



Guidelines for the Use of Grant Funds

1. Use of Grant Funds

Preamble

The following are guidelines to assist grantees and sponsoring institution administrators in their interpretation of the acceptable use of OHTN grant funds. The list of examples is not exhaustive.

Grantees are encouraged to communicate with their relevant sponsoring institution contacts (e.g. financial or grants officer). In the absence of clear understanding of an OHTN policy, the sponsoring institution is to seek a ruling from the OHTN.

General Principles

OHTN funds must be used to contribute towards the **direct costs** of the project for which the funds were awarded. The sponsoring institution provides for indirect or overhead costs, such as the costs associated with facilities and basic utilities, the purchase and repair of office equipment, administration fees, insurance for equipment and research vehicles, and basic communication devices such as telephones, fax machines, etc.

The funds must be used effectively and economically, and the expenses must be essential for the project supported by the award.

In the absence of an explicit OHTN policy, the sponsoring institution policy (e.g. regarding per diem rates for travel) is to be applied. In the presence of both an OHTN policy and a sponsoring institution policy, the OHTN's policies override the sponsoring institution's policies. The OHTN relies on the sponsoring institution's research integrity and conflict of interest policies to ensure the accountable and responsible use of grant funds.

The sponsoring institution has the right and responsibility to withhold approval of expenses proposed by a grantee that contravene OHTN regulations or sponsoring institution policies.

a. Compensation-Related Expenses

Persons paid from OHTN grant funds are not considered OHTN employees, scholars, or fellows.

Institutional non-discretionary benefits normally include long- and short-term disability insurance; life insurance; pension benefits; medical, vision, and dental care benefits; and maternity leave.

Eligible Expenses

- Salaries, stipends, and related federal, provincial, and institutional non-discretionary benefits for work performed by research personnel such as research coordinators, research assistants, technicians, and trainees being paid from a grant. The rates of pay for research coordinators, research assistants, and technicians shall be in accordance with the salary scale of the institution concerned;
- Teaching and administrative service buy-out for Principal Investigators (Endgame Leader Awards only);
- Clerical salaries **directly** related to dissemination activities, including manuscript preparation;
- Fees paid to research participants, such as modest incentives for participation where ethically acceptable;
- Honoraria for guest speakers and project stakeholders;
- Stipends for graduate students.

Non-Eligible Expenses

- For operating grants, any part of the salary of the grantee or other persons whose status would make them eligible to apply for OHTN grants (exceptions may be made in the case of Community-Based Project and Participatory Evaluation Program projects and Community Fellowship Awards);
- Top-up of salary (for Endgame Leader Awards);
- Teaching and administrative service buy-out for Principal Investigators (Endgame Leader Awards only) when on sabbatical leave;
- Administrative (or management) charges and fees (exceptions may be made in the case of Community-Based Project and Participatory Evaluation Program projects and Community Fellowship Awards);
- Discretionary severance and separation packages;
- Payments under grants to practicing clinicians who wish to participate in the project on a part-time basis, or to individuals who wish to participate in the project as an investigator and who at the same time receive remuneration for teaching or service work;
- Salaries and benefits of employees of OHTN, federal or provincial governments.

b. Travel and Subsistence Costs

Eligible Expenses

Travel and subsistence costs (meals and accommodation) include reasonable, out-of-pocket expenses for fieldwork, research conferences, collaborative trips, archival work, and historical research, for the grantee, project personnel, students, visiting researchers, and named investigators working with the grantee.

- Air travel, which must be claimed at the lowest rate available (not to exceed full economy fare);
- Travel cancellation insurance;

- Travel health insurance for research personnel who do not receive any such benefits from their institution or other sources;
- Safety-related expenses for field work (e.g. protective gear, immunizations).

Non-Eligible Expenses

- Commuting costs between the residence and place of employment or between two places of employment;
- Relocation costs for project personnel;
- Passport and immigration fees;
- Costs associated with thesis examination/defense, including external examiner costs;
- Reimbursement for airfare purchased with personal frequent flyer points.

c. Sabbatical and Leave Periods

Eligible Expenses

- Direct project expenses, including research assistance, bench fees, and fieldwork expenses, when supported by appropriate documentation;
- Travel costs to attend a conference during a sabbatical leave.

