



THE ARTHRITIS SOCIETY

RESEARCH AND TRAINING PROGRAM

GUIDELINES AND POLICIES

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INTRODUCTION

MISSION OF THE ARTHRITIS SOCIETY

The Arthritis Society is Canada's only not-for-profit organization devoted solely to funding and promoting arthritis research. With a mission to provide leadership and funding for research, advocacy and solutions to improve the quality of life for Canadians affected by arthritis, The Society's research program seeks to understand underlying causes and subsequent cures for arthritis, and to promote the best possible care and treatment for people living with arthritis.

Research is the key to unlocking the mysteries of arthritis. Greater understanding of what causes these diseases and how they progress will inevitably lead to improved treatments and, ultimately, cures. Since its founding in 1948, The Arthritis Society has been the largest non-government funder of basic and applied arthritis research (more than \$190 Million), which has led to significant breakthroughs in the diagnosis, treatments, and care of patients with arthritis.

THE ARTHRITIS SOCIETY'S FIVE-YEAR RESEARCH STRATEGY

The Society will fund projects or programs of research that are aimed at: i) Alleviating the pain of arthritis, and/or ii) discovering the causes and cure for arthritis. In addition, research must be relevant to one or both of the following Strategic Themes.

Strategic Theme I: *Improving our understanding of arthritis and finding the cure.*

Research under this theme will seek to improve our understanding of the causes of arthritis in order to develop new approaches to alleviate the pain, prevent and/or slow the progression of disease, restore joint function, and eventually cure those affected by arthritis.

Research programs relevant to Strategic Theme I will have a main objective of²:

- Understanding arthritis and arthritis pain pathophysiology and identifying therapeutic opportunities;
- Identifying and characterizing risk, and causal factors and/or development of arthritis and arthritis pain (including: biologic and endogenous factors; physical environment; and, psychological, social and economic factors);
- Discovering, developing and evaluating diagnostic (early detection), prognostic and predictive markers and technologies (such as imaging, diagnostic and other assessment tools) of disease (including: biomarker discovery and evaluation);
- Discovering, developing and evaluating potential therapeutic interventions in model systems and preclinical settings. (Including: pharmaceuticals; biologics; gene/cell/tissue therapies; medical devices; surgery (including joint replacement); and physical agents – including physical therapy, radiotherapy, ultrasound, laser and phototherapy).

Strategic Theme II: *Improving the care and management of arthritis*

Research under this theme will seek to uncover new knowledge that will inform better ways to optimize the health of people with arthritis through improved treatment, management and self-care strategies.

Research programs relevant to Strategic Theme II will include intervention research, observational studies and systematic reviews with a main objective of:

- Primary prevention of arthritis (including: individual characteristics, risk behaviours and influences, public policy and educational interventions/programs; environment; nutrition; and, vaccines);
- Treatment and disease management in clinical, community or population settings (including: pharmaceuticals; biologics; gene/cell/tissue therapies; medical devices; surgery; physical agents – including radiotherapy, ultrasound, laser and phototherapy; physical, behavioural, and complementary therapies);
- Researching the individual's care (psychosocial impacts and economic consequences of disease, quality of life, management of pain and other symptoms, education), self-management (attitudes, beliefs and behaviours of health care providers; decision making; guidelines; education; and, work) of arthritis and its outcomes;

- Psychological, physical (PT/OT, exercise), lifestyle, coping (adaptations, accommodations) and complementary treatments, programs and interventions;
- Investigating influences and implementation issues related to screening;
- Evaluating the organization, governance and delivery of arthritis health care services, the impact of (local, regional and national) health policy and the economics of health care as well as studies into health care research design, measurement and methodologies.

ADMINISTRATION OF THE RESEARCH PROGRAM

The administration of all grants and awards is the responsibility of The Arthritis Society's Research and Training department (National division) with the aid and advice of the permanent Scientific Advisory Committee (SAC) and various Board and *ad hoc* committees and consultants as necessary. These advisors are selected for their knowledge within their chosen fields and for their recognized accomplishments in research.

