



# Canadian Institutes of Health Research (CIHR) Application Administration Guide

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## **Part 1: About the Guide**

### **1.1 Introduction**

As the Government of Canada's health research funding agency, the Canadian Institutes of Health Research (CIHR) is committed to funding excellence across all aspects of health, in accordance with the [CIHR Act](#) and Government of Canada legislation, policies and requirements. Integral to this commitment is the assurance that the underlying administrative requirements, practices and processes that pertain to funding applications are transparent, consistent, effective and efficient. To this end, the CIHR Application Administration Guide (the Guide) serves as an important resource for applicants and administering institutions to ensure understanding of the applicable roles and responsibilities and overarching requirements that govern the administration of CIHR funding applications.

### **1.2 Effective Date and Review**

This Guide takes effect on (November 15, 2019).

CIHR may review and amend this Guide from time to time, as deemed necessary.

Refer to the [Summary of Changes](#) section for recent amendments to this Guide.

### **1.3 Scope and Applicability**

The Guide is applicable to applications submitted in response to CIHR funding opportunities. It does not apply to the Vanier Canada Graduate Scholarships Program; Banting Postdoctoral Fellowships Program; Canada Graduate Scholarships-Master's Program; Canada Graduate Scholarships – Michael Smith Foreign Study Supplements Program.

This Guide must be read in conjunction with the funding opportunity, for information regarding the funding objectives, funds available, critical dates, assessment criteria, specific eligibility rules and how-to-apply instructions.

For requirements pertaining to administration of funded grants and awards and the use of funds, refer to the [Tri-Agency Financial Administration Guide](#) and the [Tri-Agency Research Training Award Holder's Guide](#), as applicable.

For information regarding International and global health; Knowledge translation; Sex, Gender and Health Research, refer to the [Collaboration](#) section on the CIHR website.

### **1.4 Order of Precedence**

Additional restrictions prescribed in the funding opportunity take precedence over this Guide.

### **1.5 Compliance and Consequences**

Applicants should refer to, and must comply with, the latest version of this Guide. Compliance with the applicable responsibilities and requirements set out in this Guide is a condition to apply for, hold, and/or administer CIHR funds. Actions to be taken in response to a confirmed breach of agency requirements will be determined on a case-by-case basis and will be commensurate with the severity of the breach.

For information on how CIHR addresses allegations with respect to a breach of requirements, refer to the [Tri-Agency Framework: Responsible Conduct of Research](#).

## **Part 2: General Requirements for CIHR Grants and Awards Applications**

CIHR's application process relies on collaboration and a common understanding between CIHR, the applicants and their administering institution (if applicable) of their respective roles and responsibilities. To strengthen understanding, CIHR has established broadly applicable requirements and high-level, role-specific responsibilities that pertain to applying for funding, with the aim of supporting the integrity of the application process and the funding of excellence.

### **2.1 General Requirements**

In order for a funding application to be accepted by CIHR, it must meet the following requirements:

- I. align with [CIHR's mandate](#);
- II. be complete with respect to the submission requirements outlined in the applicable funding opportunity;
- III. meet the applicant eligibility criteria and have obtained all necessary consent and approvals, as prescribed in this Guide and the funding opportunity;
- IV. not already be funded by CIHR, the Natural Sciences and Engineering Research Council (NSERC) or Social Sciences and Humanities Research Council (SSHRC);
- V. not include applicants or collaborators who:
  - have been deemed ineligible to apply for Tri-agency funding for reasons of breach of standards of ethics or integrity (including financial or scientific misconduct);
  - are subject to conflict of interest requirements that prohibit them from applying;
  - have outstanding amounts owing to CIHR.

### **2.2 Role-Specific Responsibilities**

#### **2.2.1 Responsibilities of CIHR**

- I. Establish and implement requirements, practices and processes that:
  - facilitate transparent and equitable treatment of funding applications;
  - reduce undue administrative burden on peer review;



- allow some flexibility to mitigate unforeseen and uncontrollable circumstances, when appropriate;
- ensure CIHR fulfills its obligations in respect of applicable government of Canada legislation, policies and regulations.

