



GRAND NCE RESEARCH GUIDE

October | 2011
(draft version)

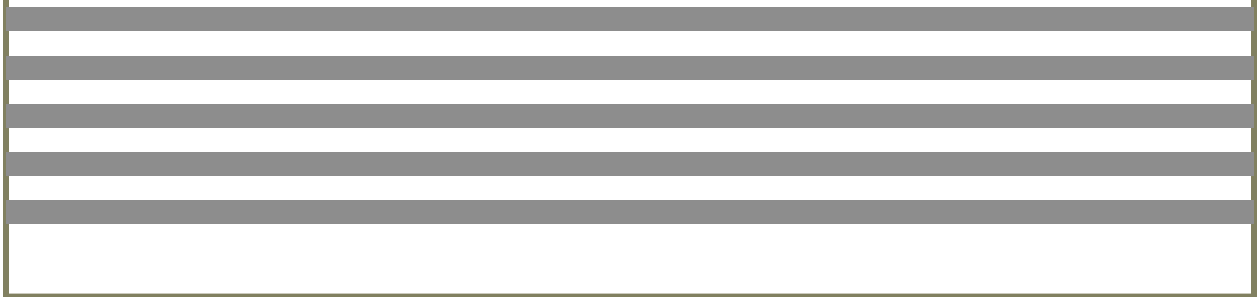


Table of Contents

- 1 Preface 4
- 2 Glossary..... 5
- 3 Roles..... 9
 - 3.1 Roles Played By Network Members and Partners..... 9
 - 3.2 Roles Played by Individuals 9
 - 3.2.1 Research Roles 10
 - 3.2.2 Research Management Roles..... 12
 - 3.2.3 Administrative Management Roles..... 13
- 4 Research Program Framework..... 16
 - 4.1 Projects 16
 - 4.1.1 New Projects 18
 - 4.1.2 Project Termination 18
 - 4.2 Themes..... 18
- 5 Management Structure..... 19
 - 5.1 Research Management and Reporting 19
 - 5.1.1 Events in the Reporting Cycle Calendar 20
 - 5.2 Financial Management and Reporting 22
 - 5.3 Incremental Reporting Throughout the Year 23
- 6 Resource Allocation Framework 25
 - 6.1 Framework 25
 - 6.2 Internal Review Process 26
 - 6.3 External Review Process..... 27
 - 6.4 Reporting Workflow 29
- 7 Expectations and Benefits..... 30
 - 7.1 Expectations 30
 - 7.2 Benefits 30
 - 7.3 Acknowledgement Procedures 31
- Appendix A: Management Mechanisms/Tools (GRAND Forum) 32
 - A.1 Overview 32



A.2	Project Reporting Requirements.....	32
A.3	Project Funding and Budgets	32
A.4	Keeping Up To Date On the Forum	33
Appendix B:	Funding Guidelines	34
Appendix C:	Funding Allocation FAQ.....	35
Appendix D:	Network Investigator Obligations in Network Agreement.....	40
D.1	Publications	40
D.2	Disclosure and Commercialization of NSIP	40
D.3	Confidential Information and Transfer of Material	40
D.4	Conflict of Interest and Research Ethics	41
D.5	Records and Reports.....	41
D.6	Other Obligations	41
D.7	Termination of Project Funding	42
Appendix E:	Lists	43
Appendix F:	Policies	44
<u>Governance Policies</u>		44
GOV.1	Benefit to Canada	44
GOV.2	Access to Information Act and Privacy Act.....	44
GOV.3	Code of Conduct	44
GOV.4	Conflict of Interest.....	44
GOV.5	Funding and Network Agreement	44
GOV.6	Intellectual Property.....	44
GOV.7	Use of NCE Funds	44
GOV.8	Environmental Review.....	44
GOV.9	Ethics	44
<u>Financial Policies</u>		44
FIN.1	Reporting Requirements	44
FIN.2	Administrative Centre Budget	44
FIN.3	Financial and Budget Commitments	44
FIN.4	Travel.....	44
FIN.5	Expenditure Reimbursement	44

FIN.6 Budget and Financial Reporting for NIs..... 44

FIN.7 Terms and Conditions of GRAND Funding..... 44

FIN.8 GRAND RTI Award 44

Communication Policies 45

COM.1 Internal Communications 45

COM.2 External Communications..... 45

COM.3 Logo Use 45

COM.4 Media Relations..... 45

COM.5 Social Media..... 45

COM.6 Sponsorship 45

Appendix G: Tri-Council Form 300..... 46

1 Preface

The GRAND Network of Centres of Excellence or the GRAND NCE (“GRAND”) is a research network and commercialization engine whose goal is to address complex issues in digital media and transform multidisciplinary research into user-centred solutions. GRAND explores the use and application of digital media in a variety of settings including entertainment, healthcare, education, environmental sustainability, and public policy.

GRAND is a federally-funded Network of Centres of Excellence supporting about three dozen research projects divided into five cross-pollinating themes involving over 140 researchers and 250 highly qualified personnel at 25 universities across Canada with more than 60 industry, government, and non-profit partners.

Our Vision

Through technology solutions, training the next generation of talent and encouraging a robust policy environment, GRAND will play a pivotal role in supporting Canada’s National Digital Economy Strategy.

Our Mission

- Integrate and enhance Canada’s thriving digital media sector through policy and practice
- Focus research and commercialization efforts towards solution-driven products and services
- Facilitate research across the broad spectrum of digital media by linking computer scientists and engineers with artists, designers and social scientists
- Develop opportunities for researchers and partner organizations to work together
- Teach and mentor the next generation of digital media innovators

About this Guide

The information in this document should be used as a guideline. It was developed from the policies of GRAND and the NCE Program. There may be additional comments and clarifying information provided in this document that are not present in the source policies.

GRAND expects to revise this document as needs arise or policies change. This guide should provide adequate information regarding the processes and policies for most GRAND participants; however, the full details are available in the original documents. A glossary has been added to aid researchers. It provides consistent definitions for the important terms used to describe the activities within GRAND.

2 Glossary

The following list describes some important terms used to describe activity within GRAND.

ADMINISTRATIVE CENTRE

The central administrative offices of the NETWORK, located at the NETWORK HOST. The office is referred to informally as GRAND Central.

AFFILIATED RESEARCHERS

RESEARCHERS who are not NETWORK INVESTIGATORS (PNIs and CNIs), but who are listed as participants in a project within GRAND.

ARTIFACT

Something of interest for an individual to consume or use, including publications, patents, videos, music, art pieces, equipment, systems, or software.

BLOCK CAPTAIN

At each NODE one of the PNIs at the NETWORK MEMBER university serves as the BLOCK CAPTAIN to coordinate the financial, administrative, and reporting activities for their NODE and serve as the primary liaison between the NCE management and the researchers at their NODE and between the NCE management and the institutional units (office of research, finance, etc.) at their NODE.

BOARD

The BOARD of Directors of the NETWORK.

CNI

Collaborating NETWORK INVESTIGATORS are RESEARCHERS who participate in at least one project. They have the ability to request funding.

COMMERCIALIZATION

A series of activities to transform knowledge and/or technology into new goods, processes or services to satisfy market demands.

CONFIDENTIAL INFORMATION

Knowledge, materials, know-how or any

proprietary information, whether in electronic, written, graphic or other tangible form.

FORUM

The GRAND FORUM is a web-based collaborative workflow management system that is being developed to support that management and reporting processes within GRAND. The FORUM will be (or is) the primary mechanism for preparing and submitting progress reports and funding requests, and it will serve as a central repository (and intranet site) for information about individuals, project, and activities within GRAND.

GRAND CENTRAL

See **ADMINISTRATIVE CENTRE**.

GRANTING AGENCIES

The Canadian Institutes of Health Research (CIHR), the Natural Sciences and Engineering Research Council (NSERC) and/or the Social Sciences and Humanities Research Council (SSHRC). "Granting Agency" means any one of them.

HQP

Highly Qualified Personnel of the NETWORK and NETWORK MEMBERS includes trainees and research staff such as postdoctoral fellows, doctoral students, master's students, undergraduates, and technicians working under the supervision of NETWORK INVESTIGATORS.

INTELLECTUAL PROPERTY

Any materials, concepts, know-how, formulae, inventions, improvements, industrial designs, processes, patterns, machines, manufactures, compositions of matter, compilations of information, patents and patent applications, copyrights, trade secrets, technology, technical information, software,

prototypes and specifications, including any rights to apply for protections under statutory proceedings available for those purposes, provided they are capable of protection at law.

ISAC

The International Scientific Advisory Committee of GRAND.

MILESTONE

A goal that states what will be done and how it will be evaluated.

NCE FUNDING AGREEMENT

The agreement entered into between the GRANTING AGENCIES, the GRAND NETWORK and the NETWORK HOST.

NCE FUNDS OR GRANTS

Funds provided to the NETWORK by the GRANTING AGENCIES; the particulars of which are set out in the NCE FUNDING AGREEMENT.

NCE PROGRAM

A program of the Government of Canada jointly administered by the GRANTING AGENCIES with the goal of mobilizing Canada's research talent in the academic, private and public sectors and applying it to the task of developing the Canadian economy and improving the quality of life of Canadians; the NETWORK has been selected as a recipient of funding from the program in order that it may carry out research that will further these goals.

NET REVENUES

Proceeds received from COMMERCIALIZATION of NETWORK-SUPPORTED INTELLECTUAL PROPERTY (NSIP) minus reimbursement of out-of pocket expenses incurred in obtaining legal protection for and/or COMMERCIALIZATION of the NSIP.

NETWORK

Graphics, Animation and New Media NCE Inc. ("GRAND"), a not-for-profit corporation incorporated under Part II of the Canada Corporations Act on December 9, 2009.

NETWORK AFFILIATE

A company, government agency or other organization that is involved in a specific aspect of NETWORK RESEARCH or other NETWORK activity or that provides support to the NETWORK and that has been accepted as an Affiliate of the NETWORK by the BOARD of Directors and has entered into a NETWORK AFFILIATE agreement with the NETWORK.

NETWORK AGREEMENT

The GRAND NCE NETWORK AGREEMENT including all attachments and appendices as may be amended from time to time.

NETWORK FUNDS

All funds managed by the NETWORK, including the TRI-COUNCIL funds and any Non-Tri Council funds provided by NETWORK MEMBERS or other sources in support of the activities of the NETWORK.

NETWORK HOST

The University of British Columbia, a British Columbia university with a mandate for research that houses the ADMINISTRATIVE CENTRE.

