GenomeCanada

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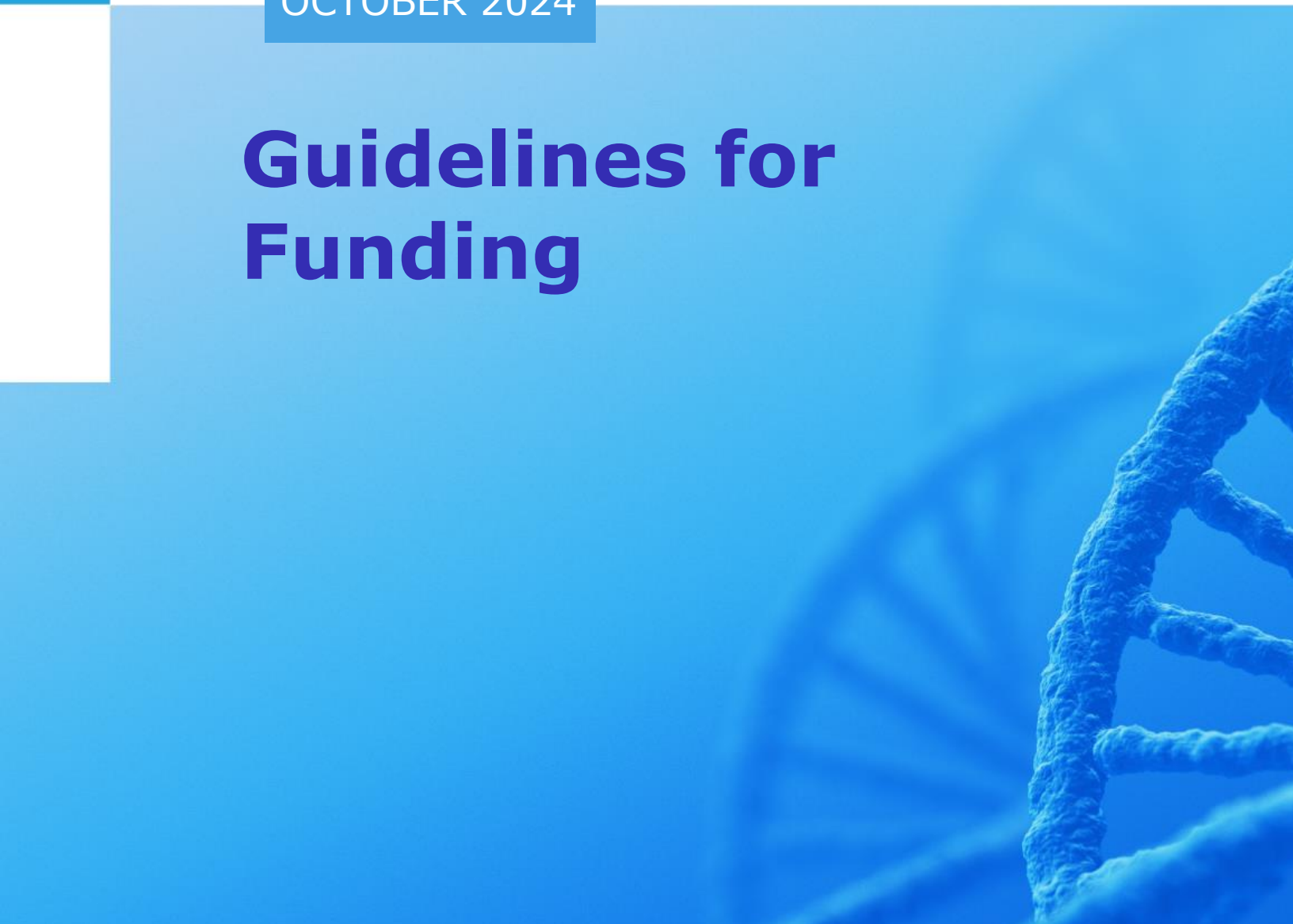
Guidelines for Funding



Genome Canada Guidelines for Funding
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1. INTRODUCTION

Genome Canada's Guidelines for Funding (hereafter referred to as the "Guidelines") will, in general, apply to all Genome Canada funding opportunities (FOs). Specific FOs will note any exceptions to the Guidelines or include additional guidelines, if applicable. The Guidelines provide details on eligibility for Genome Canada funding, eligible costs, the obligations of funding recipients and other related matters.

