



MULTIPLE SCLEROSIS SOCIETY OF CANADA

OPERATING GRANT POLICIES

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1. TERMS AND CONDITIONS

1.1. CONDITIONS OF THE OPERATING GRANT

Notification: The Principal Investigator will be advised of the term and amount of the grant awarded. A fully executed letter of agreement must be returned to the MSSC in order for the funds to be released. Payment of the grant will be remitted as stated in the letter of agreement and Accounting Procedures. Payment of subsequent quarters is dependent on (a) receipt, review, and approval by the MSSC of the semi-annual financial reports, (b) receipt, review and approval by the MSSC of annual research progress reports, and (c), for research involving human and/or animal subjects, receipt of certificate demonstrating approval of the specific research proposed from the grantee institution's Human Institutional Review Board and/or the Animal Care and Use Committee for each year of the grant.

Renewals: Grants are not renewed automatically. Support beyond the term originally approved is dependent upon submission and approval of a renewal application for a new grant. Renewal applications will be assessed according to the Review Criteria for a new application. Principal investigators may only submit one new operating grant application and one renewal operating grant per competition and can hold a maximum of two operating grants from the MSSC at one time.

Resubmissions: All applications that were unsuccessful in their previous submission to the MSSC grants and awards competition, new or renewal, are considered resubmissions. Resubmitting an application is permitted under MSSC competition rules. Resubmission applications will be assessed according to the Review Criteria for a new application. Resubmission applications must include a "Response to previous review" and should demonstrate substantive modification to the proposal addressing the reviewers' comments. A grant application can only be submitted three times (1 submission and 2 resubmissions).

Change of Principal Investigator: In most cases, a grant terminates when the Principal Investigator becomes unable to continue supervision of the research. However, within thirty (30) days after such an occurrence, the Institution may request that the grant be continued with the responsibility transferred to a new Principal Investigator until the grant can be terminated appropriately or until a new and complete application can be submitted by the new Principal Investigator. Such changes cannot be effected without prior approval in writing by the MSSC.

Termination of Operating Research Grant: A research grant may be terminated before the end of the project: (1) if the Principal Investigator requests, in writing, that the grant be terminated; (2) if the Principal Investigator is unable to carry out the research at the original Institution; (3) if the sponsoring institution requests in writing that the grant be terminated because of the awardee's termination of his/her academic appointment; (4) if the Principal Investigator fails to notify the MSSC of any change in his/her affiliation with the department

or institution on record at the time the grant was made; (5) if the Principal Investigator changes any aspect of the grant from that which was originally approved by the MSSC, including significant changes in the specific aims of the research studies, without prior notification and approval by the MSSC; (6) when annual reports of progress are not received from the Principal Investigator by March 1 of every year of each grant's anniversary year; (7) for research involving human or animal subjects, failure to submit copy of proper approval of the specific research proposed from the grantee organization's Institutional Review Board and/or the Animal Care and Use Committee for each year of the grant; (8) if the Principal Investigator is found by an institutional investigation to have committed scientific misconduct or fraud; or (9) by action of the Board of Directors of the MSSC.

No Cost Extension of Operating Research Grant: An extension of the term of a grant without additional funds may be approved when requested and justified in writing. Extensions of term will be for either 6 or 12 months and may only be requested once for any given grant. A request for an extension must be made on institutional letterhead and must include: (1) the amount of money to be carried into the extension period; (2) a statement of why the funds were not used in the original grant period; (3) a statement of how the funds will be used during the extension; (4) an official up-to-date financial report. A request for an extension must be made at least ninety (90) days before the termination date of a grant.

Transfer of an Operating Research Grant: The MSSC retains the right to transfer a grant from one institution to another (only if the institution is Canadian), along with the transfer of the Principal Investigator, upon the Principal Investigator's written request. For the approval of such a transfer, the MSSC requires a letter of acknowledgment signed by the new Institution. For research involving human subjects and/or animals, written approval from the new Institution's Institutional Review Board and/or the Animal Care and Use Committee must be received prior to initiation of payment. In addition, the original institution must submit an acceptable report of expenditures and return all unexpended funds to the MSSC before a final transfer can be made. No interruption of financial support should be involved if the request to transfer the grant is received by the MSSC at least ninety (90) days prior to the anticipated date of transfer and the financial report is submitted from the old institution prior to the transfer date.