### 2.2.2 Responsibilities of Administering Institutions (where applicable)

- I. Approve the submission of funding applications under their purview, thereby affirming endorsement of the application, as follows:
  - the nominated principal applicant as meeting the eligibility criteria, as set out in the funding opportunity;
  - the research/activities proposed in the application and agreement to provide adequate physical and organizational infrastructure for conducting the proposed research/activities, should the application be approved for funding.
- II. Inform CIHR immediately should they withdraw their endorsement of the application during the course of the funding competition.

**Note:** Training Awards only – The statements outlined above in **section 2.2.2** are also applicable to the institution where the research will be conducted, if different from the administering institution.

### 2.2.3 Responsibilities of Nominated Principal Applicants (or role equivalent)

- I. Coordinate the financial and administrative aspects of the application, as set out in the funding opportunity and this Guide, thereby affirming that the application meets the general requirements stated in **section 2.1**.
- II. Lead the intellectual direction of the proposed research/activities.
- III. Receive all related correspondence from CIHR.

### 2.2.4 Responsibilities of All Applicants, including the Nominated Principal Applicant, and Collaborators

- I. Ensure compliance with CIHR's ethics and integrity regulations and standards, thereby affirming:
  - they are compliant with the [Tri-Agency Framework: Responsible Conduct of Research](#);
  - their participation on the application does not breach any conflict of interest requirements that prohibit applying, including the [Conflict of Interest and Confidentiality Policy of the Federal Research Funding Organizations](#). In case of doubt, individuals should seek guidance from the appropriate authority responsible for compliance with conflict of interest policies;
  - should they hold other CIHR grant/award funding, they further attest to:
    - being in good financial standing with the agency, such that they have paid or returned all money owing to the agency;
    - having no overdue research reports owing to the agency.

## 2.3 Intellectual Property and Patents



- CIHR does not pass judgement on the eventual commercial success of research, nor does it retain or claim any ownership of, or exploitation or proprietary rights to intellectual property, copyright or inventions developed/resulting from research supported with agency grant funds.
- The onus is on the Nominated Principal Applicant (or the Institution or both, depending on the Institution's policy on ownership of Intellectual Property) to seek patent protection, in collaboration with the partner where applicable, for inventions or developments arising from CIHR-supported research.
- Administering institutions are required to disclose to grant recipients their policy on intellectual property rights and ownership arising from supported research.
- Grant recipients that decide to pursue commercialization of any results of the research are required to adhere to institutional and agency policies governing the assignment of intellectual property.

### Part 3: CIHR Applicant Eligibility

The following details the general eligibility requirements for standard applicant roles for CIHR funding opportunities.

**Important Note:** The funding opportunity may further restrict eligibility and outline additional requirements to align with specific program objectives.

For the eligibility requirements to administer funds, refer to [Part 4 Administration of CIHR Grants and Awards Funds](#).

#### 3.1 Nominated Principal Applicant

Certain categories of individuals and organizations are eligible to apply for CIHR grants and awards. Eligible individuals include but are not limited to researchers, knowledge users, scholars, health professionals, undergraduates, graduate students and postdoctoral scholars. Among eligible organizations that CIHR may fund are non-governmental organizations with a research or knowledge translation mandate. Specifics regarding eligible applicants for a given competition will be specified in the funding opportunity.

#### Additional Requirements for Grant Programs Only:

- I. Individuals in the nominated principal applicant role must be affiliated with a Canadian postsecondary institution and/or their affiliated institutions; individuals working with municipal, provincial and territorial governments are also eligible where the research proposed is not already funded by that government sector. In addition, they must have their substantive role in Canada for the duration of the requested grant term.
- II. Appointments/positions that can be renewed prior to the end of the requested grant term are eligible at the discretion of the administering institution.

III. Federal government employees are subject to the [Tri-agency policy on the use of funds for federal government employees applying to granting agency programs.](#)

For more information, refer to the

- [CIHR Guidelines on Determining Eligibility of Nominated Principal Applicant Individuals on Grants.](#)
- [Are you a federal employee applying for Tri-Agency funding?](#)

### **3.2 Principal Applicant (grant programs only)**

The principal applicant role is open to individuals who have the skills, knowledge, and resources necessary to lead the direction of the proposed research/activities. This responsibility is shared equally among all principal applicants on the grant.

Their qualifications for leading the proposed research/activities are subject to peer review evaluation accordingly.