Genome Canada designs, funds and administers a suite of initiatives and programs (hereafter referred to as "programs") to fuel the **research and innovation** pipeline—from discovery through to applications of research, including commercialization—in health, agriculture and agri-food, and environment and natural resources sectors. Genome Canada programs typically involve periodic FOs and multi-stage, competitive review processes involving independent experts. Applications to Genome Canada are submitted primarily through the regional Genome Centres, which are the primary contacts for applicants and funded project teams. The Genome Centres support genomics research at a regional level. They assist applicants in preparing competitive applications and help projects with aspects of project development and management. Working with the applicants, the Genome Centres are responsible for securing necessary and required co-funding. They are also responsible for selecting which projects to submit to Genome Canada. Once projects are approved, the Genome Centres lead on ensuring they are effectively managed and monitored, based on Genome Canada requirements.

Genome Canada defines genomics as the comprehensive study, using high throughput technologies, of the genetic information of a cell or organism and its functions. This definition also encompasses related disciplines such as epigenomics, metabolomics, metagenomics, proteomics, transcriptomics, bioinformatics and synthetic biology if the link to genetic information is clear.

Genome Canada also funds research on the implications of **genomics in society (GE^{3}LS research)**. The acronym GE^{3}LS stands for "Genomics and its Ethical, Environmental, Economic, Legal and Social aspects." It should be understood broadly as research into the implications of genomics in society from the perspective of the social sciences and humanities. As such, Genome Canada's funding for GE^{3}LS research is not limited to the disciplines included in the acronym. Funding can support *any* discipline that relies on quantitative and qualitative methodologies to investigate the implications of genomics in society and inform applications, practices and policies. Specific details on GE^{3}LS research funding opportunities can be found in relevant FOs.

In addition, Genome Canada funds activities associated with **knowledge mobilization**. For these purposes, knowledge mobilization constitutes the reciprocal and complementary flow and uptake of research knowledge between researchers, knowledge brokers and knowledge users—within and beyond academia—that may benefit users and create positive impacts within Canada and/or internationally. Examples of knowledge mobilization activities include, but are not limited to, education, training, communities of practice and community engagement (E.g. with Indigenous communities, patient/relative groups) to support and guide implementation and adoption of genomics solutions. Specific outputs may include

plain-language summaries, reports, presentations, webinars, policy forums, media relations instruments (e.g. press releases, web content, social media) and the planning of community, academic or business events, including Indigenous ceremonies and wise practices.

2. GENERAL GUIDELINES

2.1. ELIGIBILITY REQUIREMENTS

2.1.1. Eligible institutions

Genome Canada funding can only be awarded to individuals affiliated with one or more of the following types of organizations, who will administer the funding on behalf of the individual:

- Canadian post-secondary institutions
- Research hospitals
- Not-for-profit organizations (including community or charitable organizations) with an explicit research mandate
- Indigenous organizations and governments
- Municipalities
- Research networks
- Start-up companies

2.1.2. Eligible individuals

Individuals eligible to receive Genome Canada funds must be:

- Autonomous regarding the conduct of their research activities.
- Have an academic or research appointment with an eligible institution such that the individual is:
    - Allowed to pursue the proposed research project independently for the duration of the funding and closing out the project.
    - Required to conform to institutional regulations and guidelines concerning the conduct of research, the supervision of trainees and the employment conditions of staff.

Project teams may include co-leaders and/or co-applicants affiliated with international organizations, private sector (for-profit organizations) or federal government departments or agencies. These affiliations must not include any institutions on the Government of Canada's list of **Named Research Organizations**.

2.2. PROJECT PARTICIPANT CATEGORIES

Administrative project leader
The administrative project leader must be eligible to receive Genome Canada funding and is responsible for the overall administration and financial responsibility for the Genome Canada funding provided for the project.

Academic project leader
The academic project leader is responsible for the intellectual direction of the project. In applications where the responsibility for the intellectual direction of the project is shared about equally between two or more individuals, the project may identify more than one project leader.

Receptor leader
A receptor is an entity or consortia of entities that aims to implement the innovation or solution resulting from the initiative/program/funding opportunity by commercializing it or providing unrestricted access to end users, as per their business model. Some programs may require a receptor leader to represent all involved receptors on the project team and in interactions with Genome Canada and other interested parties. The receptor leader (supported by their organization) and other receptor representatives are expected to provide technical expertise and direction for technology implementation, manage issues related to regulation, commercialization and adoption, and administer any project activities and associated costs taking place within their organizations.