The payment of grants and awards approved by The Society's National Board of Directors for support of these programs is contingent upon the availability of the necessary funds. All awards are made in Canadian dollars.

DEFINITIONS

Nominated Principal Investigator (NPI):

The Nominated Principal Investigator (NPI) is an active researcher who holds his/her full or part-time academic appointment at a Canadian university or affiliated institution. An adjunct professor/appointee is not eligible as an NPI. The university or institution must agree to allow their investigator the responsibility to direct research projects, supervise graduate students and publish results. The appointment must also oblige the researcher to conform to institutional regulations concerning the conduct of research, the supervision of trainees, and the employment conditions of staff paid with The Society's funding.

The NPI has primary responsibility for the intellectual direction of the research program and activities and assumes all administrative and financial responsibilities for the grant, including fulfilling reporting requirements to The Society. There can only be **one** NPI for each grant application who is the project leader for the proposed research and the contact person to whom all correspondence will be directed to.

A person can be listed as an NPI on more than one application but awarded one award only.

Co-Principal Investigator (Co-PI):

Co-Principal Investigator (Co-PI) is an active researcher who holds his/her major academic appointment (as described for an NPI), whether full- or part-time, at a Canadian university or affiliated institution. A Co-PI makes a significant contribution to the intellectual direction, design and analysis of the research and plays a significant role in the conduct of the research. The university or institution must have agreed to allow the investigator the responsibility to direct research projects and supervise graduate students. This category does not include research trainees, associates or staff.

A person can be listed as a Co-PI on multiple applications.

Collaborator:

A Collaborator is a researcher, consumer or other individual who makes a meaningful contribution to the research project or application such as: providing tissue/fluid samples or data; consultation; platform resources (e.g. equipment, specific reagents, specialized training); statistical analysis; etc.

A collaborator can be based outside of Canada. However, funds can only be spent in Canada and, if research is conducted outside of Canada, the NPI must present convincing arguments on the need to conduct research at a non-Canadian institution(s).

Partner:

A Partner is a participant in the research project representing industry, government, consumer or other academic groups (i.e. domestic or foreign).

Eligible Institution:

The Society will support researchers based in a Canadian university or affiliated institution. Any university, research institute and hospital that is eligible to receive common grant and award funds from the Canadian Institutes for Health Research (CIHR) is considered "eligible" to receive common grant and award funds from The Society. Any institution that does not fall under any of the above categories, is NOT an eligible institute. The Society will not support research sponsored by for-profit organizations.

An Eligible Institution is responsible for:

- receiving and maintaining funds from The Society in a dedicated account for the researcher to draw (the funds cannot be dispersed among multiple institutions);
- ensuring appropriate utilization of funds as per The Society's policies and guidelines; and

- providing protected time for the researcher to conduct research and to participate in activities such as Strategic Networking Workshops, Research Scholar webinars and other related Society activities.

PEER REVIEW

The peer review system for judging grants remains the standard practice for deciding the scientific quality, practicality and relevance of Research and Training Program funding. It has been determined that The Society is best served by having a system in place that directs funding to those grants of highest priority and relevance to stakeholders of The Society in a targeted manner. The system includes a pre-evaluation at a Letter of Intent (LOI) stage to limit the number of applications that would require subsequent full reviews. By pre-screening LOIs, fewer full applications will need to be reviewed by the Review Panel comprised of members of the Scientific Advisory Committee (SAC), consumers and scientific experts. A second relevant mechanism for limiting the number of applications includes a limit to the topic area of the grants, which is based on The Society's two strategic research themes.

