

THE CANADIAN MS PROGRESSION COHORT'S GRANT TERMS, CONDITIONS AND POLICIES

These policies are subject to change. The grant recipient and the institution will be notified six (6) weeks prior to any changes to the grant terms, conditions and policies.

1. TERMS AND CONDITIONS

1.1 Conditions of Grant: The grant recipient will be advised of the duration and amount of the grant awarded. A fully executed agreement must be returned to the MSSC in order for the funds to be released. Payment of the grant will be remitted as outlined in the agreement and will be dependent on meeting the agreed milestones and submitting research progress reports. In the event of any discrepancy or inconsistency between the Canadian MS progression cohort's grant terms, conditions and policies and the agreement, the terms and conditions of the agreement will prevail.

1.2 Additional Funding: The funders will provide opportunities to apply to or to grow/expand/extend the research project, which will depend on additional funding becoming available.

1.3 Modifications when holding a grant:

1.3.1 Transfer of the Grant: If the grant recipient relocates to a different institution, the funders retain the right to transfer funds for the grant to the new institution, provided the following:

- That the new institution is Canadian
- Receipt of a written request from the grant recipient
- Receipt of a letter of acknowledgment signed by the new institution
- Receipt of written approval from the new institution's Institutional Review Board and/or the Animal Care and Use Committee prior to initiation of payment for research involving human subjects and/or animals
- Receipt of an acceptable report of expenditures from the institution
- The Institution returns all unexpended funds to the Funders before a final transfer can be made

The transfer request for the grant must be received and processed by the funders at least ninety (90) days prior to the anticipated date of transfer to avoid interruption of financial support.

1.3.2 Change of Grant Recipient: Generally, a grant is terminated when the grant recipient becomes unable to continue supervision of the research. In this instance, the institution may request that project be continued under the responsibility of a new grant recipient until the grant can be terminated appropriately. Such changes cannot be effected without prior approval in writing by the funders within thirty (30) days.

1.3.3 Termination of Grant: The grant may be terminated before the end of the term: (1) if the grant recipient requests, in writing, that the grant be terminated; (2) if the grant recipient is unable to carry out the research at the institution; (3) if the institution requests in writing that the grant be terminated because of the grant recipient's termination of his/her academic appointment; (4) if the grant recipient fails to notify the funders of any change in his/her affiliation with the department or Institution on record at the time the grant was made; (5) if the grant recipient changes any aspect of the grant from that which was originally approved by the funders, including significant changes in the specific aims of the research project, without prior notification and approval by the Funders; (6) when annual progress

reports are not received from the grant recipient at the designated due date; (7) if the grant recipient is found by an institutional investigation to have committed scientific misconduct or fraud; or (8) by action of the Board of Directors of the any funder.

2. REPORTING AND ACCOUNTABILITY

2.1 Financial Accountability

2.1.1 Annual Financial Report: The institution on the behalf of the grant recipient is required to provide an annual financial report no later than thirty (30) days after each anniversary of the Research Project start date, including the following:

- Financial statement: signed by a financial administrator at the Institution and including a list of expenditures for the reporting period as per the categories of expense in the approved Research Project budget.

A financial reporting template will be provided.

2.1.2 Final Financial Report: A complete account of all expenses incurred during the funding Term is due within ninety (90) days of the termination of the grant. Unexpended funds remaining as of the termination of the agreement or the end of the term must be returned to the Funders within three (3) months following the termination of the agreement or the end of the funding term. A financial reporting template will be provided. The final financial statement will need to be signed by a financial administrator at the institution and should include a list of expenditures for the reporting period as per the categories of expense in the approved research project budget.

