses

Expenses charged to this type of account must be justified based on support of a research project. The expenses must be necessary for the success of the activity and be reasonable and acceptable under academic policies.

Examples of ineligible expenses:

- Remuneration to the account holder in any form
- Fees for passports or immigration services
- Costs related to the consumption of alcohol, entertainment or personal purchases (gifts)
- Furniture, equipment or supplies for a home office
- Any other expense resulting in a personal benefit to the holder

START-UP FUNDS

Start-up funds exist to allow new professors to:

- Acquire computer equipment;
- Hire one or more graduate students; and
- Participate in research conferences once they begin at the University.

Eligible expenses

- Research assistantships (in accordance with the provisions of the CUPE collective agreement).
- Purchase of books, software, laboratory equipment or other supplies needed for a research project to proceed properly
- Travel expenses to collect data or meet with colleagues (e.g. as part of a team project) (transportation, accommodation, per diem, miscellaneous)
• Active participation in a conference or symposium related to the research project (registration fee, transportation, accommodation, per diem, miscellaneous)
• Membership fees for professional associations
• Justifiable office supplies only if related to the research
• Business cards
• Photocopies related to the research only
• Long-distance calls related to the research only

Please contact the Administrative Officer, Research for any questions regarding the eligibility of any other expenses.

Payment increments and holdback

Start-up funds are deposited into an internal University research account (60XXXX) in increments. The first year, an amount between $10,000 and $15,000 is deposited in the account. On July 1st of the second year, the remainder of the grant is deposited.

The majority of the funds are available upon arrival, however professors hired at the “assistant” level will have a holdback of $3,000. This amount of not reserved for hiring a student and is not related to the obligation to hire a student.

This amount can be made available if:

1. The professor submits a research proposal admissible to the Research Development Program (RDP). In order to free the funds, the Research Committee of the Faculty must fund the proposal;
2. The professor receives external fund, such as a Tri-council grant or an external contract;
3. The professor is recommended but not supported for lack of funds from SSHRC

PAYMENT OF PROFESSIONAL FEES (FOR PROFESSORS) OR FOREGO REMUNERATION

Research contracts often involve professional honoraria payable to the principal researcher or research team members. In such cases, you have the choice of receiving the honoraria as salary (which means you will receive a T4 at the end of the year) or of forgoing the honoraria and having the sums deposited in your general research account.

PAYMENT OF HONORARIA BY P3

If you wish to receive your professional honoraria as salary, you must complete a P3 form and submit it to your administrator.

This form must be signed by the requester, the director of the unit and the vice-dean of Research.

The form is then sent to TTBE for payment.
FORGOING PROFESSIONAL HONORARIA

If you forgo professional honoraria, you must complete the appropriate form.

Page 1

- Write your name and employee number
- Write the budget code for the contract and the name of the funding agency
- Write the amount to be forgone
- If you already have a general research account (555XXX 19XXXX 2001), you must indicate this number. If not, check the box “Create a cost centre if necessary.”

Page 2

- You must provide a description of the research project for which you plan to use the funds. This may either be a description of a specific project or of your research program.

The form is signed by the requester and the director of your unit and then sent to Sylvie Desrochers for signature by the vice-dean of Research.

This form is then sent to TTBE in order for the funds to be transferred into your general research cost centre.

When the funds are available, you will receive a notice of decision.

DELEGATION OF AUTHORITY

At times, delegating signing authority of certain elements of the research project is necessary. This section outlines the principles, policies and procedures regarding the delegation of signing authority. A link to the delegation of signing authority form is included in this section.

