GenomeCanada

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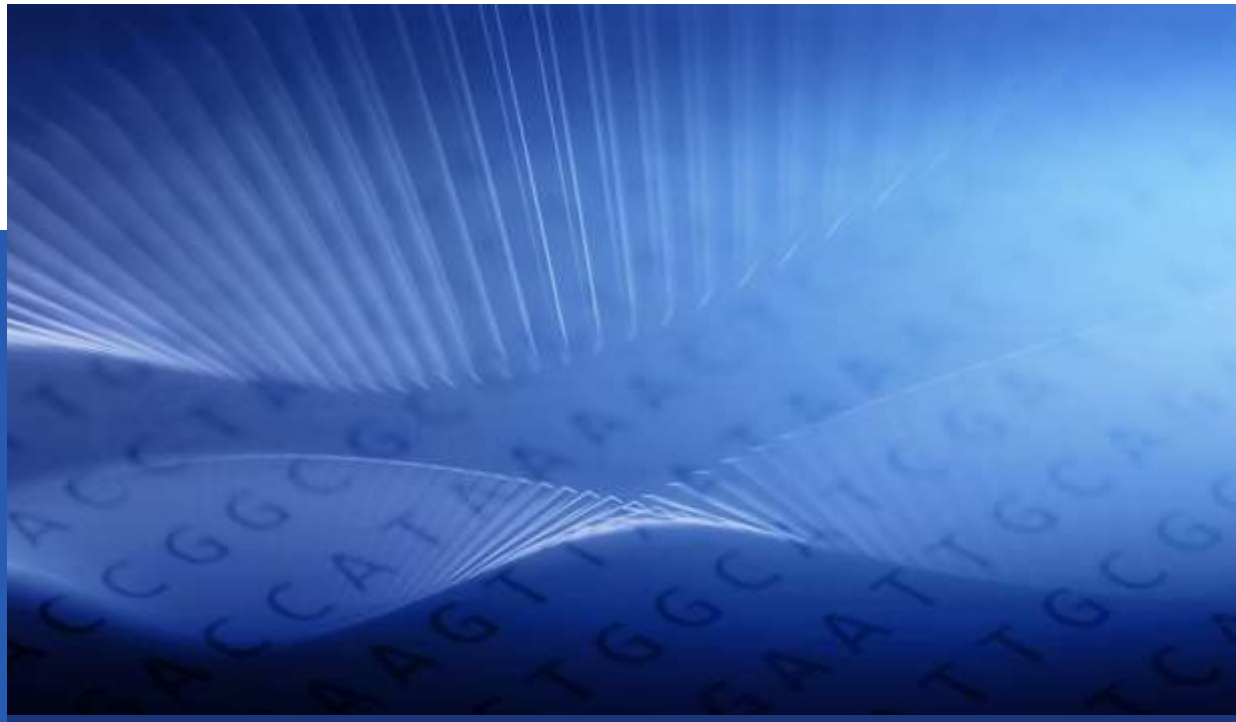

Guidelines for Funding

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GenomeCanada

Genome Canada Guidelines for Funding
Contents

1. INTRODUCTION

Genome Canada's Guidelines for Funding (hereafter referred to simply as the "Guidelines") will in general apply to all Genome Canada funding programs. However, specific Requests for Applications (RFAs) will note any exceptions to the Guidelines or include additional guidelines applicable to particular competitions/programs. The Guidelines provide details on eligibility for Genome Canada funding, acceptable uses of funds, the obligations of fund recipients and other related matters.

Genome Canada designs, funds and administers a suite of programs to fuel the research and innovation pipeline – from discovery through to applications of research, including commercialization – in seven strategic sectors (agriculture, energy, environment, fisheries, forestry, health and mining). Genome Canada funding programs typically involve periodic Requests for Applications and multi-stage, competitive review processes involving independent experts. Applications to Genome Canada's programs are submitted through the regional Genome Centres, which are the primary contacts for program applicants and funded project teams. The Genome Centres support genomics research at a regional level. They assist applicants in preparing competitive applications, facilitate access to genomics technology service providers, help projects/platforms with aspects of project development and management and, working with the applicants, are responsible for securing necessary co-funding. The Genome Centres are responsible for selecting which projects/platforms to put forward to Genome Canada. Once projects/platforms are approved, the Genome Centres have the lead in ensuring their effective management and monitoring.

