



## Alliance grants

# Terms and conditions of award

NSERC is pleased to offer you a grant in support of the research project proposed in your application in the amount and for the duration specified in the grant summary.

By drawing on the funds awarded, you confirm that, during tenure of the grant, you will comply with the following terms and conditions:

1. You will use grant funds (including financial contributions from both NSERC and the partner organizations) only for the specific purposes for which they were awarded, and only for eligible expenditures in accordance with the [Tri-agency guide on financial administration](#) and the Alliance program literature, as well as any relevant agency agreements. You are not required by NSERC to strictly adhere to the budget presented in the proposal, as long as the grant funds are used for the research and training objectives that they were intended for. You are expected to spend grant funds from both NSERC and the partner organizations in a timely manner throughout the project.
2. You will provide true, complete, accurate information in any documents related to your grant, and you will represent yourself, your research and your accomplishments in a manner consistent with the norms of the relevant field.
3. You will ensure that individuals who are named in any document(s) related to your grant have agreed to be included and to disclose their personal information in the document(s).
4. If you are a grant co-recipient, you agree that the grant recipient will administer the grant on behalf of the group/team.
5. You are not currently ineligible to apply for and/or hold funds from NSERC, the Canadian Institutes of Health Research (CIHR), the Social Sciences and Humanities Research Council (SSHRC) or any other research or research funding organization worldwide for reasons of breach of policies on responsible conduct of research, such as ethics, integrity or financial management policies. If at any time you become ineligible for any of these reasons, you will advise your institutional officials and NSERC immediately, in writing.
6. You will comply with the [Tri-agency framework: Responsible conduct of research](#), which includes but is not limited to the [Tri-agency guide on financial administration](#) and the [Program guide for professors](#), and with any amendments to these that NSERC may adopt.
7. If you are or have been (at any time during the past 12 months) a federal public servant, you have complied with and will continue to respect the [Values and Ethics Code for the Public Sector](#).

8. You consent to the sharing among the three federal granting agencies (NSERC, CIHR and SSHRC) and with any academic institution to which you are, or may become, affiliated, of any and all information, including personal information, in any way related to the application and to the grant.
9. You consent to the sharing among any co-funding organizations listed or participating in the research project, any and all information, including personal information, in any way related to the grant.
10. You will provide contact information and inform all students, fellows and other research trainees paid out of this grant that NSERC may contact them to gather information for statistics and reporting purposes.
11. In the event of any change in your eligibility status, you will inform NSERC and your institutional officials immediately, in writing.
12. You will inform institutional officials of any changes in the nature of the research that may have an impact on certification or approvals as in section 2.4 Agency Requirements for Certain Types of Research of the [Tri-agency framework: Responsible conduct of research](#).
13. You will inform NSERC and your institutional officials of any changes in the nature of the research that may require an environmental review/assessment or involves the use of human pluripotent stem cells. You will not proceed with these research activities requiring additional certification until NSERC approval has been obtained.
14. You will inform your institutional officials if your research plan changes to include new activities involving humans or the use of animals. You will not proceed with these research activities until institutional approval has been obtained.
15. Upon request, you will provide regular reports with the complete information requested at intervals that are determined by NSERC.
16. You will adhere to the start and end dates of your project as specified in the grant summary. If you wish to extend the term of your grant, you must contact NSERC.
17. You will receive the next instalment of your grant on or near the anniversary of the start date subject to
  - availability of funds;
  - the partner organization(s) having met their obligations to provide cash contributions for the preceding instalment;
  - the partner organization(s) continuing their financial support for the following instalment;
  - the demonstration of the need for funds, when requested by NSERC.

NSERC reserves the right to reduce or cancel a grant instalment if the grant recipient fails to demonstrate a continued need for funds.

In agreement with the Treasury Board's [Guideline on the Directive on Transfer Payments](#), NSERC may transfer the funds to your university in a single lump sum or in multiple payments made at regular intervals over the year. Typically, if the instalment is more than \$250,000, it is transferred in multiple payments.