NETWORK INVESTIGATORS

RESEARCHERS who are considered eligible to receive funds from the GRANTING AGENCIES, who are affiliated with a NETWORK MEMBER, who have been accepted as an Investigator in the NETWORK by the BOARD of Directors, who have signed the NETWORK AGREEMENT, and who undertake research initiatives to further the goals of the NETWORK. A NETWORK INVESTIGATOR can be from the academic, public or private sector and have obligations to certain aspects of a Network-funded research project.

NETWORK MEMBERS

Canadian universities or post-secondary institutions with a mandate for research and their affiliated institutions including hospitals, research institutes and/or other not-for-profit organizations or other organizations eligible to receive research

funds from any of the GRANTING AGENCIES and that employ or otherwise give academic status to one or more NETWORK INVESTIGATORS and that has signed the NETWORK AGREEMENT. NETWORK MEMBERS have agreed to conduct research in furtherance of the objectives of the NETWORK and have been admitted to membership by the BOARD of Directors.

NETWORK PROJECT

The NETWORK'S research activity takes place within projects. These are reviewed and approved on an annual basis by the RMC.

NETWORK RESEARCH

Research projects supported by NETWORK FUNDS and carried out by NETWORK INVESTIGATORS and their respective HQP.

NETWORK-SUPPORTED INTELLECTUAL PROPERTY (NSIP)

INTELLECTUAL PROPERTY created or invented within a NETWORK RESEARCH project.

NODE

At each NETWORK MEMBER university there usually is an existing administrative or research unit designated as the GRAND NODE at that university. The NODE serves as the focal point for coordinating GRAND activity at the university. Universities with no digital media-oriented unit might not have a designated NODE.

NON-NCE FUNDS

Funds provided by NETWORK AFFILIATES, NETWORK MEMBERS or by other sources in support of the activities of the NETWORK.

PARTICIPANT

An Individual or PARTNER that participates in the GRAND NETWORK. Individuals include directors, committee members, staff, RESEARCHERS, HQP, and others.

PARTIES

The signatories to the GRAND NETWORK AGREEMENT.

PARTNERS

Organizations collaborating with the GRAND NETWORK in the private, public and

non-profit sectors. PARTNERS include companies, industries, private institutions, hospitals, not-for-profit associations, and provincial, federal or municipal government institutions.

PNI

Principal NETWORK INVESTIGATORS (PNI) are the primary RESEARCHERS on GRAND research projects.

PROJECT CHAMPION

Individuals that represent a PARTNER organization within a PROJECT. PROJECT CHAMPION roles may take many forms, but they must demonstrate sustained involvement in the project and real benefits flowing from project to the PARTNER and vice-versa. PROJECT CHAMPIONS are expected to serve as a liaison between RESEARCHERS on a project and the RECEPTOR COMMUNITY and perform reporting duties for GRAND.

PROJECT LEADERS

PROJECT LEADERS are responsible for planning, organizing, and managing resources to bring about the successful completion of specific project MILESTONES and objectives. Every project has a Co-Leader who works with the PROJECT LEADER to manage the project.

PROJECT PARTNER

An organization that is not a NETWORK MEMBER and that is affiliated with a project.

RECEPTOR COMMUNITIES

Receptor organizations include the public and private sector, where the organization could benefit from GRAND projects. In some cases associations, community organization, government agencies, or NGOs are the best RECEPTOR COMMUNITY for GRAND projects. In other cases, industry is the natural partner. Often it will be a combination of the two.

RESEARCHER

A person employed or otherwise given academic status by a participating PARTNER

or other organization that has signed the NETWORK AGREEMENT. GRAND RESEARCHERS include all NETWORK INVESTIGATORS (NI) and AFFILIATED RESEARCHERS.

RESEARCH THEME

One of the primary research foci.

RMC

The Research Management Committee of GRAND.

TECHNOLOGY TRANSFER OFFICE

The office at a NETWORK MEMBER (where NETWORK INVESTIGATORS are employed or hold academic status) that has responsibility for overseeing the COMMERCIALIZATION of INTELLECTUAL PROPERTY.

THEME LEADER

Each Theme within GRAND has a THEME LEADER responsible for promoting collaboration across projects in areas of interest identified by the Theme. THEME

LEADERS report to the Scientific Director and are members of the RMC where they work to maintain an appropriate balance of activity across themes. Every theme has a Co-Leader who works with the THEME LEADER to manage the theme.

TRI-COUNCIL

TRI-COUNCIL refers to the GRANTING AGENCIES.

YNI

YOUNG NETWORK INVESTIGATORS (YNI) are former HQP who hold research faculty positions at MEMBER universities. They are eligible to apply for up to 12 months of transition funding to continue their involvement in GRAND PROJECTS.

3 Roles

Participants of GRAND include NETWORK MEMBERS, Partners, and Individuals. NETWORK MEMBERS and Partners are organizations with a mandate for research that are affiliated with GRAND. An Individual is a person affiliated with GRAND. Network Members, Partners, and Individuals all have roles in GRAND, and may even have multiple roles.

3.1 Roles Played By Network Members and Partners

In addition to the Canadian universities that comprise the Network, GRAND is collaborating with more than 60 other Partners in Canada. Partners represent a diverse cross section of some of the most successful digital media organizations in the private, public and non-profit sectors.

Network Members

Network Members of GRAND conduct research in furtherance of the objectives of GRAND and have been admitted to membership by the Board of Directors, and by signing the Network Agreement. Network Members must be eligible under the guidelines of the NCE program. Network Members include Canadian universities or post-secondary institutions with a mandate for research and their affiliated institutions including hospitals, research institutes and/or not-for-profit organizations or other organizations eligible to receive research funds from any of the Granting Agencies. Network Members employ or otherwise provide academic status to one or more Network Investigators.

Partners

Partners of GRAND are any other partner organizations, except Network Members, that agree to participate in GRAND and whose mandates include research. Partners include companies, industries, private institutions, hospitals, not-for-profit associations, and provincial, federal or municipal government institutions.

From letters of support to participation in Projects, GRAND Partners play an integral role in, and add incredible value to, the Network through their contributions of cash and in-kind resources, and also through their involvement with the Projects. They bring expertise and perspective that helps shape and enhance research outcomes.

Networking is intended to integrate research teams and programs and promote effective interactions and partnerships with the user-sector outside the academic community. Networking and partnership activities should demonstrably assist GRAND in addressing the problems, challenges, or opportunities for which they are generating solutions.

3.2 Roles Played by Individuals

Roles played by individuals include research, research management, and management. Research roles include Network Investigators, Affiliated Researchers, HQP, and Project Champions. Research

management roles include Project Leaders and Co-Leaders, Theme Leaders and Co-Leaders, Block Captains, and members of the Research Management Committee. Management roles include members of the Board of Directors, members of other committees, and staff.

3.2.1 Research Roles

There are specific types of research roles at GRAND, each with different duties and involvement in GRAND Projects. These roles include Network Investigators, Affiliated Researchers, Highly Qualified Personnel (HQP), and Project Champions.

GRAND researchers include all NETWORK INVESTIGATORS (NI) and other Affiliated Researchers. Network Investigators include Principal Network Investigators (PNI) and Collaborating Network Investigators (CNI). Network Investigators are eligible to receive Network funding from GRAND for research. Affiliated Researchers receive the benefits of GRAND funds only through their participation in a Project with Network Investigators.

Network Investigators are selected to participate by GRAND and must be approved by the Board of Directors. Network Investigators are researchers who are affiliated with a Network Member and who undertake research initiatives to further the goals of the Network.

A Network Investigator is responsible for certain aspects of a Network-funded research Project. Network Investigators who receive NCE funds must be eligible to receive research funds from at least one of the three federal Granting Agencies (CIHR, NSERC or SSHRC). Network Investigators do not include students, postdoctoral fellows, research associates, technicians or other research staff.

Principal Network Investigators

Principal Network Investigators (PNI) are the primary researchers on GRAND research Projects. The following guidelines describe the role of PNIs in more detail:

- ◆ Every PNI is expected to be involved in multiple Projects. On average, a PNI participates in about two to three Projects. Some exceptions will apply based on an assessment of contributions.
- ◆ All PNIs must submit progress reports and funding requests to the Administrative Centre on an annual basis.
- ◆ Based on current NCE funding levels, the maximum number of PNIs in GRAND is 70 researchers. This is subject to revision by the RMC.
- ◆ The RMC reviews the list of PNIs and CNIs on an annual basis and submits recommendations to the Board. The Board approves a list of NIs on an annual basis.
- ◆ Only a PNI can be a Theme Leader, Theme Co-Leader or Project Leader. Project Co-Leaders normally are PNIs, however, there may be cases where a CNI is a Project Co-Leader.
- ◆ The PNI annual funding requests will vary from year to year; however, Table 1 in Appendix B provides an estimate of the funding amounts granted for 12 months. These numbers should be used as guidelines for determining budget requests in future years.

Collaborating Network Investigators

Collaborating Network Investigators are researchers who participate in at least one Project and have the ability to request funding. CNIs bring domain expertise to a Project. Normally there are the same number or a few more CNIs than PNIs within GRAND. The following guidelines describe the role of CNIs in more detail:

- ◆ Every CNI participates in at least one Project.
- ◆ For each Project in which a CNI participates, some PNI in the Project must indicate their collaboration with the CNI within the Project.
- ◆ All CNIs must submit progress reports and funding requests to the Administrative Centre on an annual basis, as well as confirm the PNIs with whom the CNI collaborates on each Project.
- ◆ In some situations a CNI might be a Project Co-Leader.
- ◆ The CNI annual funding requests will vary from year to year; however, Table 2 in Appendix B provides an estimate of the funding amounts granted for 12 months. These numbers should be used as guidelines for determining budget requests for future years.

Young Network Investigators

Young Network Investigators are researchers who are form HQP who hold research faculty appointment at a member university. They are eligible to apply for up to 12 months of transition funding to support on-going involvement in GRAND projects. They are subject to all of the requirements and expectations of CNIs. Continued funding beyond the transition period is determined through the normal reporting and funding allocation process for CNIs.

Affiliated Researchers

Researchers who are not Network Investigators (neither PNIs nor CNIs), but who are members of a Project within GRAND are Affiliated Researchers. A PNI may invite Affiliated Researchers to collaborate in his/her research on a Project, in consultation with the Project Leader and with the prior approval of the Administrative Centre. Affiliated Researchers receive the benefits of GRAND funds through the Network Investigators with whom they collaborate but do not themselves have direct funding.