1.2. GENERAL CATEGORIES OF EXPENDITURES

Eligible Categories: Investigators may request funds for the following categories of expenditure: salaries for professional and non-professional personnel, patient costs, permanent equipment (\$5,000 or less), consumable supplies and travel (\$2,500 or less/year).

Indirect Costs: Funds cannot be used or requested for indirect costs or overhead costs 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.

Personnel: All personnel paid from grant funds shall be in accordance with the prevailing policies of the grantee institution. However, budgets for multi-year studies cannot include cost-of-living or similar salary increases for personnel working on the project. Requested salaries are not to be used to replace salaries or portions of salaries already assured by institutional or other funds. Grant funds may not be used for purchasing, accounting, financial record keeping, laundry or student and tuition costs. Postdoctoral, doctoral and master student stipends are not permitted and must apply in the MSSC competition. All personnel must be funded within a Canadian institution.

Professional Support: The MSSC will not pay salaries of the Principal Investigators, Co-Principal Investigators, Collaborators and Faculty members. Investigators are not considered employees of the MSSC but rather of the institution where the research is conducted. The research grant is to be administered in accordance with the prevailing policies of the sponsoring institution, including policies regarding statutory deductions, vacations, sick leaves, holidays, etc.

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.

Equipment and Supplies: The MSSC allows a maximum request of \$5,000.00 per grant for scientific equipment. 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 awarded.

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 awarded.

Consumable supplies may include any type of laboratory supplies, including purchase and maintenance of experimental animals.

Travel: Expenses for domestic or foreign travel related to the successful performance of the research may be charged to a grant only when included in the application and within the amount specifically approved in the grant (\$2,500 or less/year. Travel expenses whenever charged to grant funds shall be in accordance with grantee institutional policies and procedures.

Other: Any other expenditure directly related to the cost of conducting the proposed research 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.

Reallocation of Funds: Transfers between and among categories of the budget approved in the grant may be made as follows: (1) transfers between personnel and consumable supplies categories may be made at the discretion of the grantee institution, but (2) no transfers may be made without prior approval in writing by the MSSC for equipment, travel, or other items not specifically identified in the approved budget. Unless prior written approval has been obtained from the MSSC, expenditures are likely to be disallowed for items not specifically included in the budget of the grant awarded.

2. REPORTING AND ACCOUNTABILITY

2.1. FINANCIAL ACCOUNTABILITY

Semi-Annual Financial Reports: The MSSC will release the Funds in quarterly instalments, with the first and second quarterly instalments of the Funds to the Institution. In order for the MSSC to release future Funds, the Grant Recipient and the Institution must submit a financial report indicating that 75% or more of the Funds released to date have been expended. If so, the next two quarterly instalments of Funds will be authorized and released. The semi-annual financial reports are to be submitted 2 weeks after the end of every six (6) month cycle. Financial statements that do not demonstrate that 75% or more of the funds, including but not limited to 75% or more of the instalment of Funds most recently released to Institution, have been spent will result in the MSSC withholding payment of additional Funds until such released Funds have been shown to be expended. Future quarterly payments will continue to be contingent upon receiving confirmation that at least 75% of Funds previously provided, including but not limited to 75% or more of the instalment of Funds most recently released to Grant Recipient, have been spent. If it is determined that the Funds are not expended or properly expended, the MSSC has the right to withhold Funds until further notice or terminate this Agreement with no further obligation to provide Funds. Financial Report Form will be provided.

Final Financial Reports: A full account of all expenses incurred over the entire lifecycle of a research project is due within thirty (30) days of the termination of the grant. Unexpended funds remaining as of the termination date of the grant must be returned to the MSSC, if renewal support is not awarded. If renewal support is awarded, please see Unspent Funds. Grantees agree to return to the MSSC remaining funds within six months following the termination date. Final Financial Report Form will be provided.