Individuals in the principal applicant role may not be a trainee or be in a subordinate position (i.e. directed or supervised by another), with respect to the subject matter of the proposed research/activities.

### **3.3 Co-Applicant (grant programs only)**

Individuals expected to actively participate in but not direct the proposed grant activities may be named in the role of co-applicant, at the discretion of the nominated principal applicant and other principal applicants. This may include graduate students, post-doctoral fellows, and research associates.

A co-applicant's participation may span the full duration of the grant or may only be required for a portion of the funding period. Such individuals are officially recognized as part of the applicant team and will be named on the funding decision documents.

### **3.4 Collaborator (grant programs only)**

Individuals who provide a specific service to support the proposed grant activities (e.g. access to equipment, provision of specific reagents, training in a specialized technique, statistical analysis, access to a patient population, etc.) may be named in the role of collaborator, at the discretion of the nominated principal applicant and other principal applicants.

A collaborator's participation may span the full duration of the grant or may only be required for a portion of the funding period. Such individuals are not officially recognized as part of the applicant team and, as such, they will not be named on funding decision documents.

### **3.5 Supervisor (training awards only)**

Individuals, who assume the role of mentoring the nominated principal applicant and supervising the proposed research training, may be named in the supervisor role, on the application. When there is more than one supervisor, only one can be designated as the primary supervisor.

Individuals in the supervisor role must hold an independent research appointment with a status that permits the supervision of trainees (Masters, PhD, Postdoc) in an area of investigation related to the proposed research training.

### 3.6 Compensation Eligibility (grant programs only)

As per the [Tri-Agency Guide on Financial Administration](#), any individual, including those participating on the applicant team (e.g., principal applicant, co-applicant), may be compensated from grant funds, provided they do not conduct research independently as part of the terms and conditions of their employment or they are not themselves the recipient of an agency grant (i.e., the Nominated Principal Applicant or equivalent). Consult the relevant funding opportunity for program specific requirements and allowable cost restrictions that may apply.

## Part 4: Administration of CIHR Grants and Awards Funds

The following details the requirements for an institution or organization to administer CIHR grant and award funds on behalf of the nominated principal applicant, as well as the conditions under which CIHR issues funds directly to the nominated principal applicant, in support of upholding accountability for the appropriate stewardship of public funds.

For more information about CIHR's payment practices, refer to the [Guidelines on CIHR Payment Practices for Grants and Awards](#).

### 4.1 Requirements for Institutions or Organizations

It is important to note that eligibility to administer funding is distinct from funding opportunity eligibility. While a nominated principal applicant may satisfy the eligibility requirements for a given funding opportunity, their institution or organization may not necessarily meet institutional eligibility requirements to administer the funds.

In most circumstances, CIHR grants and awards are paid to [CIHR-eligible institutions](#), through a CIHR account, from which the nominated principal applicant draws funds. The requirements for CIHR-eligible institutions are detailed in the [Institutional Eligibility Requirements for the Administration of Grants and Awards](#). A high-level summary is provided below:

- I. be a financially viable Canadian institution/organization;
- II. have a health research or knowledge translation mandate that can be substantiated;
- III. have effective policies, administrative systems, procedures, and controls in place to ensure the funds are used appropriately and that the activities supported are conducted in accordance with the highest ethical and financial standards;

IV. sign the [Agreement on the Administration of Agency Grants and Awards by Research Institutions](#).

Institutions and organizations that cannot fully comply with these requirements are not deemed eligible to administer the funds through a CIHR account, but may still be permitted to administer the funds under special terms and conditions, as determined by CIHR, following an eligibility review.

## **4.2 Institutional Eligibility Review**

CIHR will only release grant and award funds to an institution or organization following an eligibility review, as outlined in the [Institutional Eligibility Requirements for the Administration of Grants and Awards](#).

This may require the institution or organization to sign a one-time administration of funds agreement with CIHR, or through a specific accountability instrument.

## **4.3 Conditions for Direct Payments to Nominated Principal Applicants**

Under limited circumstances, CIHR may consider paying the funds directly to the nominated principal applicant.

# **Part 5: Administrative Management of CIHR Applications**

The following details the general administrative requirements and conditions that enable effective and efficient management of CIHR funding competitions and the equitable treatment of applications.