Co-investigators
A co-investigator makes a substantial intellectual contribution to the project and is involved in the day-to-day execution of the project. Co-investigators may be independent researchers, trainees or representatives of user or receptor organizations. Co-investigators will be responsible for monitoring the funding provided to their institutions, from Genome Canada or other sources.

Collaborator
A collaborator is not involved in the day-to-day execution of the research. They provide a specific service or expertise (e.g. access to equipment, provision of specific reagents, training in a specialized technique, statistical analysis, access to a patient population, etc.).

Other users
Other users are defined as organizations that use the information generated through research to make informed decisions on issues such as practice guidelines and standards, policies, programs and product development, and use. Examples of other users include, companies (private/public, Canadian/foreign-owned), industry consortia and associations, government departments and agencies (federal, provincial and municipal), health-care organizations and not-for-profit organizations.

2.3 GENOME CANADA DATA RELEASE AND SHARING POLICIES

We are strongly committed to the principle of rapid sharing of the outputs of Genome Canada-funded research, including open access to publications, release of data and sharing of unique resources to the scientific community. Providing the broader scientific community with timely access to the outputs of Genome Canada-funded projects is aimed accelerating research for the benefit of Canada and the wider global community.

To receive Genome Canada funding, project teams must submit a data release and resource sharing plan and expressly agree to comply with Genome Canada's Data Release and Sharing policies: **Data Release and Resource Sharing, Access to Research Publications, Intellectual Property**.

2.4 RESEARCH SECURITY

Genome Canada recognizes that genomics research may be vulnerable to abuse through theft of data and cyber threats, as communicated by Public Safety Canada (**https://www.publicsafety.gc.ca/cnt/rsrcs/pblctns/2021-rsi-psr-ma/index-en.aspx**). Breaches of sensitive or protected data can not only undermine the integrity of the research enterprise, but also impact Canadian national security, safety and economic prosperity.

To ensure the Canadian research is as open as possible and as secure as necessary, the Government of Canada has introduced two policies: the **National Security Guidelines for Research Partnerships** and the **Policy on Sensitive Technology Research and Affiliations of Concern** to integrate national security considerations into the development, evaluation and funding of research. All Canadian researchers are required to use these policies to assess all research undertaken to protect their work.

2.5 INCLUSION, DIVERSITY, EQUITY AND ACCESSIBILITY (IDEA) AND INDIGENOUS TRUTH, RECONCILIATION AND ENGAGEMENT

Genome Canada is committed to creating a diverse and inclusive environment, and to ensuring equitable participation by people who live with diverse visual, motor, auditory, learning and cognitive abilities. We are acting on the evidence that achieving a more equitable, diverse and inclusive Canadian research enterprise is essential to creating the bold, innovative and impactful research needed to advance knowledge and understanding, and respond to local, national and global challenges.

Genome Canada encourages Genome Centres, partners and applicants to support the inclusion and advancement of equity-deserving and under-represented communities in all aspects of their work, including but not limited to, leadership, research and training. Equity-deserving and under-represented groups can include Indigenous Peoples, people of African descent, members of other racialized groups, women, persons with disabilities, members of 2SLGBTQ+ communities, and early-career researchers. Inclusion, diversity, equity and

accessibility (IDEA) should be key considerations for applicant team management and composition.

Genome Canada is committed to Indigenous truth, reconciliation and engagement, and to the right of self-determination as set out in the United Nations Declaration on the Rights of Indigenous Peoples. Projects involving Indigenous research should be conducted with sensitivity and only after carefully considering who will conduct the research—and why—as well as how the research will be conducted. The research should be conducted in line with **the Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans Chapter 9: Research Involving the First Nations, Inuit and Métis Peoples of Canada,** and the **First Nations principles of ownership, control, access and possession (OCAP®**).

2.6 GENOME CANADA RESEARCH APPLICANT DEMOGRAPHICS TRACKING INITIATIVE

Applicants to Genome Canada funding programs must participate in the **Research Applicant Demographics Tracking Initiative**, which aims to reduce systemic barriers for equity-deserving groups in genomics research. This initiative gathers voluntary and anonymous demographic data through a brief questionnaire to establish a baseline for improving diversity, equity, inclusion and accessibility. The data remains confidential and does not influence the application review process. Aggregated results are shared with regional Genome Centres and securely stored, adhering to **Genome Canada's Corporate Privacy Policy**.

Genome Canada will apply these policies to all its funding programs. In circumstances where the details of one or more of the policies above does not apply to a particular program, it will be made clear in the FOs. Genome Canada’s policies recognize the importance of maintaining the confidentiality of commercially valuable information and seek a balance between openness and protection of Canadian economic interests. As set out in the policies, applicants may request an exemption from data sharing requirements. These requests will be evaluated by Genome Canada, and applicants will be promptly informed of the decision on their request.