General principles

- Delegation is invalid if precluded under University policy or the terms and conditions of the donor or funding body.
- Only the account holder can authorize delegation. Delegation must be in writing and properly documented.
- Authorization to approve transactions can only be delegated to staff with the skill and knowledge necessary for the effective exercise of the authority.
- The account holder may be able to delegate responsibility for authorizing certain expenses; however, the account holder cannot delegate accountability for the management of the funds and of the project. The principal investigator and account holder, therefore, remain fully responsible for the research, compliance with funding body’s policies and financial management of the funds.
- Effective procedures for the regular review and approval of the actions of the delegate must be in place and adhered to.
- A delegate may not delegate signing authority to third parties.
Grant holder’s responsibilities

- Ensures the delegation of the authority is communicated and confirmed in writing by completing the Delegation of Signing Authority form, in order to ensure the delegated responsibilities can be carried out effectively.
- Exercises control over the persons to whom signing authority has been delegated and puts in place ways to monitor and verify expenses incurred (for example, reviewing the monthly statement).
- The grant holder cannot delegate the task of signing financial reports.
- A delegate may not authorize disbursements for which they are the recipient (e.g., the account holder must sign for payments to a delegated signing authority for expenses personally incurred by the delegate) or for which the delegate might be seen as having received some personal benefit. The grant holder must authorize such disbursements.

See Appendix 2. This form must be completed and submitted to the administrator of your research project.

TRI-COUNCIL GRANT EXTENSIONS

The period of validity (start and end date) is a critical component in research management. In some cases, agencies allow automatic extension periods for the research to continue. Below you’ll find tables summarizing the options concerning extensions for some of the agencies.

- Standard Extension
**APPENDIX 1 - Business Relationship or Employer-Employee Relationship?**

### Analysis of facts

The following questions will help you determine whether the payer exercises control over the worker. If the payer controls the worker’s activities, it is highly indicative of an employer-employee relationship.

<table>
<thead>
<tr>
<th>Analysis of facts related to control</th>
<th>Payer</th>
<th>Worker</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who is responsible for planning the work to be done?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides how and how much the worker is to be paid?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides on the time frames?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides how the work is to be done?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides on the hours of work?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides on the work location?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who assigns the individual tasks?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who supervises the tasks?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who sets the standards to be met:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Quality?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Volume?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Time frame?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides whether work must be redone?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Who covers the related costs?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who is responsible for training?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Who covers the related costs?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides on the territory to be covered?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides on periodic activity reporting?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who decides if the work is to be done by the worker himself?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Who hires helpers?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If you answer ‘Payer’ to the majority of these questions, it means that the payer exercises control over the worker and an employer-employee relationship probably exists. Otherwise, it indicates that a business relationship likely exists.

**Name:**

**Department / School:**

**Date:**

**Reference:**

**Invoice #:**

**Amount:**
TO WHOM IT MAY CONCERN, I HEREBY DELEGATE SIGNING AUTHORITY FOR THE APPROVAL OF EXPENDITURES RELATED TO THE FOLLOWING RESEARCH FUND(S):

(print name) - Delegate

Authorization

Principal investigator (Delegator)

Research fund number(s)

Amount

□ All expenditures*

or

□ Up to* - specify amount $________

*Travel expenses can be approved only if authorization to travel was previously granted.

*Other restrictions: __________________________________________________________________

In effect from __________ until: □ Revoked

or

□ Specify end date __________

Delegate statement

I hereby accept responsibility as delegated signing authority for the above referenced research fund(s). I have an appropriate level of knowledge of the applicable University policies and procedures (Guide to researchers available at www.rges.uOttawa.ca/grants/conduct/guide.asp). Where applicable, I have an appropriate level of knowledge of any externally imposed conditions, regulations and guidelines:

With respect to granting agency terms and conditions:

1. I understand and will comply with all terms and conditions stipulated in the grant or contract.

2. I will use the funds only for the purpose for which they were awarded and will ensure that the expenditures:

   ▪ are in support of the research project named in the award and there is appropriate supporting documentation to satisfy the "relevance to research" requirement;

   ▪ conform to the funding body’s policies and guidelines; Financial Services will ensure that the expenditures conform to the budget approved by the funding body;

   ▪ conform with the University’s purchasing policy;

   ▪ are accounted in the appropriate research fund;

   ▪ are incurred between the research fund start and end dates.

I hereby accept all responsibilities mentioned above and in the Delegation of Signing Authority document.
Form should be kept on file and be readily available as required for any internal or external audit.