## **5.1 Relevance to CIHR's Mandate**

An application may not be recommended for funding if CIHR determines the subject matter of the proposal to be more appropriately reviewed by one of the other federal funding agencies (i.e. NSERC or SSHRC). In such cases, the applicant may be required to prepare a new application to the appropriate agency.

CIHR recognizes that some areas of research could be eligible for support by more than one federal granting agency. Such applications will be permitted to continue through CIHR's peer review process.

For more information on the eligibility of subject matter at CIHR, NSERC and SSHRC, refer to the Tri-agency Guidelines on [Selecting the Appropriate Federal Granting Agency](#).

## **5.2 Identical or Essentially Identical Applications**

Unless stated otherwise in the funding opportunity, once an application has been submitted to CIHR, the nominated principal applicant or members of the applicant team, must not submit



identical or essentially identical applications to CIHR, NSERC or SSHRC until after they have been notified of the funding decision for the application.

CIHR will monitor for identical (or essentially identical) applications submitted to CIHR funding opportunities, as well as allegations of non-compliance. Consequences will be determined on a case-by-case basis, which may include the withdrawal of all application submission(s) that are determined to have been submitted after the original application.

In addition, once an application is funded by CIHR, the nominated principal applicant or members of the grant team, must not subsequently submit the identical or essentially identical application to CIHR, NSERC or SSHRC, if the start date of funding, as presented in the funding opportunity, is prior to the end date of the active grant.

For more information, please refer to the [CIHR Guidelines on Identical or Essentially Identical Applications](#).

## **5.3 Multiple Funding Sources**

### **5.3.1 Grant Application Restrictions**

With the exception of Tri-agency funding sources (see section 5.2), CIHR grant recipients may apply for and hold funds from more than one funding source to accomplish the same research objectives, provided any resulting funding overlap (i.e., funding more than 100% of the actual research costs), is appropriately addressed. For example, the CIHR funds can be used to expand the scope of the original research project. However, if any portion of the CIHR grant is no longer required, in light of the additional funding, CIHR must be immediately notified and arrangements made to return the unused funds to the agency.

Depending on the funding opportunity, applicants may be required to justify the funds requested in their CIHR application by disclosing all past, current, and applied for funding relevant to the study, including Tri-agency and other funding sources, for consideration by peer review.

### **5.3.2 Salary Awards Restrictions**

A CIHR salary/Chair award holder is prohibited from holding their award concurrently with:

- I. a CIHR training award (refer to the [Tri-Agency Research Training Award Holder's Guide](#)) and/or;
- II. salary/Chair awards funded by other Canadian federal funding sources.

There are no restrictions on applying for and holding a CIHR salary/Chair award concurrently with grant funds.

### **5.3.3 Training Awards Restrictions**

Unless stated otherwise in the funding opportunity, a CIHR training award holder is prohibited from holding their award concurrently with training awards funded by other Canadian federal funding sources.

There are no restrictions on applying for and holding a CIHR training award concurrently with other training awards from non-federal funding sources.

There are no restrictions on providing a CIHR training award holder with additional stipend support paid from CIHR grant funds.

For more information, refer to the [Tri-Agency Research Training Award Holder's Guide](#).

## **5.4 Application Completeness**

CIHR expects application submissions to contain all required information and documentation, as prescribed in the funding opportunity. The nominated principal applicant is responsible for ensuring that the application is complete prior to its submission to the agency. Requests to amend an application after the submission deadline has passed will only be considered under exceptional circumstances or when explicitly permitted by the funding opportunity.

For more information, please refer to the [CIHR Guidelines on Complete Applications](#).

## **5.5 Extensions to Application Deadlines**

Under certain circumstances CIHR considers requests for an extension to an application deadline on a case-by-case basis. The nominated principal applicant (or role equivalent) must submit a written request to CIHR, providing clear justification for the extension. Competition timelines will be factored into the decision and the rationale for each decision will be formally documented. In instances of systems interruptions, refer to the CIHR policy on [Electronic Systems Service Standards](#).

## **Part 6: Electronic Application Submissions – CIHR Applicant Consent and Institutional Approval**

The following details the applicant consent and institutional approval requirements for applications submitted to CIHR funding opportunities using ResearchNet (CIHR's Application Submission Web Portal).