3. APPLICATION AND EVALUATION PROCESS

3.1 APPLICATION

Applications to Genome Canada funding programs are primarily submitted through a regional Genome Centre. In cases where applications may be submitted other than through a Genome Centre, it will be made explicitly clear in the FO.

Application requirements vary across initiatives and programs. Applicants are expected to review the relevant FO documentation and application forms for specific requirements. The appropriate application forms are to be used without modification at each stage. Page limits will be strictly enforced: pages beyond the limits and unsolicited appendices will be removed

before they are evaluated. Applicants will be notified if this occurs but will not have the opportunity to revise their applications to meet page limits.

Genome Centres are responsible for evaluating the eligibility of applications and ensuring applications satisfy all FO requirements and Genome Canada's evaluation criteria. They are also responsible for ensuring all supporting documentation is provided before submitting applications to Genome Canada.

In cases where applicants submit the same (or very similar) applications to more than one Genome Canada competition for which the review periods overlap, Genome Canada will automatically withdraw the second application from the competition.

3.2 EVALUATION

Genome Canada has the final decision-making power on eligibility of any application it receives.

Evaluation of applications is carried out by independent experts. Processes for evaluation vary by initiative and variations will be detailed in FOs. Genome Canada may adjust the evaluation processes if warranted by the complexity of applications received or other relevant factors. Any changes will be promptly communicated on Genome Canada's website and through the Genome Centres as appropriate.

4. ELIGIBLE COSTS

The application of eligible costs applies to all project funding from Genome Canada or other sources.

4.1 ELIGIBLE COSTS

Eligible costs are defined as reasonable costs that directly support the objectives and deliverables of the project. Project budgets must NOT include items for which funding has already been approved from other sources.

Unless otherwise specified by individual program criteria in the FO, eligible costs funded by Genome Canada must be incurred after the Notice of Award (NOA). Expenses covered by eligible co-funding incurred up to six months prior to the NOA may be considered eligible.

Specific FOs will describe exceptions and additional information with respect to eligible costs, if applicable.

The main categories of eligible costs are described below.

Salaries and benefits:

- Salaries and benefits for team members. Note that salaries of researchers or senior management currently funded by their respective organizations are NOT considered eligible costs.
- The actual benefit rates charged by the host institution. Eligible benefits include payroll taxes, group insurance and group pension only. For institutional benefit rates higher than 25 per cent of the employee's salary, supporting documentation—such as a letter from the institutional human resources department that includes a detailed breakdown of the components making up the benefit rate—must be provided.
- The actual cost of release time from teaching and clinical duties, if supported by a letter from the host institution.
- Annual inflation for salary expenditures in the second and later years of the project as forecasted by the host institution. Note that for inflationary increases exceeding 3.0 per cent of total salary and benefits, supporting documentation must be provided.
- Maternity and/or parental leave payments for students and postdoctoral fellows who are paid out of the project and primary caregivers for a child. The payment will be provided to students and fellows as per their current salary/stipend for up to twelve months following the child's birth or adoption. If both parents are supported by the project, each parent may take a portion of the leave for a combined maximum of twelve months. The payment will be pro-rated if the student or postdoctoral fellow is being trained in research on a part-time basis. Students or fellows who are eligible for employment insurance or parental leave payments from other sources do not qualify for parental leave payments.

Equipment:

- Any item, or interrelated collection of items comprising a system, which is used wholly or in part for the research proposed and meets ALL THREE of the following conditions: 1) Non-expendable tangible property 2) Having a useful life of more than one year 3) A cost of $1,000 or more.
- Research infrastructure, such as scientific collections and information databases used wholly or in part for the research proposed.

Consumables:

- Items that meet AT LEAST ONE of the following conditions: 1) Expendable tangible property 2) Useful life of one year or less 3) A cost of less than $1,000.
- For consumables commonly used in most laboratories, a general rate per full time equivalent (FTE) will be accepted if appropriately justified with supporting documentation.
- Items such as equipment maintenance contracts, general maintenance of research infrastructure and travel that is directly related to the conduct of the project.
- Costs associated with translating results to applications.
- Costs associated with downstream product development—such as formulation, kit or primary package design, and protocol development and validation—may be eligible and will be assessed on a case-by-case basis.