2.1.3 No Cost Extension: An extension of the term, without additional funds, may be requested with adequate justification and granting of such request shall not be unreasonably withheld by the funders. Extension of the term will be for either six (6) or twelve (12) months and may only be requested once during the term. A request for a no cost extension must be provided by the grant recipient on institutional letterhead and include: (i) the amount of money to be carried into the extension period; (ii) a statement as to why the remaining funds have not been expended; and (iii) a statement of how the funds will be expended during the extension. A request for an extension must be made at least ninety (90) days before the end of the term. A No Cost Extension request template will be provided.

2.2 Progress Report

2.2.1 Annual Progress Report: A report of progress is due within thirty (30) days from the anniversary of the grant of each year of the grant. The Progress Report must follow the template provided in advance by the MSSC, and include a written description of progress made in the past year with reference to the scientific questions and aims proposed in the original application. Compliance with this term is a condition precedent to continued funding of the research project is preferable for ongoing funding of the research project. A reporting template will be provided.

2.2.2 Final Progress Report: A final report of progress is due within thirty (30) days of (i) the end of the term; or (ii) termination of the agreement, whichever occurs first. The Final Report must follow the template provided in advance by the MSSC, and include documentation of all milestones achieved

during the term of the research project with reference to the scientific questions and aims proposed in the application. A reporting template will be provided.

2.2.3 Milestone Reporting: The grant recipient agrees to the milestones listed in the agreement. The research progress which will be assessed based on the achievement of milestones and deliverable and will be presented by the grant recipient and the collaborators to the MSSC via scheduled teleconferences to assess progress. The grant recipient must notify the MSSC immediately of any significant delays or changes to the budget or milestones with regards to the research project. Non-compliance with this term and/or failure to meet the milestones will result in the delayed release of funds, amendment or termination of the agreement or any of the sub-grant agreements with the collaborator's Institutions, and the MSSC shall have no further obligation to provide funds pursuant to this agreement or the sub-grant agreements.

2.2.4 Milestone Check-in: The grant recipient and the collaborators will participate in teleconferences with staff from the MSSC to provide an update on progress and adherence to the milestones. The teleconferences will be scheduled in co-ordination with the grant recipient and the collaborators on a quarterly basis at mutually agreeable times. Non-compliance with this term shall entitle the Funders to terminate this agreement and the grant, and the funders shall have no further obligation to provide any funds pursuant to this agreement.

3 POLICIES

3.1 Publications: Interim research findings are expected to be available to the steering committee prior to publication. Any materials discussing the research supported by the grant (e.g., publications, scientific exhibits, scientific presentations, press releases, etc.) must acknowledge the Funders using the acknowledgment as provided in the agreement.

The following acknowledgment or its equivalent should be used: **“This investigation was supported (in part) by a grant(s) from the Multiple Sclerosis Society of Canada, Brain Canada Foundation through the Canada Brain Research Fund with the financial support of Health Canada, and Biogen Canada Inc.”**

The following disclaimer shall appear on any publication, presentation or other document: “The views expressed herein do not necessarily represent the views of the Minister of Health or the Government of Canada”.

3.2 Knowledge Translation: A portion of the funds from the grant must be dedicated to public outreach and knowledge translation activities, including:

- Conference presentations
- Educational seminars for people living with MS, caregivers
- Engaging and sharing information with stakeholders, policy makers, health care professionals
- Training events and workshops
- Webinars, Scientific café events

3.5 Research Outputs: The Funders have adopted the definition of “research outputs” from the Canadian Institutes of Health Research (CIHR) as “conceptual or practical knowledge, data, information, and physical or biological materials developed during the course of a research project that are integral

for building on research discoveries.” Collaborations should be explored to facilitate co-mingling of research outputs for the broader research community. See Appendix A.

3.6 Journal Publication: As previously noted, the grant recipient is required to make every effort to ensure that their peer-reviewed publications are freely accessible through an online repository as soon as possible and in any event within six (6) months of publication.