The MSSC may from time to time, at its sole discretion and expense, retain the services of professional auditors to conduct an audit to review the propriety of reported financial expenditures in the context of a particular grant.

Unspent Funds: Budgets in applications for grants are estimates of the funds required to perform the research indicated. Un-expended funds may be carried over to the next year of the approved funding term.

If a renewal grant is approved for support, remaining funds from the previous grant may be carried over to the renewal grant; however, the carryover of funds must be approved by the MSSC following review of the Final Financial Report. The Final Financial Report must be submitted within thirty (30) days of the funding term or the MSSC may withhold future payments on the renewal grant. The MSSC reserves the right to not allow carry-over of the funds from the previous grant if the residual funds are determined by the MSSC to be excessive.

Unexpended funds remaining at the termination of the grant must be returned to the MSSC within three (3) months if renewal support is not awarded.

2.2. REPORTING SCIENTIFIC PROGRESS

Annual Research Progress Report: An annual research progress report is due March 31st of every year unless otherwise directed by the MSSC. The report requires a written description of research progress, referring to the hypothesis and aims proposed in the original application. Compliance with this policy is necessary for ongoing funding of the grant. A template for the annual research progress report will be provided.

Final Research Report: A final report is due within ninety (90) days of the termination of your grant, unless renewal support is awarded. If renewal support is awarded, the final research report will be required within ninety (90) days of the termination of the renewal grant. This report must include documentation of all milestones achieved during the funding cycle, with reference to the initial hypothesis and aims of the research project. A template for the final research report will be provided.

2.3. PUBLICATIONS AND COMMUNICATION

Publications: The MSSC expects that the results of research will be published in appropriate journals. The responsibility for publications lies with the Principal Investigator. The results of any work supported by a grant from the MSSC must be acknowledged in all dissemination materials (e.g., publications, scientific exhibits, scientific presentations, press releases, etc.) 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.”** As soon as a manuscript is accepted for publication, it is expected that the grantee will inform the MSSC’s Research Department (msresearchgrants@mssociety.ca) with the name of the journal, title of article and expected date of publication. Failure to do so may result in suspension of the subsequent payments.

Media and Communications: The MSSC expects that if a grantee's host Institution and/or publisher is preparing a press release or other media announcement related to an MSSC funded grant, the institution and/or publisher and the researcher shall contact and inform the MSSC's Research Department in advance (msresearchgrants@mssociety.ca). Any media or other public-facing content that highlights research funded by the MSSC must be reviewed by the MSSC to ensure accuracy and appropriate acknowledgement. Failure to notify the MSSC of such communications may result in suspension of subsequent payments.

Knowledge Translation: To help increase stakeholder awareness of the research funded by the MSSC, the grantees may expect the MSSC to call upon them during the term of the grant to summarize research related activities to a lay audience or the media. It is also expected that the grantee participates in public events that help raise awareness of the MSSC's research program and impact of MSSC funded research. Failure to do so may result in suspension of subsequent payments.

3. GENERAL PROVISIONS

3.1. RESEARCH INVOLVING HUMAN SUBJECTS OR ANIMALS

The MSSC does not support research involving human subjects without proper approval of the specific research proposed from the grantee institution's Human Institutional Review Board. Such approval must be granted prior to the release of any funds from the MSSC. This approval must be signed by the Chairperson of the Committee.

The MSSC believes 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 and Canadian Institutes of Health Research (CIHR) guidelines.

For research involving animals, approval from the grantee's institutional Animal Use and Care Committee must be granted prior to the release of any funds from the MSSC. This approval must be signed by the Chairperson of the Committee.

MSSC requires grantees whose research involves human or animal subjects to submit a copy of an up-to-date ethics approval certificate for each year of the grant or award.