Genome Canada defines genomics as the comprehensive study, using high throughput technologies, of the genetic information of a cell or organism and its functions. The definition also includes related disciplines such as bioinformatics, epigenomics, metabolomics, metagenomics, nutrigenomics, pharmacogenomics, proteomics and transcriptomics.

Genome Canada also funds GE^{3}LS research. The acronym GE^{3}LS stands for "Genomics and its Ethical, Environmental, Economic, Legal and Social aspects". However, it should be understood broadly as genomics-related research endeavors and related activities undertaken from the perspective of the social sciences and humanities. Therefore, it is not strictly limited to disciplines that make-up the acronym but rather encompasses all those that rely on quantitative and qualitative methodologies to investigate genomics in society, and help establish a basis to inform applications, practices and policies. Specific details on GE^{3}LS research funding opportunities can be found in relevant RFAs.

For the purpose of these Guidelines a "project" includes all research-related endeavours receiving funds through any of Genome Canada's funding programs including support for technology platforms.

2. GENERAL GUIDELINES

2.1 Eligibility Requirements

2.1.1. Eligible Institutions

Genome Canada funds can only be awarded to individuals affiliated with one or more of the following types of organizations:

- Canadian universities and affiliated institutions including research hospitals and research institutes
- Not-for-profit organizations (including community or charitable organizations) with an explicit research mandate
- Canadian non-federal government departments or agencies

2.1.2. Eligible Individuals

Individuals eligible to receive and administer Genome Canada funds must be:

- autonomous regarding their research activities; and,
- have an academic or research appointment such that the individual is:
    - allowed to pursue the proposed research project independently for the duration of the funding, to supervise trainees, and to publish the research results; and,
    - obliged to conform to institutional/organizational 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. However, only eligible individuals and their affiliated institutions, as set out above, may receive and administer Genome Canada funds.

2.1.3 Project Participant Categories

Project Leader (e.g., Project Leader, Platform Leader or Academic Leader depending on the program)
Each Genome Canada project must identify a Leader who is eligible to receive and administer Genome Canada funds. The Leader is responsible for the intellectual direction of the project and assumes administrative and financial responsibility for all Genome Canada funds transferred to their institution in support of the project.

Co-Leaders
In applications where the responsibility for the intellectual direction of the project is shared more or less equally between two or more individuals the project may also designate a Co-Leader. The Co-Leader does not need to be located at an institution eligible to receive Genome Canada funding.

Receptor Leader
Some programs, such as the Genomic Applications Partnership Program (GAPP) 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 is an individual who makes a substantial intellectual contribution to the proposed research and who will be 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 likewise be responsible for the funds paid to their institutions, from Genome Canada or other sources.

Collaborator
A Collaborator is an individual who is not involved in the day-to-day execution of the research, but whose role is to 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.).

User/Receptor Representatives
Users are defined as organizations that are able to 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. 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.

In some programs such as GAPP, Users are known as Receptors and are defined more specifically as organizations that intend to further develop the innovation and/or knowledge resulting from a project leading to it being put into practice (i.e., in internal operations, by commercialization, or otherwise making it available to its ultimate users).

2.2. Genome Canada Data Release and Sharing Policies

Genome Canada is 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. By providing the broader scientific community with timely access to the outputs of Genome Canada-funded projects, it is anticipated that the translation of research will be accelerated for the benefit of Canada and the wider global community.

To receive Genome Canada funding, project teams must expressly agree to comply with Genome Canada's **Data Release and Sharing** policies: Data Release and Resource Sharing; Access to Research Publications; and, Intellectual Property. Project Leaders and their Institutions are responsible for ensuring compliance with these policies. Genome Canada and regional Genome Centres will monitor adherence to these policies through a variety of mechanisms including project oversight committees.