Applications submitted to CIHR, regardless of the medium (electronic or paper), require applicant consent and institutional approval (if applicable), in order for CIHR to accept the application. The consent and approval requirements for applications submitted using ResearchNet, are dependent on whether the electronic consent/approval functionality are available for the funding opportunity.

For paper-based applications (i.e. applications not required to be submitted through ResearchNet), consent/approval is provided by way of a signature (original or copied), where indicated on the application. Refer to the relevant funding opportunity for consent and approval instructions.

### **6.1 Applicant Consent Requirements**

The nominated principal applicant, principal applicant(s), co-applicant(s) and supervisor(s) must acknowledge/consent to the conditions governing grants and awards and to the use and disclosure of personal and application information, as outlined on ResearchNet, in order to submit the application. This includes consent to the disclosure of personal information in the case of breach of agency policy.

Consent must be provided electronically when indicated on ResearchNet. Otherwise, consent must be provided by way of a signature (original or copied), where indicated on the application.

Refer to the relevant funding opportunity for any specific instructions regarding applicant consent and the submission of applications.

## **6.2 Institutional Approval**

Where applicable, CIHR requires an authorized official who can bind the administering institution to CIHR's conditions, as outlined on ResearchNet, to approve the submission of the application to the funding opportunity.

[CIHR-eligible institutions](#) must provide electronic approval using the ResearchNet e-approval tool, when the functionality is available for the funding opportunity. CIHR assigns access to the ResearchNet e-approval tool to designated representatives at [CIHR-eligible institutions](#) under the terms and conditions of the E-approval Tool User Agreement, which is posted on ResearchNet.

When using the e-approval tool, the institution may define an internal application deadline that is earlier than the application deadline indicated in the funding opportunity. Institutions are responsible for submitting electronically approved applications within 2 business days after the application deadline specified in the funding opportunity. Refer to the funding opportunity for any specific instructions (if applicable).

When the functionality of the ResearchNet e-approval tool is not available for the funding opportunity or when the institution is not a CIHR-eligible institution, institutional approval involves the authorized official providing their signature (original or copied), where indicated on the application. Under such circumstances, the nominated principal applicant is responsible for ensuring the required institutional signatures are appended to the application on ResearchNet and for submitting the application by the deadline specified in the funding opportunity. Refer to the funding opportunity for any specific instructions (if applicable).

## **Part 7: Peer Review Grievances**

The following details CIHR's stance on peer review grievances and informs expectations as to their possible outcomes, with the aim of facilitating their appropriate handling and with reference to those aspects of peer review for which CIHR assumes responsibility.

### **7.1 Statement**

Peer review is the internationally accepted benchmark for ensuring quality and excellence in scientific research. Peer review is also a human process, dependent on a reviewer's self-assessed ability to review and subject to their professional opinions and judgments, which are not always agreeable to applicants. Given that peer review is the accepted method for review of funding applications, CIHR believes that these human elements are intrinsic to the process and not subject to appeal.

## **7.2 Enquiries and Complaints**

Applicants are free to enquire or voice concerns regarding their peer review results. Such information is important in terms of quality assurance, training and communication efforts, as well as in support of continuous peer review process and system improvements. CIHR's further response will be dictated by the nature of the enquiry or complaint.

## **7.3 Procedural Errors**

CIHR will only review a funding decision if there was a procedural error in the peer review process that demonstrably affected the peer review recommendation.

Examples of procedural errors are (including but not limited to):

- I. Incomplete applications sent to peer reviewers due to CIHR processing/system errors; or
- II. Incorrect peer review ratings/rankings due to errors in calculation or data entry.

Overturning a funding decision is only considered for exceptional circumstances.

## **7.4 Non-Reviewable Aspects of Peer Review**

CIHR will not rule on any aspect of the peer review process stemming from a peer reviewer's scientific assessment of an application, the applicants, or the proposed research program. More specifically, CIHR will not review or rule on cases where the various reviewers differ in their assessment of the proposed research, or where the applicants believe that the reviewers have mischaracterized the application or the proposed research, or where applicants believe reviewers did not have appropriate expertise to assess the application.