18. You are required to acknowledge NSERC's support in all communications (verbally and in writing) about the research and research results. Furthermore, under Part VII of the *Official Languages Act*, NSERC is responsible for taking positive measures to promote the use of both English and French in Canadian society. Therefore, we ask that you acknowledge, verbally and in writing, your NSERC funding in both English and French whenever possible. For sample text and additional information, visit our [Acknowledgement and logos](#) web page.
19. In accordance with the [National Security Guidelines for Research Partnerships](#), if applicable, you will implement all risk mitigation measures identified in your risk mitigation plan and award letter.
20. All research team members involved in the activities funded by this grant must comply with the [Policy on Sensitive Technology Research and Affiliations of Concern](#) (STRAC Policy) for the duration of the grant, according to [Tri-Agency Guidance on the STRAC Policy](#).
21. You will inform NSERC and your institutional officials of any changes in the nature of the research that may require the submission attestations of compliance in accordance with the [Policy on Sensitive Technology Research and Affiliations of Concern](#). You will not proceed with these research activities until NSERC approval has been obtained.
22. In cases where one or more STRAC Policy attestation forms were provided to NSERC because your research was identified as aiming to advance a [Listed Sensitive Technology Research Area](#):
  - You consent to the sharing of all information provided in the STRAC Policy [attestation form](#) with Government of Canada departments and agencies for the purpose of national security assessment and compliance with the STRAC Policy.
  - You will inform NSERC and your institutional officials of any changes to the composition of the research team that may require the submission of attestation of compliance with the [Policy on Sensitive Technology Research and Affiliations of Concern](#). You will not proceed with research activities supported by this grant until NSERC approval has been obtained.

## Other considerations

### 1. Participation of the partner organizations

The grant recipient must remind each partner organization that it must

- honour its commitment to the project (in cash and/or in-kind) as approved;
- provide periodic assessments as requested by NSERC, to help NSERC evaluate the progress of the research;

- make every effort to use the project results to create economic, social and/or environmental benefits for Canada and Canadians.

NSERC may request that the grant recipient replace the partner organization(s) and/or that the participation of the partner organization(s) be terminated

- for reasons of national security;
- in the event of criminal sanctions;
- to comply with federal laws, regulations, policies and directives.

The grant recipient must ensure that any agreement with the partner organization(s) contains provisions relevant to the above.

## **2. Research agreements – intellectual property (IP)**

The grant recipient and co-recipient(s), the university(ies) and the partner organization(s) agree to abide by NSERC's [policy on intellectual property](#). NSERC considers it a best practice for all parties collaborating in the research project to enter into a research agreement that outlines any IP arrangements and the obligations of all partner organizations involved in the research project.

## **3. Change of status – partner organization(s)**

The grant recipient must notify NSERC immediately of any change in the status of the partner organization(s) in the grant. These changes include any of the following:

- contact name at the organization;
- buyout or change of ownership and subsequent name change of the organization;
- withdrawal or adjustment of cash support;
- newly participating partner organization(s).

## **4. Termination of support**

NSERC reserves the right to terminate support at any point

- if it finds that progress is unsatisfactory;
- if the partner organization(s)' support falls to a level substantially lower than the amount stated in the grant summary, or is withdrawn entirely and the grant recipient cannot find a suitable replacement partner organization;
- if there is a determination by the Government of Canada of unacceptable national security risk related to the research, the grant recipient or co-recipient(s) and/or the partner organization(s), where applicable;

- if the grant recipient or co-recipient(s) and/or partner organization(s), where applicable, are subject to criminal investigations, indictments, or convictions which are related to, or have an impact on, the research;
- to comply with federal laws, regulations, policies and directives;
- for other issues that may arise.

If a grant is terminated early, NSERC will negotiate an orderly phase-out of the project to ensure minimal disruption, especially for any highly qualified personnel in training.

However, if a breach of NSERC policy is alleged or confirmed, the [Tri-agency framework: Responsible conduct of research](#) applies.

## 5. Public communication about your grant

NSERC will make an annual announcement to celebrate the Alliance grant recipients from the previous year and will inform the institutions' communications offices of this announcement with as much advance notice as possible. There is no embargo on announcements about awarded Alliance grants; once the grant is active, institutions and recipients are welcome to mention their award on their websites and other communication channels, as well as make a public announcement about their Alliance grant. Before making an official public announcement, the institution must consult with NSERC's [communications team](#).

### Consent to disclosure of personal information

You understand that maintaining public trust in the integrity of researchers is fundamental to building a knowledge-based society. By accepting funding from NSERC, CIHR and/or SSHRC, you affirm that you have read and you agree to respect all the policies of these agencies that are relevant to your research, including the [Tri-agency framework: Responsible conduct of research](#). In cases of a serious breach of agency policy, the agency may publicly disclose any information relevant to the breach that is in the public interest, including your name, the nature of the breach, the institution where you were employed at the time of the breach and the institution where you are currently employed, and the recourse imposed against you. You accept this as a condition of receiving agency funding, and you consent to such disclosure. If you do not agree to the disclosure of your personal information, you cannot participate in this grant program.

**Note:** If you have any concerns about your ability to comply with the terms and conditions listed above, contact your institutional official or the NSERC file manager (identified in the grant summary) immediately. Do not agree to the terms and conditions and do not draw down on any funds paid to you or to the host institution until you are certain that you can and will comply with all of the requirements.