Genome Canada supports a variety of programs across the spectrum from discovery to translation and does so in partnership with many different organizations. In circumstances where the details of one or more of the aforementioned policies does not apply to a particular program, it will be made clear in the Request for Applications. 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 whether or not to allow the exemption.

3. Application and Evaluation Procedures

All applications to Genome Canada funding programs must be submitted through a regional Genome Centre. It is the responsibility of the Centre to determine which projects to put forward to Genome Canada.

Application requirements vary depending on the program and competition. Applicants are expected to review the relevant program literature, request for applications, and application forms for the 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 reviewed. Due to the tight timelines for review, applicants will be notified if this occurs but will not have the opportunity to revise their applications to meet the page limits.

It is the responsibility of the regional Genome Centre to evaluate the eligibility of application before submitting it to Genome Canada. The Genome Centre must ensure that each proposal satisfies all the requirements of the competition as well as Genome Canada's evaluation criteria, as defined in the RFA of a particular competition. Genome Canada has the final decision on eligibility of any application it receives.

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.

Evaluation of applications is carried out by independent experts and processes vary depending on the program and competition. See the specific RFA for details. Genome Canada may adjust its evaluation processes where warranted by the complexity of proposals received or other relevant factors. Any changes will be rapidly communicated through Genome Canada's website and through the regional Genome Centres.

4. Use of Genome Canada Funds

Genome Canada funds may only be used for work performed within eligible institutions (see 2.1.1) and for services provided by independent third parties under a reasonable fee-for-service arrangement or contract.

4.1. Eligible Costs

Genome Canada funds can only be used for eligible costs which are defined as reasonable costs for items that directly support the objectives of the approved project. 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. Unless otherwise specified by individual program criteria, expenses funded through Genome Canada must be incurred after the Notice of Award (NOA) to be considered as eligible costs, while expenses covered by eligible co-funding incurred up to six months prior to the NOA may be considered eligible.

Specific RFAs will describe exceptions or additional guidelines with respect to eligible costs applicable to projects funded in a particular competition.

The main categories of eligible costs are: salaries and benefits, consumables, equipment, general and administrative costs, and services from others, as described below.

- Salaries:
    - 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 as charged by the host institution. Eligible benefits include payroll taxes, group insurance and group pension only. For institutional benefit rates higher than 20% 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. In such cases, Genome Canada will conduct a thorough review to ensure compliance with Genome Canada guidelines.
    - 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 at actual rates as charged by the host institution; for inflationary increases exceeding 1.5% of total salary and benefits, supporting documentation must be provided.
    - Maternity and/or parental leave payments for students and postdoctoral fellows. Genome Canada will allow for maternity and/or parental leave payments to eligible students and postdoctoral fellows who are paid out of the project and who are primary caregivers for a child. The payment will be provided to students and fellows as per their current salary/stipend for up to six months following the child's birth or adoption. If both parents are supported by project funds, each parent may take a portion of the leave for a combined maximum of six 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:
    - Equipment is defined as 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; and, 3) a cost of $2,000 or more.

- The equipment category also includes research infrastructure such as scientific collections and information databases used wholly or in part for the research proposed.

- Consumables:
  - Material and supplies: includes items that meet at least one of the following conditions: 1) expendable tangible property; or, 2) useful life of 1 year or less; or, 3) a cost of less than $2,000. As an example, a laptop computer that costs less than $2,000 would be considered a consumable even though it is a non-expendable tangible item with a useful life of more than one year.
  - For consumables commonly utilized in most laboratories, a general rate per FTE will be accepted, provided that the rate is appropriately justified in the supporting documentation.
  - The consumables category also includes items such as equipment maintenance contracts and general maintenance of research infrastructure and travel that is directly related to the conduct of the project.
  - Costs associated with translating results to applications, e.g., patenting, proof-of-concept, market research and business case development, unless otherwise specified in the RFA.