Non-Eligible Expenses

- Teaching and administrative service buy-out for Principal Investigators (Endgame Leader Awards only) when on sabbatical or leave;
- Costs of transporting project personnel to and from a grantee's sabbatical or leave location for supervisory or academic purposes;
- Costs of transporting the grantee to the home institution for supervisory purposes during a sabbatical leave;
- Living expenses during a sabbatical leave;
- Costs of relocation and subsistence associated with sabbaticals and other leaves, except where these have been explicitly identified in the application for the grant and approved by the OHTN.

d. Equipment and Supplies

Eligible Expenses

- Contracted services directly required for the conduct of the project;
- Equipment and supplies directly required for the conduct of the project;
- Transportation costs for purchased equipment;
- Extended warranty for equipment;
- Brokerage and customs charges for the importation of equipment and supplies;
- Costs of training staff to use equipment or a specialized facility;
- Maintenance and operating costs of equipment used for OHTN-supported projects during the tenure of the OHTN grant.

Non-Eligible Expenses

- Insurance costs for equipment;
- Costs of construction, renovation, or rental of laboratories or supporting facilities.

e. Computers and Electronic Communications

Eligible Expenses

- Computers, modems, and other hardware and software required for the project provided they are justified and not already available;
- Monthly charges for the use of the Internet from the sponsoring institution or the home, only when this service is required for the purpose of research and not normally provided by the institution free of charge;
- Cellular phones and other digital devices will be permitted only in cases where they are necessary for data collection (must be justified).

Non-Eligible Expenses

- Standard monthly connection or rental costs of telephones (exceptions may be made in the case of Community-Based Project and Participatory Evaluation Program projects and Community Fellowship Awards);
- Connection or installation of lines (telephone or other links);
- Voicemail;
- Library acquisitions, computer, and other information services provided to all members of an institution.

f. Dissemination of Research Results

Eligible Expenses

- Costs of developing web-based information, including web maintenance fees;
- Costs associated with the circulation of findings, through traditional media as well as videos, CD-ROMs, etc.;
- Page charges for published articles, including costs associated with ensuring open access to the findings, limited to one publication per project;
- Costs of preparing a research manuscript for publication;
- Translation costs associated with dissemination of findings;
- Costs of holding a workshop or seminar, the activities of which relate directly to the funded project (including non-alcoholic refreshments or meal costs).

g. Services and Miscellaneous Expenses

Eligible Expenses

- Recruiting costs for research personnel, such as advertising;
- Costs for safe disposal of waste;
- Costs for the purchase of books or periodicals, specialized office supplies, computing equipment, or information services not formally provided by the institution to all its academic and research staff;
- Costs involved in providing personnel with training or development in novel techniques required for the conduct of the research project;
- Hospitality costs (non-alcoholic refreshments or meals) for project-related activities and assemblies that facilitate and contribute to the achievement of the project objectives (e.g. grantee meeting with partners and stakeholders);
- Costs of membership in professional associations or scientific societies if necessary for the project.

Non-Eligible Expenses

- Costs of alcohol;
- Costs of entertainment, hospitality, and gifts, other than those specified above (such as regular interactions with colleagues from the institution or personnel meetings);
- Costs related to staff awards and recognition;
- Education-related costs such as thesis preparation, tuition, and course fees (exemption made for Student Leadership Awards);
- Costs related to professional training or development, except those specified above;
- Costs involved in the preparation of teaching materials;
- Costs of basic services such as heat, light, water, compressed air, distilled water, vacuums, and janitorial services supplied to all laboratories in a research facility;
- Insurance costs for buildings or equipment;
- Costs associated with regulatory compliance, including ethical review, biohazard or radiation safety, environmental assessments, or provincial or municipal regulations and by-laws;
- Sales taxes to which an exemption or rebate applies;
- Costs of regular clothing;
- Patenting expenses;
- Costs of moving a lab.

2. Administrative Matters

a. Parental, Medical, or Care and Nurturing Leave

OHTN recognizes that extended leave (maximum one year) granted by the sponsoring institution may have an impact on an individual's funded Project, and offers the following options with respect to OHTN grants:

- When an extended leave of absence has been taken, the grantee may request a no cost extension of the term of the current grant for up to one year, provided that there is only one grantee (i.e. one Principal Investigator) on the grant;
- OHTN is to be notified prior to the leave whenever possible and such a request must be endorsed by the sponsoring institution authorities;
- Provided all parties agree, approval may be given to defer an installment or extend the time required to complete the funded project.

b. Sabbatical and Other Leaves

Grantees may be away on sabbatical leave for a period not exceeding one year. The grantee or institution must inform OHTN when a grantee is away on sabbatical leave.

Grantees will continue to receive installments/annual commitments during the period of sabbatical leave for project operations only, subject to OHTN review and approval. No additional funds will be given to cover the period of sabbatical leave.