3.2. INDEMNIFICATION POLICY

The MSSC is not responsible for any claim, judgment, award, damages, settlement,

negligence or malpractice arising from the research project or investigation related to this grant. The Grantee and Institution acknowledge responsibility for the conduct of research or investigation related to this grant, and release of the MSSC from all claims or liability that may arise from the conduct of research or investigation related to this grant or award resulting from any act or omission on the part of the Grantee and Institution, their employees, agents or representatives to the extent allowed by applicable law.

3.3. EQUAL OPPORTUNITY REGULATIONS

The MSSC adheres 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 or provincially mandated equal opportunity policies. Institutions outside of Canada must adhere to locally applicable equal opportunity policies.

3.4. AVAILABILITY OF RESOURCES

Investigators who receive funds from the MSSC are expected to share research resources developed with the MSSC's support 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.

3.5. POLICY ON SCIENTIFIC MISCONDUCT AND FRAUD

Any institution that receives funds from the MSSC must have written policy guidelines on conflict of interest and scientific misconduct and fraud. It is the responsibility of the Institution and the Grantee/Awardee to inform the MSSC immediately, in writing, of any institutional investigation into the conduct of an Investigator whose work is supported by the MSSC, and to keep the MSSC informed in a timely manner of the progress and outcome of such investigation. A finding by the institutional investigation that the Investigator was guilty of research fraud or misconduct is sufficient grounds to terminate MSSC support of a project, and may jeopardize future support for the Investigator from the MSSC.

3.6. OPEN ACCESS TO RESEARCH OUTPUTS

The MSSC is strongly committed to enhancing the application of research results. This section on Open Access to Research Outputs' ("Open Access") has been adopted with the expectation that all research funded by the MSSC will be made freely accessible and useable for others in the international and national research community. The objective of Open Access is to enhance access to and disclosure of all MSSC funded research to a broad

audience.

Research Outputs: The MSSC has adopted the definition of “research outputs” from the Canadian Institutes of Health Research (CIHR) definition 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.”

Application and Compliance with Open Access: The Open Access requirements under this Policy apply to all grants awarded after July 1, 2013 and onward, in whole or in part, from the MSSC. The MSSC encourages compliance of these Open Access requirements from research funded by the MSSC prior to July 1st, 2013.

Journal Publication: As previously noted, Principal Investigators (Grant Recipients) are 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:

- a) To a non-subscription based journal;
- b) To a subscription based journal where the authors may also self-archive peer
- c) Reviewed papers in an online repository; or
- d) Through a “Hybrid” journal that also has open access publishing options. (see Appendix “A” for examples of journals and research outputs)

Research Data: The MSSC requires Grant Recipients 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). Grant Recipients are required to retain original data sets arising from MSSC funded research for a minimum of five (5) years after the end of the term of their funding agreement with the MSSC. This applies to all data, whether published or not.

Publication Costs: Funding received through the MSSC may also be used by the Grant Recipient to pay expenses incurred in the publication of MSSC funded research.

Consents: In order for the MSSC to achieve the Open Access goals of this Policy, Grant Recipients are 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 MSSC.

All consents acquired by the Grant Recipients 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.

Monitoring and Adherence: In accepting any grant from the MSSC, Grant Recipients accept the terms and conditions of their grant, which include the Open Access Requirements of this Policy. In the event of any breach or non-compliance with this, the MSSC may take steps to investigate the allegation, which may result in termination of funding, grants or awards at the sole discretion of the MSSC.

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.

APPENDIX A

Examples of research outputs and corresponding publicly accessible archive, repository or database*	
Peer-reviewed journal publications: Publicly accessible archive or repository	
PubMed Central Canada Institutional Repositories at Canadian universities Directory of Open Access Repositories (international)	
<u>Research data</u>	<u>Public database or archive</u>
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

<p>Proteomics data (Deposition of proteomics data)</p>	<ul style="list-style-type: none">• PRoteomics IDentifications database (PRIDE) [European Bioinformatics Institute (EBI)]• PeptideAtlas [Institute for Systems Biology (ISB)]• Global Proteomics Machine (GPM)
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