- General and Administrative Costs
  - Administrative costs can include, for example, travel for project team members related to the management of the project (e.g., project team meetings) and project-related conferences, publications, communications and public outreach activities, website maintenance, office expenses and costs associated with the preparation of reports.
  - Administrative costs must not exceed five percent (5%) of the non-administrative costs of the budget.

- Services From Others
  - Services from others refers to the costs related to services provided by Genome Canada's Genomics Technology Platforms or other fee-for-service providers.
  - Project plans and budgets must include a detailed description of all outsourced technical services that will be employed. It is the obligation of the project team to understand and describe the work that will be outsourced and to manage the service provider's involvement in the project. Applications must include letters from service providers describing in detail and quantifying the specific work being requested, specifying unit costs and/or pricing schedules, and providing other relevant details.
  - Although Project Leaders are encouraged to work with Genome Canada's Genomics Technology Platforms, they may use other fee-for-service providers, either Canadian or foreign. Project Leaders must include a justification for their choice of fee-for-service providers and, for out of country fee-for-service providers, 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, for example, salaries and benefits of project team members;
- 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 product development, formulation, packaging, testing, marketing and consultants; and,
- inflation applied to consumables, equipment, general & administrative costs or services from others.

5. CO-FUNDING

Genome Canada normally requires that a portion of the requested funding for eligible costs for any given project be obtained through co-funding from other sources. The co-funding requirements for each competition will be specified in the RFA. At the time of application, a well-developed and feasible co-funding plan must be provided. In cases where co-funding is required, Genome Canada funds will not be released to a project until the project meets the co-funding requirements as outlined in the RFA. Genome Canada reserves the right to withdraw its funding for any approved 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 for Projects

Eligible co-funding sources include:

- Companies
- Venture capital or other investment funds.
- An industry consortium
- Institutional funds, trust funds, or foundations
- Charities and philanthropic organizations
- Departments and agencies of the federal government (e.g., Natural Resources Canada, Agriculture and Agri-Food Canada, and regional development agencies)
- Independent corporations funded by the Federal Government (e.g., the Canada Foundation for Innovation, Mitacs)
- Departments and agencies of provincial and municipal governments
- Voluntary organizations
- Individuals

Unless otherwise specified in a particular RFA, ineligible co-funding sources for Projects include:

- Canadian Institutes of Health Research (CIHR)

- Natural Sciences and Engineering Research Council (NSERC)
- Social Sciences and Humanities Research Council (SSHRC)
- Canada Research Chairs (CRC)
- Networks of Centres of Excellence (NCEs)

5.2. Co-funding Requirements

Co-funding must applied to eligible costs directly related to new or incremental activities that are an integral part of the Genome Canada approved project (see Eligible Costs, Section 4.1).

In-kind contributions, defined as non-cash eligible budget items that can be given a cash value (such as salaries for company personnel working on the project) may be considered as co-funding if:

- the value can be reasonably determined and supported by documentation from the supplier; and
- the expenditure represents an item that would otherwise have to be acquired with cash. This excludes the cost of pre-existing facilities or equipment (i.e., budgets cannot include the opportunity cost of space or equipment).

The value of existing IP transferred to a project is NOT considered eligible co-funding 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.

Suppliers' discounts are not eligible co-funding.

Funding to support the indirect costs of a project (including overhead) is not eligible co-funding.

5.2.1. Documentation Required to Support Co-funding

Applications must include complete documentation to support the proposed co-funding, including a letter of commitment or an agreement defining the terms and conditions of the proposed co-funding and a description of how the co-funding will directly and exclusively support the objectives of the Genome Canada funded project.

The following provides specific examples of documentation required, depending upon the co-funding source, or type:

- From a provincial government:
    - confirmation that the government will provide co-funding;
    - the amount anticipated;
    - a list of the projects/platforms in the competition that the government will support, including the project tracking number, the name of the researcher, the title of the project, and the amount of the request from the government;

- a description of the process that will take place once Genome Canada announces awards, including timelines for decisions and, if appropriate, confirmation that the government will accept Genome Canada's review process; and,
- a letter signed by a high-ranking provincial government official with appropriate authority.