HQP

Highly Qualified Personnel (HQP) includes postdoctoral fellows, doctoral students, master's students, undergraduate students, technicians and other research staff. GRAND's training program is designed to attract, develop, and retain outstanding HQP. GRAND provides access to a unique research environment in exciting new research areas within new media, animation, and games. Through mentoring by some of the best researchers in the world and through ongoing interaction with Partners, HQP develop highly marketable skills in the fields of Information Technology, Engineering, Digital Media, and Communication.

Project Champions

Project Champions are individuals that represent a Partner organization within a Network Project. They perform a critical reporting role within GRAND's research program.

Every funded Project has one or more Partners. Partners are expected to play an active and on-going role in a Project through the involvement of Project Champions. A Project Champion's role may take many forms, but must demonstrate sustained involvement of the Partner in the Project to ensure that real benefits flow from the Project to the Partner and vice-versa. Each Project Champion reviews and comments on the Project Leader's annual Project report, providing valuable input that complements that report. If there is more than one Project Champion, each provides comments.

Project Champions can be affiliated with any receptor organization in the public or private sector. They must, however, be from a community of interest for a topic area. In some cases, associations, community organizations, government agencies, or NGOs are the best Receptor Community for GRAND Projects. In other cases, industry is the natural partner. Often it is a combination of the two. Champions and their organizations don't necessarily need to pledge dollars or in-kind resources, but they do have to commit to playing a meaningful role in the Project. Champions are expected to serve as a liaison between researchers on a Project and the Receptor Community. As such, they must have a well-recognized standing within the Receptor Community, and they must be able to facilitate a meaningful dialogue between GRAND and members of the Receptor Community.

3.2.2 Research Management Roles

GRAND researchers may be appointed management roles, which increase their responsibilities and participation in the Network. These roles include Project Leader, Project Co-Leader, Theme Leader, Theme Co-Leader, Block Captain, and member of the Research Management Committee (RMC). These roles are described in detail below.

Project Leaders and Co-Leaders

Project Leaders are responsible for planning, organizing, and managing resources to bring about the successful completion of specific Project milestones and objectives. Project Leaders submit annual Project reports to the Administrative Centre that summarize the individual reports from NIs working on the Project. Project Leaders need to confirm that all NIs on their Projects have reported the correct contribution levels. Every Project has a Co-Leader who works with the Project Leader to manage the Project. The Project Leader and Co-Leader for each Project are generally PNIs and from different universities; however, there may be circumstances where a Co-Leader is a CNI.

Theme Leaders and Co-Leaders

Theme Leaders are responsible for promoting collaboration across Projects in areas of interest identified by the Theme. Theme Leaders report to the Scientific Director and are members of the Research

Management Committee where they work to maintain an appropriate balance of activity across themes. Every theme within GRAND has a Co-Leader who works with the Theme Leader to manage the theme.

Block Captains

At each Network Member university there usually is an existing administrative or research unit designated as the GRAND node at that university. The node serves as the focal point for coordinating GRAND activity at the university. Universities with no digital media-oriented unit might not have a designated node.

At each node one of the PNIs at the Network Member university serves as the Block Captain to coordinate the financial, administrative, and reporting activities for their node and serve as the primary liaison between the NCE management and the researchers at their node and between the NCE management and the institutional units (office of research, finance, etc.) at their node.

A Block Captain must be a PNI, unless a Network Member university has no PNIs affiliated with it. In this case, a CNI may be considered an acting Block Captain.

Members of the RMC

The Research Management Committee (RMC) oversees the research activity of the Network and makes recommendations to the Board of Directors regarding research Projects and researcher funding. A key objective of the Research Management Committee is effective planning of the evolving research program to maintain a balance across disciplines in natural sciences and engineering, in social sciences and humanities, and in art and design, while maintaining a relevant and dynamic set of research Projects that spans the broad spectrum of digital media issues and problems.

3.2.3 Administrative Management Roles

GRAND management roles include members of the Board of Directors and members of other committees, as well as the staff of the Administrative Centre. The day-to-day operations of GRAND are managed by the Scientific Director and the Network Manager, with the support of other Network staff.

Members of the Board of Directors

GRAND's Board of Directors has the overall responsibility for the management, direction and financial accountability of GRAND. The Board of Directors is accountable to the NCE Steering Committee.

The Board appoints the Network Manager and the Scientific Director, who are non-voting ex officio members. The Board approves all funding allocations for the research program and for the operational budget of the Network, and it approves all reports submitted to the NCE Program. Members include a representative from the Host Institution (UBC), a member of the NCE staff who has observer status, one Network Investigator who is not a Theme Leader or Co-Leader or Director, the two ex officio members, and six to ten additional members, half of whom are not directly affiliated with the Network. Among

these will be members representing perspectives and interests of academic, industry, and public sector stakeholders. The board will elect its own chair.

There are many subcommittees that assist the Board. The Board has a Steering Committee to authorize agreements and monitor the budget process and an Audit and Finance Committee to oversee the auditing and financial controls. The Nominating and Conflict of Interest Committee acts in an advisory capacity to the Board of Directors.

Members of other Committees

There is a set of committees within GRAND that may change from time to time depending on the needs of the Network. Currently, GRAND has the International Scientific Advisory Committee (ISAC), the Commercialization and Technology Transfer Committee (CTTC), and the Graduate Student and Postdoc Committee (GSPC).

The International Scientific Advisory Committee (ISAC) has members from the international research community who span the range of disciplines represented within the GRAND research program. They are international experts from industry and academia who annually assess the research program and make recommendations to the Board of Directors and the Scientific Director.

The Commercialization and Technology Transfer Committee (CTTC) is responsible for identifying opportunities to exploit the results of the research program in ways that provide direct benefits to Canada. Preference will be given to exploitation within Canada, and through Network Partners. The committee will review intellectual property that arises from the research and will recommend licensing and other arrangements for approval by the Board. It will also encourage the development of new Canadian receptor companies when appropriate, either as spin-offs from the research program or as licensees of Network-created IP. The committee will be chaired by a representative from an industry partner.

The Graduate Student and Postdoc Committee (GSPC) has graduate students representing the various disciplines and universities involved in the research. Elected members of the committee will serve one-year terms (for a maximum of two consecutive terms) to provide a conduit for direct communication between graduate students and postdocs engaged in the research program and the Executive and Research Management Committees.

Scientific Director

GRAND has a Scientific Director who reports to the Board of Directors. The Scientific Director is responsible for providing scientific leadership and direction to the Network. Other duties may include: chairing the Research Management Committee; providing progress and financial reports as approved by the Board of Directors to the NCE Secretariat; recruiting the Network Manager; promoting research collaboration among individuals; acting on behalf of the Network with the NCE Secretariat; and

promoting the Network to the scientific community, to the private and public sectors, and to the general public.

Other Directors

GRAND has a Director for Science and Engineering Research, a Director for Social Sciences and Humanities Research, a Director for Art and Design Practice, and a Director for Research Partnerships.

The thematic organization of the research program acknowledges the equal importance of the NSERC and SSHRC components of the research. To maintain a proper balance, there is a Director for Science and Engineering Research and a Director for Social Sciences and Humanities Research. At any time, one will serve as the Scientific Director and CEO for the Network.

The pairing of a Director for Social Sciences and Humanities Research with a Director for Science and Engineering Research further emphasizes the importance of an integrated, multidisciplinary approach to research. A third researcher serves as Director for Art and Design Practice. This ensures that the research program is fully informed by current thinking in the art and design communities, both from an academic perspective and from the perspective of the various Receptor Communities with the broad spectrum of Canada's creative industries. These three key researchers are responsible for maintaining an appropriate balance within the research continuum in terms of disciplines and between pure and applied research, leading to solutions that can be exploited by Network Partners and other receptors.

Network Manager

GRAND has a senior manager with the appropriate background and expertise to direct the business and management of the Network. This Network Manager provides the leadership and direction for all of GRAND's operations and ensures control and accountability on a day-to-day basis.

4 Research Program Framework

GRAND is a Network of researchers and Partners committed to developing innovative new digital media tools and methodologies. This is achieved through a range of research activities that includes both basic and applied university-based research activities conducted in collaboration with Partners in the appropriate Receptor Communities. Research activity is organized into a matrix of Projects that interact with each other within a set of Themes, each of which is focused on specific aspects of the research program.

4.1 Projects

A Project is the smallest organizational unit within the research program. Most Projects will have multiple activities underway. These can be thought of as sub-projects, but funding and reporting are both done at the Project level. Project teams are formed by Participants with an interest in working together on a set of coherent activities that focus on a particular problem or set of problems related to digital media. Each Project must ensure that there is sufficient specific expertise on the team to successfully pursue the core components of the research being undertaken. GRAND Projects are inherently team based and have a national mandate. Each Project is encouraged to bring in enough researchers to guarantee success, while still maintaining a team small enough to be manageable.

The following guidelines apply to all GRAND Projects. Projects will be evaluated in part on how well they meet these guidelines, in addition to how well they contribute to the overall goals of GRAND.

- Each Project must have a Project Leader and a Co-Leader who are from different universities.
- Only a PNI can be a Project Leader. Project Co-Leaders will generally also be PNIs; however, there may be cases where a CNI is a Project Co-Leader.
- There must be at least one Partner and one Project Champion on every Project. Most Projects will have multiple Partners and Project Champions.
- Project budgets range from \$75,000 to \$150,000, with an average budget being \$100,000.
- There must be at least 5 PNIs on every Project.
- A Project should have about equal numbers of PNIs and CNIs.
- At least two thirds of Project funding will be allocated to PNIs.
- Up to one third of Project funding will be allocated to CNIs.

Projects are expected to last for 2-5 years, with adjustments from year-to-year that are typical in research (you don't know what you will do next year until you fully reflect on what you did last year and you see how what you are doing this year turns out). Every Project should have both long-term goals and short-term goals. There should be clear benefits expected within five years, but it is fine (in fact it is encouraged) to have a ten- or fifteen-year vision.

The research focus of a Project should not be too narrow. Projects in GRAND are expected to have more than one researcher involved, more than one institution, and more than one discipline. Many will have a

strong multidisciplinary component. Over time, multiple Projects may be merged into larger, more cohesive Projects that are more suited to a multi-year, multi-institutional NCE. Alternatively, a Project may be split into multiple other Projects if the original Project becomes large enough. The split will be based on merits and content. Projects can go in and out of existence at any time.

There is an approval cycle where new Project proposals can be submitted; this cycle will occur every 6 months.

