STATEMENT of POLICY and PROCEDURE

Manual:	Operations	SPP No.	**FN 3.04**
Section:	Grants and Contracts	Issued:	*2011*
Subject:	**GRANT SUBMISSION & MANAGEMENT**	Effective:	June 1, 2011
Issue to:	All Manual Holders	Page:	1 of 5
		Replaces:	**2009**
Issued by:	Director of Research Operations	Dated:	

1 POLICY

1.01   This policy outlines the proper procedure to follow when applying for a grant.

2 PURPOSE

2.01   The purpose of this Statement of Policy and Procedure is to assist the Researcher with the grant submission process and subsequent grant management requirements.

3 SCOPE

3.01   This Policy applies to any TBRRI Researcher (Scientists, Clinician Scientists, and Clinical Researchers) applying for grants.

4 RESPONSIBILITY

4.01   **Principal Investigator**

(a) The Principal Investigator (PI) is responsible for the development and quality of all aspects of the grant submission.

(b) The PI is responsible for investigating granting opportunities and alerting the Grants Management Office (GMO) to all grants being applied for through TBRRI or at any other organization, institution, or university.

(c) The PI is responsible for his or her grant budget, and ensuring that all expenses are eligible under the granting agency's conditions.

(d) The PI is also responsible for ensuring all reporting to the granting agency is completed accurately and on time.

4.02   **Finance**

(a) For TBRRI managed grants, Finance will track spending and make available online statements that will include or identify:

i. Grant Functional Centre Number

ii. Description / Grant Name

iii. Current period and year-to-date balances

iv. Year and Period

(b) Finance will report on grant budget versus actual spent and will inform the Principal Investigator if it appears the account is going into a deficit.

(c) Finance will provide the PI with an accurate account of the finances as required for the grating agency.

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4.03 **Grant Management Office**

(a) The Grant Management Office will assist in identification of grant opportunities for Researchers.

(b) The GMO will assist in grant submissions, administrative and grammatical editing, and administrative aspects, as required.

(c) The GMO will keep track of TBRRI awarded grants and provide administrative support to the Principal Investigator to ensure grant obligations are met.

(d) The GMO will lead and administer Institutional and special large scale grants, such as ORFs and CFIs.

(e) The GMO will track grant submissions, awards, and statistics on submissions

5 DEFINITIONS

5.01 **"Internal Deadline"** – The deadline leading up to the date on which authorities must sign the application before it is submitted; this is not the actual deadline of the grant.

5.02 **"Application Deadline"** – The application deadline is the date when the application is to be submitted to the Granting Agency.

5.03 **"GMO"** – Grant Management Office

5.04 **"Principal Investigator" or "PI"** – is the lead Researcher applying and responsible for the grant.

6 REFERENCES and RELATED STATEMENTS of POLICY and PROCEDURE
None

7 PROCEDURES

7.01 **Awareness of Available Grants**

The Researchers will provide the GMO with relevant information on available grants that they wish to apply. This information may also be distributed among other potential applicants.

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The Grant Management Office (GMO) will assist the Principal Investigator by alerting them to granting opportunities through:

(a)   Websites,

(b)   E-mails, outlining available grants; and/or,

(c)   Other communications from the GMO.

7.02   **Grant Application Process**

All notices of grants being pursued must be formally communicated to the Grant Management Office during planning meetings and through the use of the Grant Application Checklist.

The Grant Application Process is divided into six (6) stages as summarized:

(1) Stage 1 – Notification of Submission.

a. The Principal Investigator shall inform the Grant Management Office no later than **45 days prior to the application deadline** that he or she will be applying for a grant in order to commence planning for submission support, reviews, etc.

b. The PI should complete the Checklist to alert the GMO of an upcoming submission. The NOI/LOI and/or project abstract, outline, or first draft, as well as details about the grant being applied for should be included.

c. All information must be identified in the Grant Application Checklist in order for the Grant Management Office to ensure that resources are available to assist in the grant application.

d. The GMO will also determine the path of submission and eligibility at this stage.

(2) Stage 2 – Review of the Preliminary Information.

a. The Vice President Research and/or Founding Scientific Director will review the preliminary application and determine if the basis of the grant is meritorious and if the application should be directed for external review in addition to the mandatory internal reviews.

(3) Stage 3 – Proceed to complete the Full Application for the Granting Agency.

a. The PI proceeds to complete their best full draft of the grant which will then

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be subject to internal and/or external review. This draft must be submitted to the GMO **4 weeks in advance** of the Agency's deadline.

(4) Stage 4 – Grant Review Process

   a. The GMO will coordinate internal peer reviews (if the PI hasn't already addressed), provide additional review comments, and coordinate an external review if required.

   b. The corrections identified must be corrected and the application re-submitted to the Grant Management Office in time for the Internal Deadline – this is **two weeks prior** to the external submission deadline.

(5) Stage 5 – Administrative Review

   a. Two weeks prior to the external submission deadline, the complete grant and comprehensive package is to be submitted to the GMO – i.e. including budget, CVs, letters, etc. as required by the granting agency.

   b. For Tricouncil grants, both TBRRI and Lakehead University will provide an administrative review of the grant – the full application package is due to the University two weeks prior to the external deadline.

(6) Stage 6 - Final Notification from Granting Agency and final information completed.

   a. After final submission of the full application, the Principal Investigator will continue to provide the Grant Management Office with status updates of the grant. Successful and unsuccessful applications must be communicated to the GMO.

If the PI is not able to comply with the above requirements and timelines, the GMO will continue to attempt to assist the PI if resources are available and timing allows. However, the submission of a timely and accurate grant cannot be assured and may in fact result in the rejection of the grant application by the VPR, TBRRI, University, and/or the granting agency.

7.04   **Additional Grant Services**

   (a)   The Grant Management Office is available to ensure correct spelling, grammar and format is used. On request, the GMO may also be able to provide input regarding the social benefits, youth outreach, budget, commercialization sections etc., if applicable.

   (b)   When a grant is in excess of $100,000 per year, the Principal Investigator may

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apply to the Director of Research Operations to request funds for the purpose of hiring a grant writer.   The expenditure is limited to $1000 and must be approved by the Director of Research Operations prior to incurring the expense.

7.07   **Tracking / Accounting for Grants**

(a) Once notified by the Granting Agency, the Principal Investigator must inform the GMO of success or failure.

    a. If the grant is awarded, also include the amount and release dates of funding. The GMO will inform Finance and update the Grant Tracking System (including amount of grant and required report deadlines). Finance will set up a grant account.

    b. If the grant is unsuccessful, GMO will inform Finance and update the Grant Tracking System with the reason to its failure.

8   ATTACHMENTS

None.