- From a funding agency
  - A copy of the full application;
  - Project summary;
  - Detailed budget; and,
  - Notice of Award (if applicable).

  Documentation must clearly demonstrate that funding is being used for eligible costs included in the budget of the Genome Canada approved project.

- Organizations: including industry, charities, and philanthropic organizations:
  - Documentation and supporting information which clearly demonstrates the organization's level and terms of commitment to the project. Appropriate documentation could include but is not limited to a Board Resolution, and/or, a letter from the organization's CEO, legal counsel or Corporate Secretary.
  - Reasonable documentation supporting the organization's financial viability and its 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 Report, Balance Sheet, Income statement, Statement of Cash Flows and Notes to the Financial Statements.
  - Any other information or documentation which 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.).

5.2.1. Valuation of in-kind contributions

The valuation of in-kind (non-cash) contributions must be supported by a clear rationale and calculation of how the value of the contribution was determined (including documentation to support all assumptions, price lists, quotes from suppliers, supporting letters, etc.). All in-kind contributions must be auditable by outside experts and clear explanations are required if there are discrepancies between the value outlined in the co-funding document and the project budget. Examples of supporting documentation to support in-kind co-funding include:

- Salaries
  - Each in-kind salary line must be detailed by position in the budget template and represent the actual salary and benefits of the position in accordance with the applicable salary provisions of Eligible Costs listed in section 7.1.

- Consumables

- Documentation that indicates the cost to the co-funder to acquire the consumables or documentation that indicates the price that would be typically paid for the item(s) on the commercial market.

- Equipment and Software
  - Letter from a senior official of the vendor that shows the price that the customer would typically have paid for the equipment or software (net of typical discounts including institutional discounts which are not eligible as co-funding).
  - For custom-made or used equipment, a third party valuation will normally be required.
  - For previously developed custom-made software or IP, only new costs are eligible.
  - Samples and Other Biological Resources
    - If samples are typically available at no cost then there is no cost of acquiring such samples and as a result no value can be deemed to be co-funding.
    - If samples are typically sold, then any proposed contribution would require the same documentation as equipment and software.

6. ADMINISTRATION

6.1. Project Readiness

Leader(s) of approved projects/platforms must meet, through formally submitted documentation, all relevant conditions that may be specified in the Notification of Award (NOA) received from Genome Canada and 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 Funds

Before funds can be disbursed, several conditions for funding must be satisfied and 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), Genome Canada, the lead organization and the researchers; all other conditions for release of funds have been met; and funds will flow to the project upon receipt of funds from Genome Canada. Funds may only be disbursed to other organizations once a signed agreement is in place with those organizations. Agreements must clearly demonstrate agreement 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, etc. The agreements must be in compliance with the agreement between Genome Canada and the Administrative Centre.

- A revised budget, updated objectives and milestones, will be required in instances where there are budget implications arising 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. Final budget approval will be based on a review by Genome Canada.

- An updated co-funding summary that demonstrates 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 funds through other Genome Centres before they reach eligible recipients and ensure that an appropriate agreement is in place with the other Genome Centre(s). Genome Canada will determine whether the proposed flow of funds is consistent with Genome Canada's Guidelines and agreements and, if so, confirm such in the funding approval letter addressed to the Administrative Centre CEO.

- Certification must be obtained specifically for the research approved for funding by Genome Canada. In order to release funds to an organization, Genome Canada will accept a letter from the appropriate officials at the organization confirming that the organization will:
    - ensure that 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; and,
    - provide Genome Canada with copies of certifications, upon request.

- A **Data Release and Resource Sharing** Plan approved by Genome Canada. The project must remain current with internationally accepted standards of data release and resource sharing.

- A publication policy which includes a commitment to comply with Genome Canada's policy on **Access to Research Publications.**

- 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. In addition, visual presentations such as seminars and websites must include the Genome Canada logo in compliance with Genome Canada's Brand Standards Guide. Note that information from approved applications (i.e., the name of Project

Leaders, Genome Centre(s), Lead Organization, title, project summary and amount supported) 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 Funding

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

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

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 the country and the Centres have agreed to co-manage the project. In these cases, Genome Canada will send all its funds to one Centre which will be formally identified as the Administrative Centre. The Administrative Centre will be responsible for:

- coordinating the flow of Genome Canada funds to other Centres and/or institutions, as appropriate;
- reporting to Genome Canada in accordance with established processes, as one integrated project; and,
- working with other involved Centres to ensure clear accountabilities and full integration into the project of all its component parts.