General and administrative costs:

- Administrative costs can include, for example, travel for project team members related to the management of the project, and project-related conferences and public outreach activities
- Publications, communications website maintenance, office expenses and costs associated with the preparation of reports.
- These costs are NOT to exceed five per cent of the non-administrative costs of the project.

Services from others:

- Services from others refers to the costs related to services from fee-for-service providers.
- Project plans and budgets must include a detailed description of all outsourced technical services that will be employed. Applications must include letters from service providers describing in detail, and quantifying, the work being requested, specifying unit costs and/or pricing schedules, and providing other relevant details.
- Although project leaders are encouraged to work with Canadian service providers and platforms, they may also use foreign fee-for-service providers. Project leaders must include a justification for their choice of fee-for-service providers. For out of country fee-for-service providers, they must include the reasons for not using a Canadian-based alternative. The justification should address factors such as the availability, quality, timeliness and cost of the services provided.

4.2. INELIGIBLE COSTS

Examples of ineligible costs include:

- Payments to foreign persons (e.g. salaries and benefits for international project team members).
- Discretionary severance and separation packages.
- Indirect costs to the project, including institutional overhead costs.
- Rent, renovation or construction of buildings or facilities, and the opportunity cost of using existing infrastructure.
- Costs associated with commercialization beyond the proof-of-concept stage, such as packaging, testing, marketing and related consultants.
- Sales and marketing activities, such as sales training, marketing strategy development, detail aids and sales-related promotional and educational events.
- Inflation applied to consumables, equipment, general and administrative costs, or services from others.

5. CO-FUNDING

Genome Canada's model is premised on partnership and leverages its investments in research projects through co-funding with others. This approach is intended to stimulate new and greater investment in genomics research and development, and it is a tangible indicator of partner interest in the outcomes of the research.

As such, Genome Canada generally requires that a portion of the requested funding be obtained through co-funding from other sources. The co-funding requirements for each competition will be specified in its FO.

A well-developed and feasible co-funding plan must be provided at the time of application. Where co-funding is required, Genome Canada funds will not be released to a project until it meets the co-funding requirements as outlined in the FO. Genome Canada reserves the right to withdraw funding at any time for any project that does not meet these requirements, or if there is a substantial change in the project's co-funding status.

5.1. ELIGIBLE SOURCES OF CO-FUNDING

Eligible co-funding sources:

- Companies
- Venture capital or other investment funds
- An industry consortium
- Institutional funds, trust funds or foundations
- Not-for-profit organizations
- Departments and agencies of provincial, territorial and municipal governments
- Individuals

5.2. CO-FUNDING REQUIREMENTS

Co-funding must be applied to eligible costs directly related to new or incremental activities that are integral to the Genome Canada approved project (see Section 4.1 on eligible costs).

Co-funding may be provided in cash and/or in-kind contributions.

5.2.1. In-kind contributions

In-kind contributions are defined as cash-equivalent goods or services and may be considered as co-funding if:

- The value can be reasonably determined based on the acceptable valuation method and is supported by documentation from the supplier (see section 5.2.2).

- The expenditure represents an item that would otherwise have to be acquired with cash.

This excludes the cost of pre-existing facilities or equipment (budgets cannot include the opportunity cost of space or equipment).

Ineligible in-kind contributions include:

- Suppliers' discounts, such as the generally accessible institutional discounts available to medical and/or research institutions.

- The value of existing IP transferred to a project unless it is a contribution by a supplier of IP (e.g. a license that would otherwise have to be acquired from a third-party supplier). Such items must be supported by appropriate documentation from the supplier's executive management.

- Funding to support the indirect costs of a project, including overhead.

5.2.2. Valuation of in-kind contributions

The nature of an in-kind contribution must be supported by a clear rationale, and its valuation must be detailed, including supporting documentation such as price lists, quotes from suppliers and supporting letters. All in-kind contributions must be auditable by outside experts. Genome Canada has the right to withdraw an application from consideration if supporting documentation is not provided.