Projects should focus on the new research opportunities arising from collaborations with their Partners. The research should address specific needs of the Partners and recognize that these Partners may well have an economic interest in the research.

GRAND Projects are expected to act as a platform for launching major academic and research initiatives that will last beyond the GRAND life cycle. These may include:

- New undergraduate or graduate training initiatives; or
- Developing new, exciting and speculative areas of research related to the original Project mandate and new sources of support.

In adjudication of Project proposals for new Projects or Project renewals, the RMC obtains reports from external, arms-length referees. Considerable emphasis is placed on the reviews received from these referees. In assessing the case for renewal funding, the RMC also takes into consideration how well Projects have addressed previous RMC concerns.

In running a GRAND Project, researchers should keep the following in mind:

- Where an industrial contract is negotiated, researchers should contact the GRAND Administrative Centre to ensure that the contract is in full compliance with the GRAND Network Agreement;
- All Projects are strongly encouraged to participate in all relevant GRAND activities including project and theme meetings, as well as the annual conference; and
- All Projects must maintain up-to-date web pages on the GRAND Forum with a Project summary, publication list, biography, photos, etc. Information intended for the public will be linked to the public GRAND web site. All other information will be password-protected on The Forum.
- An NCE is all about collaboration. Central to the entire NCE program is the argument that collaboration and partnerships yield better outcomes than work in isolation. The fact that independent sub-projects share a common research area is not sufficient to form a Project. GRAND Projects should involve joint work and/or joint publications. Projects in GRAND must be real collaborations on research problems of joint interest. They must demonstrate better performance than would be achieved by researchers working in isolation. Significant criteria for continuance of funding will be joint publications arising from a Project and other evidence of sustained collaboration and mutual benefit.

- Every funded Project will have one or more non-academic Partners. Non-academic Partners are expected to play an active and enduring role in the Project. Partner roles may take many forms, but they must demonstrate sustained involvement in the Project and real benefits flowing from Project to the Partner and vice-versa. Where a Project has multiple Partners, each Partner can gain additional benefits from each other. While many Partner relationships will involve multiple contributions each Project should build its Partner relations in the way most effective for the research being done. Projects will be expected to document Partner involvement throughout, so record keeping will be important. Each Project Champion will prepare a brief annual report, which will complement the report prepared by the Project Leader.

4.1.1 New Projects

There are two ways to create Projects. The first is by proposing a new project to the RMC. The second is through the splitting of an existing Project or the merging of multiple Projects into new Projects. Both mechanisms involve the same total funding allocation for projects in the network unless new funds are acquired from sources external to GRAND. The reallocation of funds for the new set of Projects must be approved by the RMC.

4.1.2 Project Termination

A Project can be terminated by the RMC when the RMC concludes that the Project has failed to accomplish its goals or that the resources are better spent in another area. Projects are monitored by the annual reporting cycle, where a continuous awareness process for the entire research program is utilized. For example, one way for a Project to be terminated is when a current Project is receiving less than \$75,000 of funding. This may result in permanent shut down or the merging of Projects.

4.2 Themes

GRAND's research program is based on an agile matrix organization of researchers working across themes and Projects and universities, to combine into dynamic, multidisciplinary teams that address specific Projects (currently 34 Projects) each organized around a core challenge.

The matrix organization of themes and Projects is ideal for achieving this agility. The five themes provide a unified conceptual framework on which the entire research program is based. Each theme has a Theme Leader and a Theme Co-Leader. Within this scaffolding, the approximately 30 Projects provide a coherent research program that easily integrates the true collaboration that is absolutely essential to achieving the goals of GRAND. Most Projects span several themes; all produce results used by other Projects to achieve a solution-oriented, multidisciplinary research program. Each Project addresses a distinct set of research questions that arise from the conceptual framework and that have the potential to develop new knowledge and techniques that can be successfully transferred to and exploited by the non-academic Partners.

Theme Leaders prepare "roll up" reports for each theme that identify significant goals achieved within the theme and opportunities for additional cross-disciplinary and cross-partner interactions.

5 Management Structure

The management and funding of research within GRAND is done on an annual cycle. Financial reporting is performed on a fiscal year basis, where the fiscal year is from April 1 to March 31 of the following year. This aligns with the federal and most universities fiscal years. The research management cycle begins in October, which is off phase with the fiscal year cycle, allowing sufficient time to collect all the information needed for year-end reporting. The Reporting Cycle Calendar in section 5.1.1 summarizes the annual management cycle at GRAND.

5.1 Research Management and Reporting

The research program is managed utilizing a number of reports that are prepared and reviewed by various Participants of GRAND.

HQP Reports describe the progress and contributions made by students, postdocs, and others on Network Projects over the past year. Each HQP prepares an summary of his/her contributions to achieving a Projects' milestones and documents other activities and artifacts of relevance to the project. HQP Reports are reviewed by supervising Network Investigators, who provide feedback and comments on the contributions made by HQP. Usually the final HQP Report is the result of an iterative process between the HQP and the supervisor, using the workflow tools available on the GRAND Forum. HQP Reports are mandatory to maintain eligibility for Network Funding and other benefits within GRAND.

NI Reports describe the progress and contributions made by individual researchers on Network Projects over the past year. Each Network Investigator (PNIs and CNIs) prepares an analysis of his/her contributions to achieving the Projects' milestones, comments on the contributions made by HQP who were supervised on the Projects, describes any artifacts or other outcomes relevant to the milestones, and prepares a summary of the previous year's expenses relative to the budget that was awarded to the NI for the Projects. Often the final NI Report is the result of an iterative process between the NI and both the HQP working with the NI and the Project Leaders of Projects in which the NI is involved, using the workflow tools available on the GRAND Forum.

Funding Requests indicate how much funding an NI expects will be required for the following year and how the funding will be allocated amongst the Projects that the NI is working on. Funding requests are itemized both by category of expense and by Project, and are included in the NI Report. The RMC will establish parameters for the budgeting process each year to assist NIs in preparing realistic budget requests. Funding Requests are submitting using the workflow tools available on the GRAND Forum.

Project Leader (PL) Reports are "roll up" reports that summarize the individual NI reports for a Project and provide a higher-level assessment of the Project as a whole and of the degree to which individual efforts were integrated into a coherent set of activities that advance the goals of the Project. The Project leader reviews the milestones that were set for the previous year and highlights significant accomplishments against each of them. Where appropriate, milestones and their assessment criteria can be revised, new milestones and assessment criteria can be proposed, and milestones that have been

completed or that are no longer appropriate can be retired. A Project Leader is expected to take an active role in managing the resources allocated to the Project. The Project Leader assesses the contributions of the individuals engaged in the Project and makes recommendations about the appropriate level of resources allocated to the Project through its NIs. The final PL Report is always the result of an iterative process between the PL, the Project Co-Leader, and the NIs in a Project, using the workflow tools available on the GRAND Forum.

Project Champion (PC) Reports are the primary mechanism by which a Project is assessed for its impact or potential impact on the Receptor Communities. These reports delineate the role that the Project Champion has and will continue to play in defining and carrying out a Project. The Project Champion reviews and comments on the Project Leader Report and describes the participation of the Partner in the previous year’s activity. (Often the Partner’s participation will be primarily through the Project Champion.) The PC Report includes a brief summary of the Partner organization and its involvement in the digital media sector, focusing particularly on the area most relevant to the Project. The Project Champion confirms the cash and in-kind support that the Partner organization provided over the previous year and provides an estimate of what the Partner organization is committing to the Project for the coming year. When appropriate, the nature of any in-kind contributions is described. Most importantly, the Project Champion explains the potential benefits to the Partner organization of the research in the Project and the steps that are being taken to ensure that those benefits are realized. The PC Report is prepared using the workflow tools available on the GRAND Forum.

Form 300s are the official, standard financial reporting documents for all Tri-Council funds awarded to university researchers. These are required for all GRAND awards received and/or expended by researchers each fiscal year, which ends every March 31. A University prepares a separate Form 300 for each researcher account. The Network Investigator as well as the University Finance Officer must sign the Form 300. A sample Form 300 is illustrated in Appendix G.

Evaluation Results are rankings of NIs into three categories, identifying the high, medium, and low contributors during a reporting period. Researchers are assessed on their contributions to Projects as measured by their progress against milestones. An NI will be placed in a category that reflects his/her contributions to Projects. This determines whether an NI is making satisfactory contributions to Projects and is getting the proper amount of funding. More emphasis is placed on evaluating PNIs than CNIs.

5.1.1 Events in the Reporting Cycle Calendar

The following table summarizes the annual management reporting cycle for GRAND. Estimated dates for deliverables and important events are provided to help Participants plan their workflow.

Late October	<p>RMC provides detailed information and parameters for the process</p> <ul style="list-style-type: none"> • Guidelines for preparing budget requests for the coming year • Project-specific requests for information • New initiatives or special targeted areas for proposals
--------------	--

Early November	<p>Fill out HQP Reports, NI Report and Funding Request Forms on the GRAND Forum</p> <ul style="list-style-type: none"> • All PNIs and CNIs who have awards or who wish to apply for awards • All HQP working with NIs must complete reports • Due: Early December
Mid November	<p>Fill out PL Report Form</p> <ul style="list-style-type: none"> • All Project Leaders and Co-Leaders • Due: Mid December
Early December	<p>Fill out PC Report Form</p> <ul style="list-style-type: none"> • All Project Champions • Due: Early January
Early-Mid December	<p>Evaluation Process begins with RMC Meeting</p> <ul style="list-style-type: none"> • Forms included in evaluation are: NI Report, Funding Request, PL Report, and PC Report
Mid February	<p>Evaluation Process finished by RMC</p> <ul style="list-style-type: none"> • Comments, including feedback to NIs and Projects, and recommendations are sent to the Board of Directors for approval • Administrative Centre advises researchers of the RMC recommendations regarding funding levels
Late February	Board of Directors Meeting
Mid March	Board of Directors release comments and approval
Early April	<p>After Board approval</p> <ul style="list-style-type: none"> • Administrative Centre will issue award letters • First instalment of funds will be requested by the Administrative Centre to be issued to the universities • Written feedback is provided to each NI and each Project based on the RMC evaluations after review by the Board of Directors
Mid May	Annual GRAND Conference
Late May	<p>Universities submit Form 300s to the Administrative Centre for all researchers</p> <ul style="list-style-type: none"> • Used to calculate budget carry-over amounts, which will impact the second funding instalment • All PNIs and CNIs must approve and sign their Form 300 by mid June
Early June	Administrative Centre submits the annual corporate summary form to the federal government
Late June	Financial Reports must be sent to NCE Secretariat by the Administrative Centre
Late July	University receives the revised award letter for the remaining funding amount
Late September	<p>Annual Corporate Report is submitted to the NCE Secretariat by the Administrative Centre</p> <ul style="list-style-type: none"> • The report must be approved by the Board of Directors • The report must include the audited financial statements.