6.3.4. Financial Management of Projects
Genome Canada will advance funding at the start of the project to the Genome Centre once all conditions of Section 6.2 of these Guidelines have been met.

- The agreement between Genome Canada and the Genome Centre will reference financial commitments from other parties as well as other financial requirements.
- As the needs and circumstances of each regional Genome Centre, the researchers and partner organizations may differ, the contracts between these partners will be negotiated individually and need not be identical, but should apply the same general principles defined in the agreement between Genome Canada and the Genome Centres. Genome

Canada's share of the funding for approved projects will flow from Genome Canada to the Genome Centres. The Genome Centres will manage (e.g., disburse, monitor and report on) the funds for the project.

- 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 contributions can be adjusted to accommodate the timing of the expected receipt of funds from co-funding partners. However, where co-funding sources are not secured, Genome Canada's contribution will be based on its share of the approved quarterly budget up to the maximum amount approved by the Board.
- Genome Canada provides funding up to the approved quarterly contribution, a quarter "in advance", subject to receipt of quarterly reports of expenditures (from both Genome Canada and co-funding sources), including actuals to the previous quarter, estimates for the current quarter, and forecasts for the quarter of the advance. Subsequent quarterly advances may be adjusted to account for any unused funding.
- The financial status of co-funding must be reported on a quarterly basis, except as noted below.
- For the purpose of financial settlement at the end of the project, Genome Canada's percentage share of the total actual expenditures is based on the most recently approved budget up to the maximum approved contribution amount. A revised budget may include less co-funding than originally approved but must always meet the minimum requirements for the program.

6.3.5. Financial Management of Small Projects

Genome Canada will follow a streamlined payment process for small projects to reduce administrative burden. For all projects with total Genome Canada funding 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 inception;
- its contributions for subsequent years in annual installments based on the approved Genome Canada budgeted contribution (except for the final year of the project);
- the first three quarters of the approved Genome Canada budgeted contribution at the start of the final year of the project; and,
- the final quarterly Genome Canada contribution (net of any holdback) at the start of the final quarter of the project.

Furthermore, for projects with total Genome Canada funding 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 inception (net of any holdback).

To further reduce administrative burden, for all projects with Genome Canada funding 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.

The final 10% (up to a maximum of $50,000) of Genome Canada funds will be released to the

project in coordination with the Genome Centre after the final report is approved by Genome Canada.

6.3.6. Reporting and Performance Measurement

Funded projects must submit to the Genome Centre on a periodic basis (as specified in the RFA), information and data which will allow for the on-going assessment of project progress, including performance metrics data, as prescribed by Genome Canada and the Genome Centre. Project Leaders or their designates must also, to the extent possible, agree to participate in, and provide information 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 in order to maintain project funding by Genome Canada.

6.5. No-Cost Extension

To ensure that maximum benefits are gained from Genome Canada projects, Genome Canada will provide an opportunity for projects to apply for a one-time no-cost extension (NCE).

NCEs may be requested by those projects that:

- require more time to complete their approved objectives and research activities; and,
- have unspent funds forecast at the approved end date.

For all requests, the Genome Centres should perform the appropriate financial and programmatic due diligence to ensure reasonableness of the request. The process for approvals of NCEs may vary by program but in general, to ensure consistency across the country for all project teams, the Genome Centre will make a recommendation to Genome Canada for final approval.

6.6. Final Reports

Within three (3) months of the completion of the project, 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 either Genome Canada or the Genome Centre and will only be disbursed to the host institution pending receipt and approval

of the Final Report by Genome Canada. The holdback for each project will be calculated as 10% of the total Genome Canada contribution to the project, up to a maximum of $50,000.