## **7.5 Responsibilities of CIHR**

CIHR staff will investigate enquiries to determine whether a procedural error took place and had a negative effect on the peer review recommendation. Further actions will be taken on a case-by-case basis, in consultation with CIHR management. CIHR staff will not pursue any grievances related to those matters covered in **Section 7.4**, or further investigate any errors that did not have an effect on the funding recommendation.

## **Appendix A: Definition of Terms**



For definitions of the terms used in this guide, refer to the CIHR [Glossary of Funding Related Terms](#).

## Contact information

For questions regarding this Guide, please contact [support-soutien@cihr-irsc.gc.ca](mailto:support-soutien@cihr-irsc.gc.ca)

# Supporting Guidelines

## CIHR Guidelines on Determining Eligibility of Nominated Principal Applicant Individuals on Grants

### 1. Scope

The following are general guidelines to support the vetting of eligible individuals in the nominated principal applicant role on CIHR grant applications.

These guidelines are intended to be read in conjunction with the CIHR Application Administration Guide, particularly [Part 3: CIHR Applicant Eligibility, section 3.1, Nominated Principal Applicant](#).

### 2. Context

[Part 3: CIHR Applicant Eligibility](#) defines eligibility of the nominated principal applicant in general terms, according to specific types of individuals (i.e. researchers, scholars, and health professionals) with acceptable institutional affiliations (e.g. Canadian post-secondary institutions or affiliates), as a means to ensure the funds will be used appropriately. However, funding opportunities may narrow these eligibility requirements in order to achieve their objectives. In most cases, this means that nominated principal applicants are required to meet the CIHR definition of [independent researcher](#) or [knowledge user](#). In certain cases, eligibility may be restricted even further to specific groups within the independent researcher or knowledge user categories.

### 3. Eligibility Considerations

#### 3.1. CIHR's Independent Researcher Definition

Administering institutions are to consider the following guidance during their vetting process to affirm the eligibility of nominated principal applicants in the context of CIHR's independent researcher definition:

- Traditionally recognized academic positions are sufficient evidence of independence (i.e. professor, associate professor, assistant professor and professor emeritus).
- Individuals who do not hold traditional academic appointments should be asked to substantiate that their research activities are not under the approval, direction or supervision of another individual.
- Adjunct professors may contribute to research and teaching at the administering institution, but the types of activities and level of engagement can vary according to institutional policies and collective agreements. Endorsement of adjunct professors in the nominated principal applicant role should take into consideration the individual's access to the necessary resources, experience and collaborations, in the context of the proposed

research/activities, as these aspects are subject to peer review evaluation. **Note:** Adjunct professors employed by the federal government are not eligible in the nominated principal applicant role.

- Individuals who are paid salary through someone else's research grant (CIHR or otherwise) do not meet the criterion of independence, regardless of any contract they may have signed. Such individuals should not be endorsed in the role of nominated principal applicant.
- Unless the objectives of the funding opportunity specify otherwise, individuals in positions that are contingent on, or will be promoted subsequent to, successfully competing for research funding do not meet the criterion of independence and should not be endorsed in the nominated principal applicant role.
- Individuals who do not meet the criterion of independence at the time of application may still be endorsed in the nominated principal applicant role, provided an official letter from the administering institution is included in the application confirming that the individual's independent appointment/position will commence by the funding start date. Refer to the relevant funding opportunity for possible restrictions.

### 3.2 Interpretation of Substantive Role

A key eligibility criterion to apply for grant funding as a nominated principal applicant is having a substantive role in Canada. As agency funds are an investment by Canadians, the rationale behind this requirement is to ensure the funds remain based in Canada and primarily benefit Canadians without hindering international collaborations and those who conduct their research/activities abroad.

In this context, "substantive role" refers to the applicant's primary place of employment or primary appointment. As such, applicants who hold their primary place of employment/primary appointment outside of Canada are not eligible to apply for CIHR grant funds as a nominated principal applicant, unless otherwise stated in the funding opportunity.

Note that CIHR is not prescriptive regarding the duration of time that a nominated principal applicant must physically reside in Canada, as this falls under the purview of applicable policies of the administering institution, employment terms and conditions, and/or collective agreements.

## CIHR Guidelines on Identical or Essentially Identical Applications

### Scope

The following interpretation guidelines aim to facilitate understanding of CIHR's general practices for managing and monitoring identical or essentially identical applications. These guidelines are intended to be read in conjunction with the [Policy on Identical or Essentially Identical Applications](#) (Section 5.2 of the CIHR Application Administration Guide).