Mid October	The audited financial statements are reviewed by the Board of Directors
Late October	Cycle repeats...

5.2 Financial Management and Reporting

The Research Management and Reporting process described in the previous subsection includes forecasting of research expenses and estimating current expenses. This is used to guide the allocation process. It is linked to the more formal Financial Management and Reporting process, whose function is to ensure the proper fiscal management of the Network. The two processes operate on different cycles that are offset from each other. The Financial Management and Reporting process operates on a cycle that begins each fiscal year. It aligns with the reporting requirements of the Network.

At the start of each fiscal year (April 1 to March 31 of the following calendar year), the financial reporting process begins. Each NI is required to submit a Form 300 that summarizes all expenses in each account held by the NI. Most NIs will have only one account. But some will have additional accounts, such as accounts for equipment awards to purchase specialized Research Tools and Instrumentation to augment the existing research infrastructure. Each Block Captain will have an account that is used to pay for Node expenses, such as local networking events or exchange visits with other Nodes. In addition there may be accounts associated with special Projects, commercialization or technology transfer activities, or events such as workshops or conferences for which GRAND is a sponsor or cooperating Partner.

Form 300s are the official, standard financial reporting documents for all Tri-Council funds awarded to university researchers. These are required for all GRAND awards received and/or expended by researchers each fiscal year, which ends every March 31. A University prepares a separate Form 300 for each researcher account. Form 300s must be completed no later than May of each year, in the manner outlined below. These annual financial statements have categories that closely match the budget categories used by GRAND. They do not always match the financial reporting categories used by all of the Member universities. Of particular note is the requirement that for student salaries and stipends a Form 300 must:

- (a) Categorize all salaries/stipends as being paid to Canadian or non-Canadian individuals; and
- (b) Categorize all salaries/stipends as being paid to postdoc, PhD, Masters or Bachelors level individuals.

A sample Form 300 is illustrated in Appendix G. The Network Investigator as well as the University Finance Officer must sign the Form 300. Your University will retain the original Form 300 on file and submit an electronic version to the Administrative Centre using the Federal Government's Financial Data Submission and Reconciliation (FDSR) system.

Form 300s list the expenditures over a single fiscal year categorized according to Tri-Council guidelines. Only funds that have been spent during the fiscal year are included in the Form 300 as expenditures.

Funds that are committed but not spent may be listed as commitments outstanding, but not as expenditures.

A similar process applies to expenditures for the networking, management, and administrative functions within GRAND. All of these reports are “rolled up” into a summary Form 300-style report that GRAND submits to the NCE Secretariat by June 30. To allow time for compilation and analysis of the summary data, all Form 300s must be submitted on time to the GRAND staff. The deadline will be in early May of each year.

Transfers (sub-grants) are not permitted. This means that funds awarded to one NI cannot be transferred to a different NI.

Budget Carry-Over is the amount of funding left over from one fiscal year that can be spent the following fiscal year. The amount of funding that a Network Investigator’s research account can carry over to the next year is 10% of the total funding awarded from the current year (this may vary year to year). No carry-over is permitted at the end of the final year of GRAND’s initial five-year mandate, which ends December 31, 2014 (this is not a fiscal year end but it is the date after which funds may no longer be spent). Unless prior written approval has been granted by the RMC, any amount above the carry-over maximum for a fiscal year will be deducted from any new allocation awarded to a Network Investigator.

5.3 Incremental Reporting Throughout the Year

The annual reporting cycle is intended to build on incremental information provided throughout the year by NIs and the HQP who work with them so that the workload is distributed over the year. This is supported by the GRAND Forum, which provides support for the following incremental reporting activities that can be done at any time during the year.

- All NIs and all HQP should maintain up-to-date contact information, status within GRAND, list of projects in which they are involved, and activities in which they participate using the support tools on the GRAND Forum. These are the primary mechanism through which GRAND gathers the information necessary to manage Network.
- Authors should identify all publications arising out of Network activity. These publications are expected to acknowledge GRAND for any funding provide to support the research reported in the publication. Full bibliographic information, including identification of all GRAND co-authors through links to their Forum profiles, should be provided for each publication, as well as the Project(s) in which the reported research took place.
- Similarly, identification should be made of all Artifacts produced within a project through entries in the GRAND Forum, activities organized or participated in, contributions to achieving other objectives of the Network, and documentation of any cash, in-kind, or other contributions to Projects by Partners.

- Clearly delineate the value added by GRAND funds. This is especially relevant where GRAND researchers also receive funding from other organizations for Projects that share some commonality.

6 Resource Allocation Framework

GRAND has an annual process for allocating the funds, researchers, Partners, and all other resources that are available to the Network. The process aims to optimally fulfill the expectations of the five NCE program criteria:

- Excellence of the Research Program
- Development of Highly Qualified Personnel
- Networking and Partnerships
- Knowledge and Technology Exchange and Exploitation
- Management of the Network

6.1 Framework

1. Each Project will have multiple researchers and multiple universities, and in most cases will cross institutional and disciplinary boundaries. Generally, the Project Leader and Co-Leader must be from different universities.
2. NCE-eligible Participants in GRAND will be Network Investigators (NI), which includes Principal Network Investigators (PNI) and Collaborating Network Investigators (CNI). All Project leaders will be PNIs, but the converse may not be true. Similarly, PNIs will usually be more senior researchers, but not every senior researcher will be PNI; a senior researcher participating in only one Project, where her/his expertise is required to round out the team, may be designated a CNI within the Network.
3. Projects will be neither hierarchical within themes (most will cross theme boundaries) nor will they partition researchers into disjoint groups. Researchers can and usually will be on more than one Project. Most of the time researchers should be involved in at least one Project that crosses institutional boundaries and disciplinary boundaries. Exceptions will exist, but will be reflected in the allocation of funding.
4. Funding will not be through Projects, but will be allocated to NIs according to their contributions to the Network. An NI who is heavily involved in a single Project and is making significant contributions to that Project, or one who is making important but smaller contributions to each of a number of Projects would each be evaluated using the same criteria in terms of their funding allocation.
5. Projects and researchers will be reviewed annually, and allocations will be based on those reviews (in conjunction with budget requests).
6. Projects can be created or cancelled at any time, to ensure that we are not locked to an annual cycle of once-a-year innovation. The ability for researchers to be on more than one Project allows them to start working on a new or different Project using the funds they have been allocated as they think is best. These decisions will be reviewed when progress reports are filed and duly reflected in the next round of allocations. This encourages more cross-fertilization (as Project teams evolve) and discourages empire building and siege mentality.

7. Funding allocations will be for the full fiscal year, provided to researchers through instalments. These instalments allow for the amount of new funding released to account for any excess carryover from the previous year's budget.

6.2 Internal Review Process

The internal review process is conducted in four main phases. The complete process is shown in the reporting diagram that summarizes the flow of information.

Phase 1: Individual Reports

NIs:

Phase 1 begins in late November, where all Network Investigators (NI), both PNIs and CNIs, must submit a Progress Report and a Funding Request. These submissions will report the status of the research in the current funding period, and they will include the budget requests for the next funding period.

The Progress Report describes the individual progress of the Projects from the past year for each NI. The report includes a description of that NI's contributions to the Project milestones, as well as an indication of other related activity. This report also requires NIs to report their HQP.

The Funding Request describes how much funding an NI wants for the following year and how the funding will be allocated amongst the multiple Projects under the NI.

The reports from all NIs are submitted electronically through the GRAND Forum. Profile pages can be accessed and updated immediately. Generally, researchers will have four weeks to complete their online submissions.

HQP:

HQP are an integral part of the reporting process. They have to submit progress reports at the same time so their supervisors can "roll up" their accomplishments into their reports.

In most cases, much the reporting by HQP can be done throughout the year, incrementally as goals are accomplished, publications are prepared, or artifacts are constructed.

Phase 2: Project Reports

A PL Progress Report must be submitted by the Project Leader of each Project. This submission is only required of Project Leaders and their respective Project Co-Leaders, who share responsibility for the report. The PL Progress Report will include a description of the Project, analysis of past milestones, revised milestones, and a description of NI contributions.

The PL Progress Report describes the progress of the Projects from the previous year and analyses the milestones that were set in the previous year. The Project Leaders will categorize the individuals who worked on each Project in terms of contributions. This will include a review and some commentary on

the NI Progress Reports relating to that Project. The Project Leader will revise the milestones for the following year, adding new ones and removing finished or irrelevant ones. The Future Budget Request form submitted by the NIs that relate to that Project will also be reviewed by the Project Leader.

Each CNI is expected to work with one or more PNIs in each of the Projects in which that CNI is engaged. A CNI must have a PNI co-sign for a Project, and the Project Leaders are expected to confirm all PNI and CNI connections in the PL Progress Report.

Phase 3: Project Champion Reports

Project Champions provide information related to their involvement in a Project by completing a PC Project Report form on the GRAND Forum. If there is more than one Project Champion, multiple forms will be used.

A PC Project Report form describes information about a Project to provide a basis for assessing the value of the Project to the overall objectives of GRAND.

Phase 4: RMC Evaluation

The Research Management Committee will review and evaluate all of the Phase 1-2-3 documents and make recommendations to the Board of Directors for final funding allocations for Network Investigators involved in the current Projects.

The Evaluation Process culminates in a ranking of all PNIs into three levels, the high, medium, and low contribution categories. Researchers are assessed on their contributions to Projects as measured by their progress against milestones. An NI will be placed in a category that reflects his/her contributions to Projects. This determines whether an NI is making satisfactory contributions to Projects and is getting the proper amount of funding. More resources are placed on evaluating PNIs than CNIs.

The Board of Directors reviews the recommendations of the Research Management Committee, and awards are issued based on the approvals of the Board.

At this time recommendations will also be made to add additional PNIs to GRAND from among the CNIs. All new CNIs and PNIs are required to provide a PDF version of either their SSHRC CV or their NSERC Form 100, or equivalent.

Please see the GRAND Forum for the instructions for each report and Appendix C of this guide for FAQs about the funding allocation process.