- This may be done by publishing research findings:
- to a non-subscription based journal;
- to a subscription based journal where the authors may also self-archive peer reviewed papers in an online repository; or
- through a “Hybrid” journal that also has open access publishing options (see Appendix “A” for examples of journals and research outputs)

3.7 Research Involving Human Subjects or Animals: The Funders will not support research involving human subjects without proper approval of the specific research proposed from the Institution’s REB. This approval must be signed by the Chairperson of the REB. The funders believe that there is evidence of important benefits to people with MS through stem cell research. Accordingly, it will consider funding research on all types of human cells if that research follows federal government legislation. For research involving animals, approval from the institution’s animal use and care committee must be approved prior to the release of any funds from the Funders. This approval must be signed by the Chairperson of the committee.

3.8 Equal Opportunity Regulations: The funders adhere to a policy of equal opportunity in employment and requires that all Canadian institutions to which its research or training awards are made adhere to federally mandated equal opportunity policies; institutions outside of Canada must adhere to locally applicable equal opportunity policies.

3.9 Research Data: The MSSC requires the grant recipient to deposit bioinformatics, atomic, and molecular coordinate data into an appropriate public database immediately upon publication of research results (see Appendix “A” for examples of journals and research outputs). The grant recipient is required to retain original data sets arising from the funded research for a minimum of six (6) years after the end of the Term with the Funders. This applies to all data, whether published or not.

3.10 Consents: In order for the Funders to achieve the Open Access goals of this document, the grant recipient required to use their best efforts to acquire the appropriate level of consent from individual participants involved in any research funded, whether in whole or in part, by the Funders.

All consents acquired by the grant recipient must be done in accordance with all applicable laws including, without limitation, all applicable privacy and health information laws, government regulations and Health Canada guidelines, including but not limited to the ICH Harmonised Tripartite Good Clinical Practice Consolidated Guideline, the Declaration of Helsinki, the 2nd edition of the Tri-Council Policy Statement, “Ethical Conduct for Research Involving Humans” and in accordance with generally accepted clinical practices.

3.11 Resource Sharing: The grant recipient who receives funds from the Funders are expected to share research resources developed with the support of the funders with other qualified investigators working

on multiple sclerosis. Examples of such resources include (but are not limited to) cell lines and clones, antibodies, and nucleotide and protein sequences.

3.12 Policy on Scientific Misconduct and Fraud: Any institution that receives funds from Funders must have written policy guidelines on conflict of interest and scientific misconduct and fraud. It is the responsibility of the institution and the grant recipient to inform the Funders immediately, in writing, of any institutional investigation into the conduct of an investigator whose work is supported by the Funders, and to keep the Funders informed in a timely manner of the progress and outcome of such investigation. A finding by the institutional investigation that the grant recipient was guilty of research fraud or misconduct is sufficient grounds to terminate the support of the research project, and may jeopardize future support for the grant recipient from the Funders.

3.13 Monitoring and Adherence: In accepting any grant from the Funders, the grant recipient accepts the terms and conditions of the grant, which include the Open Access Requirements of this Policies. In the event of any breach or non-compliance with this, the Funders may take steps to investigate the allegation, which may result in termination of funding, grants or awards at the sole discretion of the Funders.

3.14 Obligations under Law: These Policies should be read in conjunction with all applicable laws including, without limitation, all applicable privacy and health information laws, government regulations and guidelines.

4. GENERAL CATEGORIES OF EXPENDITURES

The grant recipient may request funds for the following categories of expenditure: salaries for professional and non-professional personnel, patient costs and permanent equipment.

Allowable expenditures for the research project are indicated in the proposal budget developed by the grant recipient and the collaborators.