Category	**Acceptable valuation method**	**Examples of acceptable supporting documentation**	**Unacceptable valuation method**
Intellectual property	Fair market value of licencing and royalties	Quotation from legal counsel	Cost of maintenance and litigation Licensing fees paid to partners
Materials and supplies	Unit cost of production for commercial products Selling price to most favoured customer Price for internal transfers Cost of production of prototypes and samples	Supporting documentation of the fair market value from the supplier (invoice, purchase order, item listing, etc.)	Development costs

Equipment	**Donated (used)** -Fair market value -Company book value **Donated (new)** -Selling price to most favored customer (if stock item) -Cost of manufacture (if one of a kind) **Loaned** -Rental equivalent based on depreciation -Rental equivalent to highest-volume rate	Other bids received as part of a competitive bid process that provide useful market comparisons Institutional experience with a supplier's discount structure	List price or discounted list price Rental equivalents exceeding accepted values had the equipment been donated or sold Development costs
Hospitality	Cost	Supporting documentation of the cost of food	Alcoholic refreshments
Travel costs	Travel and accommodation costs aligned with the National Joint Council's **Travel Directive**	Supporting documentation of the transportation cost/value (purchase order, invoice, etc.)	
Salaries (General)	Actual salary cost (including benefits)	Supporting documentation outlining salary ranges for a particular role	Salary overheads, external charge-out or consultant rates, cost of benefits outside the average market range
Salaries (Academic researcher)	Actual costs to the institution for release time from teaching duties (e.g. the cost of hiring a sessional instructor for course release may be counted)		Academic faculty salaries
Salaries (Clinicians)	Portion of their salary for time devoted to working on funded projects that are additional to their routine activities (including teaching or service work)		Remuneration already received for teaching or service work

Student stipends	Cost of the stipend equivalent to the portion of their time working on a funded project		The portion of time dedicated to other non-project related work
Access to unique databases	Incremental cost of access	Supporting documentation of the cost/value from the supplier/organization Institutional experience with a supplier's discount structure	Cost of developing or maintaining database
Analytical and other services	Internal cost of services	Supporting documentation of the cost/value from the supplier/organization Institutional experience with a supplier's discount structure	Commercial cost of access
Professional and technical service contracts	Cost	Supporting documentation of the cost/value from the supplier/organization Institutional experience with a supplier's discount structure	
Software	Most-favoured-customer cost for ONE licence per software package Cost of equivalent commercial product (where donated software is not commercially available)	Supporting documentation of the cost/value from the supplier/organization Institutional experience with a supplier's discount structure	Development costs

	Cost of training and support (at the university/college site) for software by industrial partner personnel		
Use of facilities	Cost of access to the facility Internal rates for use of specialized equipment Internal rates for value of lost production, resulting from downtime	Supporting documentation of the cost/value from the supplier/organization	

5.2.3. Documentation required to support co-funding

Applications must include complete documentation to support the proposed co-funding, including a letter of commitment (template provided with FOs). In addition to the letter, supporting documentation should be a maximum of ONE page.

Documentation must clearly demonstrate that funding is being used for eligible costs included in the budget of the Genome Canada approved project. As noted above, project budgets must NOT include items for which funding has already been approved from other sources, unless the request for funding of these items was specifically made to support activities in the Genome Canada project and meets all other eligibility criteria. Therefore, items funded through applications made before knowledge of the Genome Canada competition was made public are not normally eligible as co-funding. On-going research awards may only be considered as eligible co-funding if these funds are specifically re-directed towards the Genome Canada project. A letter from the funder clearly confirming this is required.

- Organizations, including industry, charities and philanthropic organizations, are required to provide:
    - Reasonable documentation supporting their financial viability and ability to provide the co-funding. Depending on the organization and the level of funding committed, documentation could include the organization's most recent audited financial statements, including auditor's reports, balance sheets, income statements, statement of cash flows and notes to the financial statements.
    - Any other information or documentation that provides credible support to the organization's financial viability and ability to fulfill its co-funding commitments (e.g. press releases announcing significant new financing, cash flow projections, etc.).

6. ADMINISTRATION

6.1. PROJECT READINESS

Leader(s) of approved projects must meet, through formally submitted documentation, all relevant conditions that may be specified in the Notification of Award (NOA) received from Genome Canada. And they must be in a position to receive Genome Canada funding no later than three months after the effective date of the NOA. Genome Canada reserves the right to withdraw funding for any approved project that is not ready to receive funding at that time.

6.2. CONDITIONS FOR RELEASE OF GENOME CANADA FUNDING

Before funding can be disbursed, several conditions for funding must be satisfied. They are detailed below.

- A letter signed by the CEO of the Genome Centre (the administrative centre if co-led by more than one Genome Centre) confirming to Genome Canada that: all agreements have been signed between the administrative centre, co-lead Genome Centre(s) (if applicable), the lead organization and the researchers; all other conditions for release of funding have been met; and funding will flow to the project upon receipt of funding from Genome Canada. Funding may only be disbursed to other organizations once a signed agreement is in place with those organizations. Agreements must clearly demonstrate accord among the relevant parties, on all significant issues, including but not limited to: the nature of financial contributions, IP ownership and management, data release and sharing, the commercialization process, the funding term, a termination policy, financial and administrative policies, and periodic reporting of expenses and co-funding status. The agreements between the administrative centre, co-lead Genome Centre(s) (if applicable), the lead organization and the researchers must address the requirements for these agreements noted in the agreement between Genome Canada and the administrative centre.