6.3 External Review Process

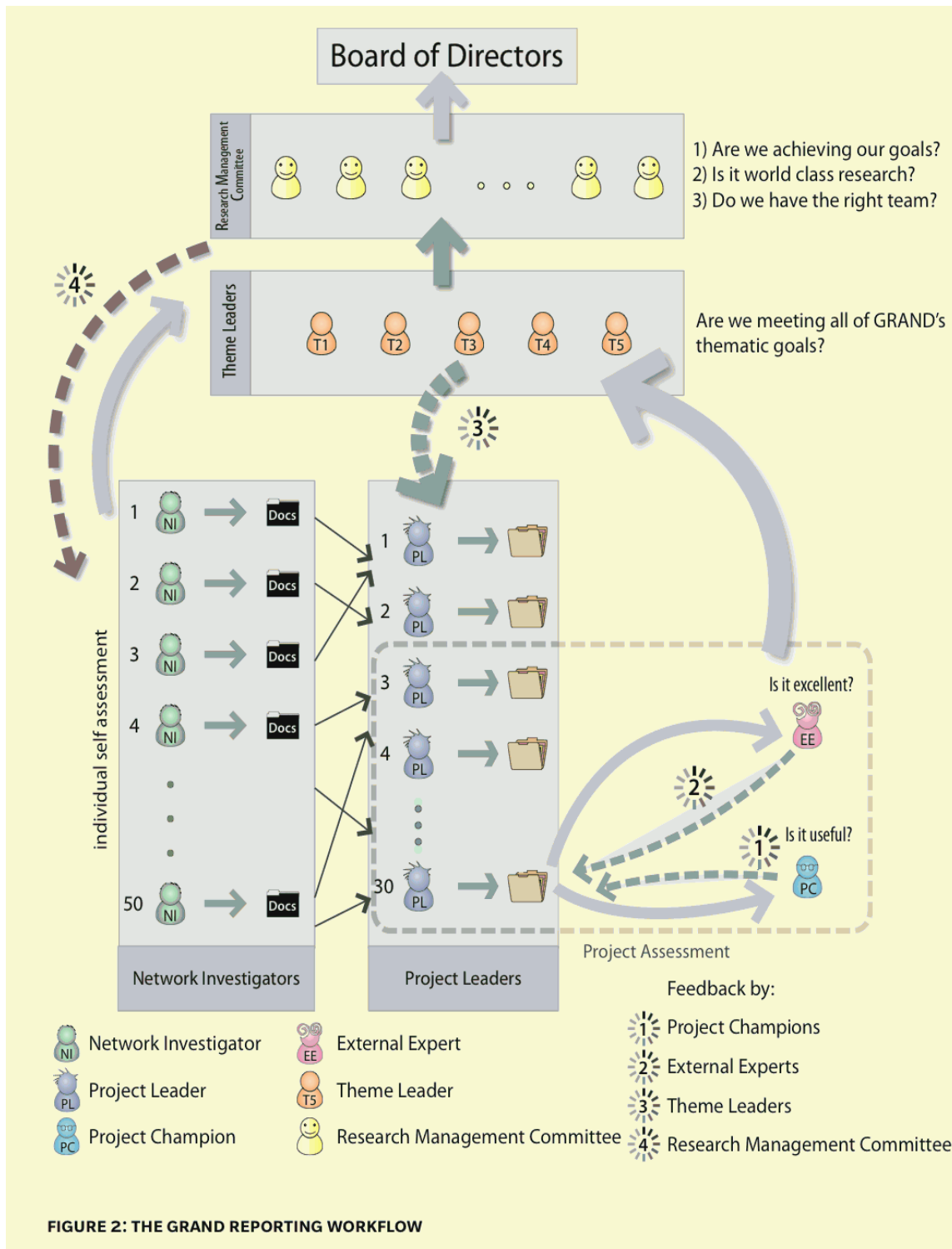
The external review process begins in February at the RMC meeting. At this meeting 50% of Projects will be selected for review in the following year, which means that GRAND reviews Projects every two years. This will set-up the rotation of Project reviews, where half of the Projects will be reviewed in the current year and the other half will be reviewed in the next year. The cycle will then repeat itself, adding in

Projects as they are created. All new Projects will be externally reviewed within the first year. More frequent external reviews may be performed when appropriate.

External Experts: ISAC evaluates in September.

In April or May, the RMC will meet to identify any Projects that may need to be terminated. The RMC will then notify the NIs in these Projects, possibly asking for additional information for a re-evaluation of the Projects. If the NIs fail to provide adequate information to the RMC, the funding requests for that Project will be rejected and the Project will be terminated.

6.4 Reporting Workflow



7 Expectations and Benefits

Participation in GRAND brings with it both rewards and obligations. We first look at the obligations and then the rewards.

7.1 Expectations

Each person within GRAND plays one or more roles within the network. Each of these roles has specific duties, which are outlined here.

Researchers

GRAND expects specific duties to be performed by researchers, which will ensure that GRAND meets the requirements set forth by the NCE Program. These duties include the following.

- Maintaining up-to-date profiles on the GRAND Forum
- Reporting annually through
 - Progress reports – NIs and all HQP working with them
 - Budget requests – NIs
 - Project reports – PLs
- Research activity that contributes to achieving the goals of the Network
- Participation in Network activities such as workshops, the annual conference, and other events, and from time to time assisting with organizing these events.

HQP

- Maintaining up-to-date profiles on the GRAND Forum
- Preparing progress reports, participating in Network activities, publishing, peer-reviewing within GRAND, completing the required tutorial on Tri-Council ethics policies, being a member of a student committee, attending the annual conference and presenting at a poster session or other venue at the conference

Partners

- Participation in one or more projects and providing cash or in-kind support
- Preparing a project champion report for projects that are closely aligned with the interests of the partner

7.2 Benefits

There are many advantages to participating in GRAND. First and foremost, it provides an opportunity to be part of the leading edge in digital media research within Canada. Beyond that, there are specific benefits that may be of importance to individuals.

Researchers

- Access to research funding through participation in projects
- Networking opportunities with colleagues across Canada engaged in digital media research in a variety of disciplines
- Partnerships with the receptor community and opportunities for knowledge and technology exchange and exploitation of research results

HQP

- Thesis, papers, posters reviewing network, lab visits, peer-review, CV development, networking
- At Conference: Best Poster Award, Best Demo Award, Best Poster Research Award
- Travel: AGM subsidy, posters, demo equipment funding

Partners

- Opportunity to influence the direction of the research and collaborate with other partners
- A “first peak” at the results of the research
- Getting to know the HQP that are being trained in the network

7.3 Acknowledgement Procedures

It is important that GRAND and individuals are acknowledged for their contributions to research, which appropriately recognizes the NCE for funding such research projects.

In a thesis or dissertation, acknowledgement of GRAND funding might look something like this:

"The research reported in this thesis/dissertation was (partially) funded by GRAND, the Graphics, Animation, and New Media Network of Centres of Excellence as part of the ABCDEF project."

Adjust as appropriate for bachelors or master's thesis versus doctoral dissertation, full or partial funding for your research, and one or multiple projects.

For a journal article, conference paper, or other publication (including posters) acknowledgement might be briefer.

"This research was (partially) funded by the GRAND NCE as part of the ABCDEF project."

For posters and similar publications, use of the GRAND logo is strongly encouraged. Various forms of the GRAND logo and related artwork are available on the GRAND website.

Appendix A: Management Mechanisms/Tools (GRAND Forum)

A.1 Overview

The mechanisms and tools GRAND is using to manage the research program and other aspects of the network utilize digital media tools. The web-based GRAND Forum is the primary communication and management tool for GRAND. The Forum is used as the single point of contact for GRAND Participants. All researchers, HQP, and project champions maintain a profile on the Forum that includes contact information, the role of the individual within the network, and relationships to project and other individuals.

A.2 Project Reporting Requirements

Projects and researchers will be reviewed annually, and allocations will follow the evaluations. Multiple forms will be submitted by Network Investigators, Project Leaders, and Project Champions, which will describe the progress of a project. The Progress Reports for projects will include a description of the project, analysis of past milestones, revised milestones, and contributions. The project reporting requirements are described in more detail below:

- List of Participants
- List of In-Kind Donations
- Milestones and details of the research
 - These should include an analysis of past milestones, and describe revised milestones for the new funding period
 - These are not released to the public, proprietary information may be included
 - These are used to evaluate projects
- Thumbnail Summary
- Project Description
 - This should be a one page stand-alone document
 - This is released to the public, no proprietary information should be included
- HQP Description

A.3 Project Funding and Budgets

The largest portion of the budget should be allocated to the training of highly qualified personnel. The greatest emphasis should be placed on doctoral students, then on master's students, postdoctoral fellows, undergraduate students, and technicians, respectively.

The total annual budget for all projects combined is estimated at \$3M. The following mathematics provides a rough guideline for how funding is allocated.

- $\$3M / 30 \text{ projects} = \$100K \text{ per project per year}$

It is reasonable to assume the following.

- A project will have \$75K - \$150K of funding per year shared by 3-5 PNIs and similar number of CNIs.
- A PNI will have \$25K - \$50K of funding per year for 2-3 projects
- A CNI will have an average of \$15K of funding per year from 1-2 projects.
- There is no effort being made to distribute the funding equally across universities. There will in fact not be any explicit allocation to universities except through the researchers who are at the various universities.

There are more PNIs than there are projects, so not every PNI will be a Project Leader. However, every project will also have a Co-Leader and so most PNIs will be either a Project Leader or a Project Co-Leader. A few PNIs will be both a Project Leader and a Project Co-Leader, but for different projects.

Most PNIs will have a primary project that accounts for about 50% of their network involvement (especially if they are the Project Leader). A likely distribution of their efforts (and funding) would be 40-60% for the primary project and smaller percentages for the other project in which they participate. Those with only 1-2 projects are likely to not have more than the average funding, and those who are spread too thin will be expected to either focus on fewer projects or risk a reduction in funding so it can be used by those who are focused.

A.4 Keeping Up To Date On the Forum

Potential Project Members:

If you expect to be on a project, be sure you are listed on the Forum page for the project, and that you have received confirmation from the Project Leader that you are being considered as a potential project member.

- If you expect to be a Project Leader, be sure that the relevant Theme Leaders know this.
- Notify the Block Captain for your university that you hope to be involved in GRAND.
- If you are holding discussions with current or potential non-academic partners, please be sure you know the Partner Expectations and please email vicd@uwaterloo.ca with contact information so he can help you answer questions about what it means to be a non-academic partner in GRAND.