### Compliance

The following compliance requirements are based on the principles that CIHR must manage public funds effectively, such that funding is not duplicated for the same research objectives, and that fairness is achieved towards those applicants who compete for funding in observance of CIHR's policies.

- Once an application has been submitted to CIHR, the nominated principal applicant and/or members of the applicant team must wait for the notification on the funding decision before submitting the identical or essentially identical application to CIHR, NSERC or SSHRC.
- Once an application is funded by CIHR, the nominated principal applicant and/or members of the applicant team must not subsequently submit the identical or essentially identical application to CIHR, NSERC or SSHRC, if the start date of funding, as stated in the funding opportunity, is prior to the end date of the active grant.
- Duplicate applications are only permitted when the nature / objectives of the funding opportunities are considered distinct from one another (e.g., salary award versus research grant).
- Proposals that fall within the same research area, but are primarily focused on distinctly different studies are generally considered distinct under the policy. For example, two proposals investigating disease X but studying different treatments, different target populations and/or proposing different methods or models.

### Consequences of Non-compliance

The determination of non-compliance is at the discretion of CIHR.

Confirmed cases of non-compliance may be reported to the Secretariat on the Responsible Conduct of Research, as a breach of the Tri-agency Framework: Responsible Conduct of Research, under [article 3.1 Breaches of Agency Policies](#).

Consequences will be determined on a case-by-case basis. This may involve the withdrawal of all applications determined to be identical or essentially identical to the first submission or cancellation of duplicate funding.



## **CIHR Guidelines on Complete Applications**

### **1. Scope**

The following guidelines aim to facilitate understanding of CIHR's general practices regarding complete applications. These guidelines are intended to be read in conjunction with the CIHR Application Administration Guide, particularly [Part 5: Administrative Management of CIHR Applications, Section 5.4 Application Completeness](#).

For additional information, consult the [General Application Process Overview](#) and the [Complete Applications - FAQ](#).

### **2. General Practices and Considerations**

CIHR runs many competitions and receives thousands of application submissions per year. Delays caused by follow-up and processing of incomplete application submissions put undue strain on competition timelines, including the peer review process and the reporting of funding decisions. Therefore, when an application is determined to be incomplete with respect to the required documentation, CIHR will notify the nominated principal applicant and provide a specific deadline to redress, after which the application may be withdrawn from the competition. However, when CIHR deems an application to be ineligible with respect to the stated eligibility conditions, the application may be withdrawn without prior notice to the applicant and no opportunity to redress. These decisions are determined on a case-by-case basis and CIHR will notify the nominated principal applicant after withdrawal, as appropriate.

Many CIHR funding opportunities have identical application requirements, but in certain cases additional materials are required or conditions must be met. Refer carefully to the "How to Apply" section of a given funding opportunity and seek clarification from CIHR immediately if any aspects are unclear.

#### **2.1 Amendment Requests**

Requests to make application amendments after the competition deadline are only permitted under exceptional circumstances or when explicitly permitted by the funding opportunity.

#### **2.2 Missing Signatures**

Despite the general practices outlined above, CIHR has a legal obligation to follow up with the nominated principal applicant regarding any missing signatures from individuals/participants identified on the application (principal applicants, co-applicants, etc.) or authorized officials of the administering institution. Note that hand-written signatures (original or copied) are only required when the functionality of electronic consent is not available for the funding opportunity or is otherwise not applicable to the applicant role or administering institution.

## Guidelines on CIHR Payment Practices for Grants and Awards

### 1. Scope

The following are general guidelines that aim to facilitate understanding of how CIHR issues grants and awards payments, as well as the types of application issues that can potentially delay the initiation of payments. These guidelines are intended to be read in conjunction with the CIHR Application Administration Guide, specifically [Part 4: Administration of CIHR Grants and Awards Funds](#).

### 2. General Practices and Considerations

#### 2.1 CIHR-eligible Institutions

CIHR-eligible institutions receive grants and awards payments through a CIHR common account. Funds are typically issued in installments following an established payment schedule or as determined appropriate by CIHR. The institution then disburses the funds to the grant/award holder, based on the institution's policies and processes.