- A revised budget, updated objectives and milestones will be required if new budget implications arise from recommendations of the reviewers (as outlined in the Summary of Review and Status Report) and/or reductions to the budget as approved by the Genome Canada Board. Genome Canada will NOT accept revisions to the budget for any other reasons prior to the commencement of a project.

- An updated co-funding summary demonstrating secured co-funding (received or firmly committed) for the project. Genome Canada reserves the right to withdraw its funding for any approved project/platform that does not meet the requirements of the competition, or if there is a substantial change in the co-funding status.

- The Administrative Centre must inform Genome Canada if there is an intent to flow funding through other Genome Centres before they reach eligible recipients, and

they must ensure an appropriate agreement is in place with the other Genome Centre(s). Genome Canada will determine whether the proposed flow of funding is consistent with its Funding Guidelines and agreements. If so, Genome Canada will provide confirmation in the funding approval letter addressed to the administrative centre CEO.

- Certifications must be obtained specifically for each project approved for funding by Genome Canada. Genome Canada requires a letter from the appropriate officials at the eligible institution confirming that the eligible institution will:
    - Ensure all relevant certifications (e.g. research ethics board (REB) approval, certification for care and use of experimental animals, biohazard certificates etc.) are obtained in accordance with applicable laws, regulations, standards and guidelines.
    - Not flow funds to an investigator until all relevant certifications are obtained for the research to be undertaken.
    - Provide Genome Canada with copies of certifications, upon request.

- A **data release and resource sharing** plan is required that complies with Genome Canada's policy. The project must remain current with internationally accepted standards of data release and resource sharing.

- A commitment to comply with Genome Canada's **Access to Research Publications Policy**.

- A commitment to comply with Genome Canada's policy on **Intellectual Property Policy**.

- A commitment to ensure that the conduct of research and use of funds is in accordance with the spirit and intent of the **Tri-Agency Framework: Responsible Conduct of Research**.

- Agreement to adhere to **Genome Canada's Research Security Plan**, to complete **Genome Canada's Research Security Risk Assessment Form**, and to submit a **risk mitigation plan** if risks are identified via the risk assessment form or there are any factors about which you are unsure.

- A commitment to acknowledge the contribution of the Government of Canada through Genome Canada, the Genome Centre(s), as well as all other relevant funders, in research publications, as well as all communications, including press releases, posters and oral presentations. Visual presentations such as seminars and websites must also include the Genome Canada logo. Note that information from approved applications (e.g. the name of project leaders, Genome Centre(s), lead organizations, project titles and summaries, and funding amounts) will be posted on the Genome Canada website.

- Agreement to meet specific conditions of the application review committee as detailed in the project's **Summary of Review and Status Report**.

- Agreement to adhere to the guidelines for the administration of projects as outlined in **Genome Canada's Guidelines for Funding**.

- Agreement to meet other conditions established by Genome Canada.

6.3 MANAGEMENT OF PROJECTS

6.3.1. Project management

Unless otherwise specified in an FO, all approved projects must have a designated project manager. Project managers coordinate administrative and reporting requirements.

6.3.2. Project monitoring

Genome Canada funded projects are monitored by the regional Genome Centres on an ongoing basis to ensure they meet their milestones and maximize the likelihood of their success.

Projects are subject to termination by initiative and/or program oversight committees if deliverables are not met.

6.3.3. Co-lead Genome Centres

Genome Canada will recognize projects as being co-led by two or more Genome Centres where the project is undertaking research or other activities in at least two different regions of Canada and the Centres have agreed to co-manage the project. In these cases, Genome Canada will send its funding to one Centre, which will be formally identified as the administrative centre. Where there are co-lead Genome Centres, the administrative centre will be responsible for:

- Coordinating the flow of Genome Canada funding to other Centres and/or institutions, as appropriate.
- Reporting to Genome Canada in accordance with established processes as one integrated project.
- Working with other involved Centres to ensure clear accountabilities and full integration of all project components.

6.3.4. Financial management of projects

Genome Canada will initiate disbursement of funding to Genome Centres once all conditions of Section 6.2 of these Guidelines have been met.