NIs:

- Make sure that you have "checked in" with the Project Leader for every project on which you are or would like to be listed.
- Make sure that the Forum page for the project includes a link to your Forum profile page as a PNI/CNI.
- Make sure that your Forum profile page points to all of the projects on which you are listed, and that there is a clickable email link, there is a clickable link to your Web home page, and all of your contact information and biographic information are correct.

Appendix B: Funding Guidelines

Date Last Revised: October 2011

The PNI annual funding requests will vary from year to year; however, the table below is an estimate of the funding amounts granted for 12 months. These numbers should be used as guidelines for determining budget requests for future years.

PNI Funding for 2011-12		
Min	Average	Max
\$25,000	\$36,078	\$49,500

Table 1 PNI Funding Guidelines

The CNI annual funding requests will vary from year to year; however, the table below is an estimate of the funding amounts granted for 12 months. These numbers should be used as guidelines for determining budget requests for future years. The average is over those CNIs who had funding greater than zero.

CNI Funding for 2011-12		
Min	Average	Max
0	\$14,033	\$25,000

Table 2 CNI Funding Guidelines

Appendix C: Funding Allocation FAQ

This Appendix has answers to Frequently Asked Questions about the funding allocation process. It is a companion to the step-by-step instructions on The Forum. The FAQ was prepared during the application process, in 2009. But most of the questions, and the answers to them, are still relevant.

Q: How much money will I get and when will I know?

A: The first steps in the Funding Allocation process will be underway by the end of October. Every NI will be asked to submit a Progress Report and Future Budget Request. The Project Leaders will be asked to submit a PL Progress Report, which is a supplementary document describing their proposed contributions to GRAND during the 12-month period and specific milestones for each of the projects in which they are engaged. Based on these reports the RMC will evaluate and recommend funding amounts. The Board of Directors will then review these recommendations and award letters for a first instalment will be sent to each of the NIs in April. The first instalments will be intended to cover at least three months of research costs. These first instalments will not necessarily reflect the budget requests. Amended award letters for the full 12-month period will be sent out in July, after a full review of the budget requests, carry-over amounts, and supplementary documents. Please refer to the Reporting Cycle Calendar in Section 5.1.1.

Q: Do I get all of my money at once, so I can manage it over the course of the funding period?

A: The term “instalment” is used in an earlier question in the sense of “incremental notice of award.” It is not the same as the incremental delivery of funds, which is inherent in the whole process. The NCE Secretariat provides bi-monthly instalments of funds to GRAND, which in turn provides bi-monthly instalments to each university. However NIs should see accounts that have an award for a given term on an annual basis. NIs will be expected to manage their funds over this period. There will be provisions for carry-over across funding years, but this will not be unlimited. Too much carry-over will result in reduced funding or even transfer of funds to other NIs if circumstances warrant. NIs will need to be especially careful managing their first instalment. Unrealistic expectations about the total award for the 12-month period could result in shortfalls later in the period if too much is spent during the first three months.

Q: Will I get enough money to fund all of the research I have proposed?

A: No. The NCE Program is designed to augment and extend existing sources of funds. It is not intended to fully fund the research. NCE funds are also intended to complement other sources of funds by providing additional resources for (people-to-people) networking, pre-commercialization activity, and technology transfer and knowledge dissemination. Every NI is expected to have access to other sources of funding at the level required to conduct excellent world-class research. This is what the 'E' in "NCE" stands for, “excellence”. We take this seriously.

Q: How will CNIs get access to funds?

A: CNIs will gain access to funds through the funding allocation application process, just as all other NIs do.

Q: I am a Project Co-Leader but not a Principal Network Investigator. How will I fund my participation in the project?

A: If you are not a PNI, then you must be a CNI to be a Project Co-Leader. See an earlier question on how CNIs get access to funds.

Q: I want to have a postdoc on my project. How can I hire one with only \$45K per year when salary, benefits, travel, and other costs usually total more than that?

A: You can't. GRAND is an NCE. Projects are always done in collaboration. Postdocs funded by GRAND are expected to either have additional funding from other sources, or they are expected to be working with multiple NIs, each of whom contributes to their support. In some cases, such as when a supporting NI is at a different university, that NI will arrange to have his/her funding reduced and the funds allocated to an NI at the university where the postdoc holds an appointment. The same applies to graduate and undergraduate students (we encourage co-supervision) and other research personnel.

Q: I am coming up for renewal on my regular NSERC or SSHRC funding. How will my GRAND funding affect me?

A: It should help you! NSERC and SSHRC award funds according to a number of criteria. One of them is the excellence of the researchers. You should list each of the GRAND projects in which you are engaged, and the total funding for the project across all NIs, as currently held support when you apply for other funding. You can estimate your share of the funding using the information you provided in your budget request about how you allocated your research time in GRAND.

When completing the NSERC Form 100, put the name of the Project Leader in the first column as the applicant, put "GRAND -- name of the project" as the title of the proposal, "NCE" as the funding source, and "research project" as the program in the second column. Put the total amount per year for the project and your estimated percentage in the third column.

If you prefer to instead list the funding that comes to you as an NI, change the title of the proposal to "Graphics, Animation and New Media, the program to "network investigator" and put your total amount in the third column with 100%. The project-based listing is recommended, but either is reasonable, listing the total funding for GRAND and an inconsequential percentage for you is strongly discouraged. It makes you seem insignificant. The project-based approach shows the diversity of your research, and it maximizes the number of funding awards you list and also the total amount of funding unless the percentage is taken into account, in which case the total is unchanged.

Q: What expenses can I pay from my GRAND funds?

A: Every NCE has to designate one of the three granting councils (CIHR, NSERC, or SSHRC) as the council under whose rules funds will be administered. GRAND has designated NSERC. This is generally to our advantage. It means that we can pay graduate students and postdocs more than if we came under SSHRC guidelines (we are not required to pay the maximum allowed, only the minimum that NSERC specifies in some cases). Every NI is expected to know, understand, and abide by the guidelines. There are no exceptions to this rule.

Q: What is the purpose of the percentages in the Excel spreadsheet we have to fill out for our budget request?

A: GRAND submitted a budget as part of the Application to the NCE Program. That budget was approved. We need to stick to it. Each NI has to do his/her part by aligning expenditures accordingly. There is flexibility, however, for some NIs to over-spend in a category if some other NI under-spends in that category. Only the total across the network in each category counts. The Research Management Committee (RMC) will ensure that these sums are appropriate. The RMC will also check to make sure that no project has more total funding than the guidelines permit. (But you knew this already since you read the guidelines, right?)

Q: My research requires a lot of expensive equipment. Can I use GRAND funds to equip my lab?

A: The short answer is "No." The longer answer is that it depends. GRAND has not budgeted for a lot of equipment costs. It is assumed that you either have adequate equipment or that you and your collaborators will apply to other programs such as CFI (Canadian Foundation for Innovation) or NSERC (through a Research Tools and Instrumentation grant) to obtain what you need. Operating funds that you have from GRAND should help increase your chances of success. Remember, NCEs augment and extend, they do not fully fund. See an earlier question for more on this point and the previous question for more on limits in budget categories.

Q: What are the consequences of receiving funding from GRAND?

A: We were wondering when you would ask that! There are lots of consequences.

Every Network Investigator will be required to sign an appendix in the Network Agreement that will describe in detail the responsibilities and obligations of being part of the GRAND. No funds will be distributed until the Network Agreement has been signed. There is an additional document with specific obligations that will further describe what is expected and the approximate time lines for each requirement. The document you are currently reading is that document.

Every NI will be required to file an annual Progress Report. These will be due roughly in October/November of each year. Included in the progress report will be a summary of research activities, including progress toward meeting the milestones set out in the research plan(s) for the project(s) in which each NI is engaged, a list of personnel involved in the GRAND research and other

activities, and collaborations with non-academic partners for technology transfer or knowledge exchange. Submission of a Future Budget Request will also be required from every NI.

Every NI will be expected to provide at least one "high value" documentation each year illustrating some aspect of the on-going research. Often this will take the form of a video, interactive website, or other new media presentation.

All PNIs will be required to attend the annual GRAND Conference. One or more students working with each PNI will also be expected to attend each year. The costs of attending will be subsidized by GRAND, but some expenses will need to be paid from each PNI's research funding.

Q: OK, I read everything. Now, what should I ask for in my budget?

A: The budget request is for 12 months. The Research Management Committee (RMC) will be reviewing all requests and will apply guidelines. Make life easier on everyone, including yourself, and have realistic expectations. When in doubt, consult with one or more of the theme leaders and with the project leaders with whom you are working.

Q: In the budget template there seems to be very little for covering networking and collaborative activities (as distinct line items). This would be expenses like funding student travel, project-based workshops, video conferencing meetings and social networking or even bigger things like facilitating student exchanges through some kind of fellowship or internship mechanism. (a) Will this stuff come from a different part of the NCE budget? Or do we need to use our supplementary funds for this stuff? (b) We have a CFI to buy big things and a bunch of smaller grants to buy little things, pay our own travel etc., but SSHRC especially does not cover much student travel and networking so we have a huge gap in this area. We will now apply for networking grants directly to augment the NCE funding, but can we adjust your budget estimates to cover the gaps in our situation? (c) What would be reasonable in terms of the larger NCE allocation ratios – can we reasonably fiddle with the estimates by +/- 10%... 15%... or more?

A: First, look at the Budget Overview for GRAND over the five years. Network Investigators are being asked to submit their estimated expenses for the first six budget categories. The other three categories are in a separate part of the budget, distinct from project budgets. Now, here are answers to your questions in the order they are posed:

(a) There is money in the other categories for student travel for GRAND meetings and GRAND student exchanges, included international exchanges when those are through GRAND. Non-GRAND conferences, meetings, or student exchanges need to be covered from project budgets.

(b) Neither SSHRC nor NSERC typically likes to see project budgets with lots of travel for students or faculty researchers. The NCE program is the same. But they do like to see lots of money spent supporting students, postdocs, undergraduates, and (to a lesser extent) research assistants and technicians. It is a good idea to use your GRAND funds for the latter and hope that this frees up other

funds for travel to the extent this is possible. Experience shows that everyone could always use more travel funds, but we also know that taxpayers don't like the idea of research funds being spent on travel to exotic locations -- many Canadian taxpayers feel that Vancouver, Toronto, and Montreal are exotic locations.

(c) Any individual NI can deviate (within reason) as much as makes sense. Summed over a project (weighted by the percentage for each NI), the totals should be closer to the ideal profiles, but projects too can vary. But summed over all NIs (or, equivalently, over all projects), we want to hit each of these targets fairly closely. Obviously it is not possible for every NI to be an exception, especially if the exception is to have more than the average for travel funds. If there are good reasons to adjust these percentages in the overall budget starting with the next year, we will have flexibility to do that, but we need to have good reasons that must be provided when we request our annual instalments.