4.1 Indirect Costs: It is the policy of the funders that funds cannot be used for indirect costs or overhead costs (defined as costs associated with Institution's ongoing operating expenses such as facilities and basic utilities, the purchase and repair of office equipment, insurance, etc.) in respect to the conduct of research (defined as costs associated with institution's ongoing operating expenses such as facilities and basic utilities, the purchase and repair of office equipment, administration fees, property, environmental assessment and safety compliance, eating, lighting, ethics reviews etc.). These costs are not specific to individual research projects or programs and are therefore considered fundamental support services for the operation of the institution and its research facilities. As a member of the Health Charities Coalition of Canada, the MSSC believes that indirect costs are the responsibility of the institutions or the governments that support those institutions. Outstanding research results are the basis of sustained donor support, charitable donations will be applied directly toward research and not to university/government indirect costs.

4.2 Personnel: All personnel paid from grant funds shall be in accordance with the prevailing policies of the Institution. However, budgets for multi-year studies cannot include cost-of-living or similar salary increases for personnel working on the research project. Requested salaries are not to be used to replace salaries or portions of salaries already assured by Institution or other funds. Grant funds may not

be used for purchasing, accounting, financial record keeping, laundry or student and tuition costs. All personnel must be funded within a Canadian institution.

4.3 Professional Support: The MSSC will not pay salaries of the grant recipient, co-applicants, collaborators and faculty members. The grant recipient is not considered an employee of the MSSC. The grant is to be administered in accordance with the prevailing policies of the Institution, including policies regarding statutory deductions, vacations, sick leaves, holidays, etc.

4.4 Technical and Non-professional support: Salaries for technical and non-professional personnel may be requested in proportion to the time they will spend on the research directly supported by the grant. All technical and non-professional personnel must be funded within a Canadian institution.

4.5 Equipment and Supplies: Scientific equipment may be purchased with grant funds; however, the cost of installing equipment purchased with funds of the grant is not allowed unless such funds were requested in the application and specifically approved in the budget of the grant.

Office equipment, personal computers, office supplies, books and journals may not be purchased with grant funds unless included in the application and specifically approved in the budget of the grant.

Consumable supplies including any type of laboratory supplies, including purchase, breeding, and maintenance of experimental animals may be purchased with Grant funds.

4.6 Technological Tools and Databases: Expenses for the innovative technological tools that will be utilized in the course of the Research Project may be included in the budget.

4.7 Travel: Expenses for domestic or foreign travel related to the successful performance of the Research Project may be charged to a grant only when included in the application and within the amount specifically approved in the grant. Travel expenses whenever charged to grant funds shall be in accordance with the Institution's policies and procedures. Expenses related to meeting of the pillars and with Scientific Advisory Board may be included in the budget.

4.8 Storage: Expenses related to the storage of the samples and documentation (up to ten (10) years) may be included in the budget.

4.9 Publication Costs: Funding received through the Funders may also be used by the grant recipient to pay expenses incurred in the publication of the funded research.

4.10 Other: Any other expenditure directly related to the cost of conducting the research project may be requested in the application for a grant but must be properly justified. Construction or renovation costs are not permissible expenditures under any circumstances.

APPENDIX A

Examples of research outputs and corresponding publicly accessible archive, repository or database*	
<u>Research data</u>	<u>Public database or archive</u>
Peer-reviewed journal publications: Publicly accessible archive or repository PubMed Central Canada Institutional Repositories at Canadian universities Directory of Open Access Repositories (international)	
Nucleic acid sequences	GenBank
Gene expression data	Gene Expression Omnibus
Structure data	Research Collaboratory for Structural Bioinformatics (RCSB) Protein Data Bank
Single nucleotide polymorphisms (SNPs)	The Single Nucleotide Polymorphisms Database
Molecular interaction data	International Molecular Exchange Consortium (IMEx) partners
DNA and clinical data related to the human major histocompatibility complex (MHC).	dbMHC
Data underlying scientific and medical publications	Dryad Repository
Proteomics data (Deposition of proteomics data)	<ul style="list-style-type: none">• PRoteomics IDentifications database (PRIDE) [European Bioinformatics Institute (EBI)]• PeptideAtlas [Institute for Systems Biology (ISB)]• Global Proteomics Machine (GPM)