Other components of the financial management of projects:

- Genome Canada provides funding to the Genome Centres for projects in regular instalments based on information provided by the Genome Centres on actual expenditures—for funds from Genome Canada and co-funding sources—up to the previous reporting period, as well as estimates for the reporting period and forecasts for the period of the advance.

- Subsequent Genome Canada funding disbursements may be adjusted to account for any unused funding.
- If co-funding is secured by way of a binding agreement, and funds can be shown to be available to meet the co-funder's obligations, Genome Canada's funding can be adjusted to accommodate the timing of the expected receipt of a contribution from co-funding partners. Note that where co-funding sources are not secured, Genome Canada's contribution may be provided up to the maximum of its share of the approved quarterly budget after confirmation from the Centres that a co-funding strategy is in place.
- The co-funding (actual and planned) must be reported on a quarterly basis, except as noted below.
- For financial settlement at the end of each project, Genome Canada's percentage share of the total actual expenditures is based on the most recent approved budget.
    - A revised budget may include less co-funding than originally approved but must always meet the minimum requirements for the program.
- A financial reconciliation reflective of Genome Canada funding received and actual expenditures is completed at the end of each project to determine the holdback to be provided following approval of the final report.
- Following approval of a project's final report, the final 10 per cent (up to a maximum of $50,000) of Genome Canada funds will be released to the applicable Genome Centre for disbursement to the project.

6.3.5. Financial management of small projects

Genome Canada will follow a streamlined payment process for approved small projects to reduce administrative burden. If possible, for projects receiving Genome Canada funding totalling less than or equal to $250,000, Genome Canada shall disburse to the Genome Centre:

- The first year of the budgeted Genome Canada project contribution in one installment upon project initiation.
- Its contributions for subsequent years (except for the final year) in annual installments based on the Genome Canada budgeted contribution .
- The first three quarters of the Genome Canada budgeted contribution at the start of the final year of the project.
- The final quarterly Genome Canada contribution (net of any holdback) at the start of the final quarter of the project.

For projects with Genome Canada funding totalling less than or equal to $100,000, Genome Canada shall disburse to the Genome Centre the entire sum of its approved project contribution upon project initiation (net of any holdback).

To further reduce administrative burden, for all projects with Genome Canada funding totalling less than or equal to $250,000, the financial status of co-funding will only be required to be updated on an annual basis, and project leaders will only be required to submit financial reports to the Genome Centre annually.

6.3.6. Reporting and performance measurement

Funded projects must submit to the Genome Centre on a periodic basis, as specified in the FO, information and data which will allow for the ongoing assessment of project progress, including performance metrics data as prescribed by Genome Canada and the Genome Centre. Project information may be requested for any evaluation activities that may be undertaken from time to time by Genome Canada or the Genome Centre up to five years subsequent to the end date of the project. It is the responsibility of the lead research institution to ensure that the project leaders(s) meet these reporting requirements.

Periodic project reports will typically include updates on progress against project milestones, actual expenditures of Genome Canada funds compared to approved budget, receipt and uses of co-funding, and descriptions of project outputs such as highly qualified personnel (HQP), publications and other achievements.

6.4. MANAGEMENT OF CHANGES

Over the term of a project, adjustments to the initially approved plan may be required due to changes to the scientific, managerial or financial conditions of the project. Project leaders are expected to follow the **Guidelines for Management of Changes** in requesting changes to the approved plan. Approval of requested changes will be required from the Genome Centre and Genome Canada to maintain project funding by Genome Canada.

6.5. NO-COST EXTENSION

To ensure Genome Canada projects generate maximum benefits, Genome Canada may allow projects to apply for a one-time no-cost extension (NCE) depending on funding profiles.

In cases where NCEs are possible, they may be requested by projects that:

- Require more time to complete their approved objectives and research activities.
- Have forecasted unspent funds at the approved end date.

For all requests, Genome Centres must perform the appropriate financial and programmatic due diligence to ensure reasonableness of the request. The process for approvals of NCEs may vary by program. Please contact Genome Centres for more details.

6.6. FINAL REPORTS

Within THREE months of the completion of projects, each project will be required to submit to its Genome Centre a final report that includes a description of the accomplishments of the project relative to the approved objectives, as well as a detailed financial report in a format determined by Genome Canada.

A percentage of the final payment will be held back by Genome Canada and will only be disbursed to the host institution following receipt and approval of the final report by Genome Canada. The holdback for each project will be calculated as 10 per cent of the total Genome Canada contribution to the project, up to a maximum of $50,000.