Appendix D: Network Investigator Obligations in Network Agreement

In signing the Acknowledgement attached as Appendix A of the Network Agreement, a Network Investigator agrees as follows:

D.1 Publications

In all presentations and publications of results of Network Research, the Network Investigator shall acknowledge the author's participation in the Network and the support of the NCE Program and Granting Agencies, and shall also refer to industrial support where appropriate.

D.2 Disclosure and Commercialization of NSIP

- a. The Network Investigator shall promptly disclose in writing to the Network and to the Technology Transfer Office, any results of Network Research that the Network Investigator believes have the potential to be Commercialized;
- b. The Network Investigator shall withhold publication for the longer of 90 days or for such period as is provided by the policies of his/her Network Member, any such material pending evaluation by the Network and the Technology Transfer Office of his/her Network Member to determine whether contents contain patentable, commercializable or confidential information. For greater clarity Network Investigators shall not be restricted from presenting at symposia, national, or regional professional meetings, or from publishing in abstracts, journals, theses, or dissertations, or otherwise, whether in printed or in electronic media, methods and results of research carried out pursuant to this Network Agreement, except where such publication or presentation would result in the public disclosure of NSIP or Confidential Information.
- c. Furthermore, upon request by the Network or the Network Member, the Network Investigator shall further delay publication of NSIP for up to 6 months to provide time for the Network or the Network Member to seek patent protection for the NSIP. The Network Investigator will work with the Technology Transfer Office and the Dean of Graduate Studies to ensure that any such delays do not interfere with a student's thesis defence or the graduation of the student.
- d. The Network Investigator shall promptly disclose in writing to his/her Network Member, and to the Administrative Centre any conflict of interest that may arise pursuant to the terms of section 3.4.
- e. The Network Investigator shall promptly disclose in writing to the Network and to the Technology Transfer Office existing Intellectual Property and any prior art which could limit the extent to which proposed and/or ongoing Network Research could be commercialized.

D.3 Confidential Information and Transfer of Material

The Network Investigator shall ensure that the appropriate agreements concerning the disclosure of Confidential Information and the transfer of biological and other materials are entered into prior to any disclosure of Confidential Information or transfer of material by the Network Investigator.

Where such information is disclosed or material is transferred, it shall be substantially in accordance with the form of the Confidentiality Agreement attached as Appendix B of the Network Agreement or the Material Transfer Agreement attached as Appendix C of the Network Agreement.

D.4 Conflict of Interest and Research Ethics

- a. The Network Investigator shall abide by the Tri-Council Policy Statement on Integrity in Research and Scholarship (see: [HTTP://WWW.NSERC-CRSNG.GC.CA/NSERCCRSNG/POLICIES-POLITIQUES/TPSINTEGRITY-PICINTEGRITIE_ENG.ASP](http://www.nserc-crsng.gc.ca/NSERCCRSNG/POLICIES-POLITIQUES/TPSINTEGRITY-PICINTEGRITIE_ENG.ASP) for details) governing the use of grant funds and the conduct of research.
- b. Each Network Investigator shall abide by the provisions of his/her Network Member's policies and guidelines with respect to conflict of interest and conflict of commitment and by the provisions of the NCE Conflict of Interest Policy Framework, as outlined in the NCE Program Guide.
- c. The Network Investigator shall be responsible for ensuring appropriate certification and/or institutional approval is obtained for their Network Research that involves any types of research described in Paragraph 2.4 of the Network Agreement.

D.5 Records and Reports

- a. The Network Investigator shall submit research progress reports to the Administrative Centre as required by the Network;
- b. The Network Investigator shall ensure that all HQP have entered into agreements containing substantially similar terms to those governing the Network Investigator set out in this Agreement;
- c. The Network Investigator shall ensure that all HQP maintain effective record keeping for experiments carried out as part of Network Research.

D.6 Other Obligations

- a. The Network Investigator shall use reasonable efforts to attract complementary research funding;
- b. The Network Investigator shall work in concert with the Network, the Network Members, Network Affiliates and other inventors in the Commercialization of NSIP including, but not limited to, the prosecution of patents, all in accordance with sections 6 (Ownership of Intellectual Property) and 7 (Principles of Commercialization of Intellectual Property).
- c. The Network Investigator shall participate in Network committees and in other Network activities as required.
- d. The Network Investigator(s) who is (are) the primary user(s) of equipment purchased with NCE funds, and the Network Member owning this equipment, agree(s) to provide other Network Investigators with reasonable access to the equipment for the pursuit of other Network Research projects, and other non-Network Research projects, with Network Research having priority access.
- e. The Network Investigator(s) shall promptly provide to the Network a description of all capital expenditures prior to purchase with NCE Funds.

D.7 Termination of Project Funding

Where the Network determines that a Network Investigator has failed to comply with the duties and responsibilities set out in this Agreement, it shall promptly notify the Network Member and the Network Investigator of the particulars. The Network Investigator shall have thirty (30) days within which to remedy the failure, failing which the Network may terminate funding of the Network Research carried out by the Network Investigator. Notwithstanding the termination of funding, the Network Investigator will co-operate with the Network to ensure an orderly transfer of responsibilities and phase-out of activities and shall continue to be bound by the provisions of this Agreement governing Intellectual Property, publication, confidentiality and any other provisions which are necessary for the Network to fulfill its obligations to the NCE Program.

Appendix E: Lists

Please find below specific page links to lists of information found on the GRAND website (GRAND-NCE.CA).

Network Members: GRAND-NCE.CA/PARTNERS/MEMBER-UNIVERSITIES

Partners: GRAND-NCE.CA/PARTNERS/INDUSTRY

PNIs: GRAND-NCE.CA/ABOUTGRAND/PEOPLE/PRINCIPAL-NETWORK-INVESTIGATORS

CNIs: GRAND-NCE.CA/ABOUTGRAND/PEOPLE/COLLABORATING-NETWORK-INVESTIGATORS-CNI

Themes: GRAND-NCE.CA/RESEARCH/THEMES

Projects: GRAND-NCE.CA/RESEARCH/PROJECTS

Appendix F: Policies

The following policies (Governance, Financial, Communications) will be made available as soon as they are completed.

Governance Policies

GOV.1 Benefit to Canada

GOV.2 Access to Information Act and Privacy Act

GOV.3 Code of Conduct

GOV.4 Conflict of Interest

GOV.5 Funding and Network Agreement

GOV.6 Intellectual Property

GOV.7 Use of NCE Funds

GOV.8 Environmental Review

GOV.9 Ethics

Financial Policies

FIN.1 Reporting Requirements

FIN.2 Administrative Centre Budget

FIN.3 Financial and Budget Commitments

FIN.4 Travel

FIN.5 Expenditure Reimbursement

FIN.6 Budget and Financial Reporting for NIs

FIN.7 Terms and Conditions of GRAND Funding

FIN.8 GRAND RTI Award

Communication Policies

COM.1 Internal Communications

COM.2 External Communications


COM.3 Logo Use

COM.4 Media Relations

COM.5 Social Media

COM.6 Sponsorship

Appendix G: Tri-Council Form 300

	Canadian Institutes of Health Research	Instituts de recherche en santé du Canada	<input type="checkbox"/>
	Natural Sciences and Engineering Research Council of Canada	Conseil de recherches en sciences naturelles et en génie du Canada	<input type="checkbox"/>
	Social Sciences and Humanities Research Council of Canada	Conseil de recherches en sciences humaines du Canada	<input type="checkbox"/>

Indicate for which Federal Granting Agency the "Statement of Account" is intended.

Annual Statement
 Final Statement

GRANTS IN AID OF RESEARCH STATEMENT OF ACCOUNT

IMPORTANT NOTICE: A signed "Statement of Account" for each grant account, including General Research Fund (GRF), General Graduate Studies Fund (GGSF), Aid to Small Universities (ASU) and SSHRC Institutional Grants (SIG), must be filed annually by **30 June**. Failure to file a "Statement of Account" by the specified date may result in the closing of the Federal Granting Agency grant account(s).

Family Name, Given Name and Initial(s) of Grantee	Council/Personal Identification No. (CID/PIN)	Date	Year Ending 31 March 20
Institution		University Account No.	Grant No.

FUNDS AVAILABLE FOR CURRENT YEAR

Balance of grant at close of previous year	\$
Current year grant	\$
Federal Granting Agency authorized transfer	\$
Total funds available for current year	A \$

EXPENDITURES INCURRED FOR CURRENT YEAR

	Canadian and Permanent Residents		Foreign
1) Salaries to students (including benefits)			
a) Bachelor's	\$	\$	\$
b) Master's	\$	\$	\$
c) Doctorate	\$	\$	\$
2) Salaries to non-students (including benefits)			\$
a) Postdoctoral	\$	\$	\$
b) Other			\$
3) Salary and benefits of incumbent (Canada Research Chairs only)			\$
4) Professional and technical services/contracts			\$
5) Equipment (including powered vehicles)			\$
6) Materials, supplies and other expenditures			\$
7) Administrative costs related to the Canada Research Chair (proposal writing, technology transfer costs, libraries, relocation, etc.)			\$
8) Travel			\$
9) Research time stipends (SSHRC Grantees and NCE Program Leaders only)			\$
10) GRF, GGSF, SIG and ASU expenditures only			
a) Travel in Canada			\$
b) International travel			\$
c) Research awards, scholarships			\$
d) Research infrastructure (ASU only)			\$
e) Other (e.g., conferences, workshops, seminars)			\$
11) Other expenditures (e.g., NCE administration costs)			\$
Total expenditures incurred for current year			B \$
Balance (A-B)			\$

UNSPENT BALANCE

Outstanding commitments at close of year	\$
--	----

SIGNATURES

<p>I hereby certify that the above statement is correct; that the expenditures conform to the general conditions and regulations governing grants as outlined in the Federal Granting Agency guide, and were for the purpose for which the grant was made.</p> <p>_____</p> <p style="text-align: center;">Grantee (or university official for GRF, SIG and ASU)</p> <p>_____</p> <p style="text-align: center;">Date</p>	<p>I hereby certify that the expenditures summarized above were incurred and paid wholly on behalf of the grantee, and that the vouchers are available for monitoring purposes.</p> <p>_____</p> <p style="text-align: center;">Financial Officer</p> <p>_____</p> <p style="text-align: center;">Date</p>
---	--

Form 300 (2003) Français au verso