#### 2.2 Direct Payments

CIHR funds may be paid directly to the nominated principal applicant, when CIHR has determine the circumstances to be an acceptable financial risk. Such circumstances may include but are not limited to the following:

- CIHR training awards that are held outside of Canada. For more information, refer to the [Tri-Agency Research Training Award Holder's Guide](#).
- CIHR grants issued to organizations in the role of the nominated principal applicant, following an assessment of institutional eligibility, as outlined in [Part 4, section 4.2 Institutional Eligibility Review](#).

Before issuing direct payments to nominated principal applicants, CIHR requires confirmation of the financial arrangements, including bank account and direct deposit information. Other documentation or information may be requested on a case-by-case basis.

#### 2.3 Applications with Pending Status

Following a competition, some successful applications may be given a status of “pending”. This means that CIHR staff or the peer review process has raised specific application issues that will need to be addressed or resolved before CIHR can initiate the payments. CIHR will notify the nominated principal applicant of such issues by way of a conditional letter of offer. When action is required on the part of the nominated principal applicant, CIHR may impose a deadline to resolve the issue, after which the offer could be rescinded.

The following are some examples of application issues that result in a pending status and may delay the initiation of payments. This list is not exhaustive.

### **i. Eligibility Issues for Clarification**

Applicant eligibility issues raised at peer review require follow-up and resolution by the nominated principal applicant, as determined appropriate by CIHR. The period of time in which the eligibility issue(s) must be resolved is determined on a case-by case basis and communicated in a conditional letter of offer.

### **ii. Overdue Final Report (grants only)**

If the nominated principal applicant (or role equivalent) has an Electronic Final Report that is overdue on a previously funded grant, their newly successful application will be given a pending status. The period of time in which the overdue report must be resolved is determined on a case-by case basis and communicated, in a conditional letter of offer. (Refer to the [Policy Statement: Electronic Final Reports](#)).

### **iii. Research Involving Human Pluripotent Stem Cells**

CIHR's Stem Cell Oversight Committee (SCOC) must review projects involving human pluripotent stem cells before funds can be released in order to ensure that the research is compliant with the [Tri-Council Policy Statement: Ethical Conduct of Research Involving Humans \(TCPS-2\) \(chapter 12, section f\)](#). This type of issue does not require a follow-up response and/or documentation from the applicant.

### **iv. Environmental Impact Assessment**

CIHR is required to determine the potential for an adverse environmental effect for any projects carried out, in whole or in part, on federal lands or outside of Canada, as defined in the [Canadian Environmental Assessment Act \(2012\) \[ PDF \(625 KB\) - external link \]](#) and conducts environmental pre-screenings, as required, using the information provided in the application. Applicants will be contacted by CIHR should additional information be required to complete the assessment.

### **v. Allegations of Breaches of Tri-agency Policies**

As per the [Tri-Agency Framework on the Responsible Conduct of Research](#), concerns raised at peer review regarding the integrity of an application (e.g., the data or content) may be referred to the Secretariat on Responsible Conduct of Research for further follow-up, as appropriate.

## **CIHR Guidelines on Communication of Funding Competition Results**

### **1. Scope**

The following guidelines aim to facilitate understanding of CIHR's general practices regarding the communication of funding opportunity competition results. These guidelines are intended to be read in conjunction with the requirements in the [CIHR Application Administration Guide](#).

### **2. General Practices and Considerations**

CIHR notifies the nominated principal applicant of the outcome of their application and provides them with copies of all available assessments, under the strictest of confidence. The nominated principal applicant is responsible for notifying other participants of the competition results.

CIHR notifies the administering institutions via their designated research and business officials, of the outcome of all applications that the institution approved for submission to the agency.

CIHR competition results are not embargoed for public dissemination, unless specified otherwise in the decision documents.

Once the nominated principal applicants and administering institutions have been notified of the funding decision for their application, limited information about the successful applications are published on the CIHR website (e.g. the name of the applicants, administering institution, amount awarded, project title, partner contribution (if applicable) and the funding term).

For CIHR award programs only, successful applicants will be informed of a specified period to accept or decline an award, as determined by the funding opportunity.

Once CIHR has issued the official authorization to release the funds, the details of the grant/award are then displayed in various funded research databases. For more information, refer to [CIHR Funding Decisions](#).