The Process:

Applications submitted directly to The Society using approved methods are considered under review and will be evaluated in three steps. First, all applications are reviewed by The Society's Research administrative staff to ensure that all eligibility requirements have been met and that the research proposals align with The Society's Research Strategy and Theme(s). Second, all applications that pass the first step will be adjudicated by the Review Panel and/or a subcommittee of SAC and/or Medical Advisory Committee. Third, the results of the Review Panel meetings are reviewed by the SAC, who then provide funding recommendations to The Society's Board. The NPI will be notified as to the result of the review once The Society's Board of Directors has approved the recommendations of SAC.

RESEARCH GRANT DESCRIPTIONS

All grants and awards issued by The Society have clear expectations that recipients will have protected time for: research activities and productivity, participation in Strategic Networking Workshops and in The Society's Research Scholar webinar series, and other research promotional activities. Awardees' performance will be monitored annually by The Society, normally based on progress and end-of-grant reports and financial reporting by the designated financial officers. The Society expects that researchers will conduct themselves in a manner that supports high scholarly activity and will inform The Society of their progress by submitting annual progress and end-of-grant reports (including 2 years reporting after the end of grant) to fully capture the results of the activities arising from these investments. Expectations also include attendance at Strategic Networking Workshops (when held), presentations in the Scholars webinar series (when held), acknowledgement of The Society in **all** research communications, and, if requested, participation in communications/media stories and events.

RESEARCH OPERATING GRANTS

Strategic Operating Grant (SOG)

Description

The Strategic Operating Grant (SOG) program provides funding to support research proposals aligned with The Society's priorities. Consistent with the Society's 5-Year Strategic Research plan, Requests for Applications (RFAs) for SOGs will be published for each theme (typically one theme a year). The theme for the 2017-18 competition is [Theme 1: Improving our understanding of arthritis and finding the cure](#).

Applicants will be required to submit an LOI prior to being invited to submit a full application. Applications will be adjudicated by a Review Panel, the outcomes of which will be presented to the SAC for review.

Funds available and term

The maximum award per applicant is up to \$120,000 annually for up to three years

Eligibility:

Applications must be submitted by an eligible Nominated Principal Investigator (NPI) as defined by The Society.

Young Investigator Operating Grant (YIO)

Description:

Young Investigator Operating (YIO) grants are intended to launch the career of outstanding scientists and to promote creativity in all domains of research. Unlike the SOG, YIOs are not restricted to a strategic theme but must be relevant to one or both of The Society's strategic themes. If a CIHR grant is awarded during the term of the award, The Society's successful applicant is expected to accept the CIHR grant.

Funds available and term:

- The maximum award per applicant is up to \$100,000 annually for up to three years
- Successful applicants may apply up to 25% (ie \$25,000) of the Year 1 funds towards the purchase of minor equipment.
- For 2017/18, The Society will not be accepting applications for equipment grants.

Eligibility:

A Young Investigator is defined by The Society as an individual who:

- Is an NPI as defined by The Society;
- is within 4 years of their first academic appointment at the time of the application deadline; and
- has never previously been awarded an operating grant as the Nominated Principal Applicant or co-Principal Applicant (as defined by The Society) of more than \$70,000 (in total, not per year) from The Society, CIHR, NSERC or other funding agencies.

Consumer Activity Grant (CON)

This grant may not be available during the 2017/18 competition cycle.

Description

The purpose of this grant is to facilitate consumer involvement in research. Consumers continue to be a valued asset to The Society and these funds are available to consumers directly involved in developing, or providing ongoing input to research operating grants on arthritis-specific topics whether granted by The Society, by Tri-council Agencies, or other eligible peer-reviewed funding agency or foundation.

Funds available

- The maximum award is up to \$1,500 per applicant

Eligibility

The applicants must:

- be a Canadian citizen or a permanent resident;
- be a member of a not-for-profit national arthritis consumer group;
- be an actively, engaged volunteer in the broader arthritis community;
- receive only one award per year; and
- not transfer the award.

Funds may be used for the following activities to

- Support consumers who train other consumers to become responsible participants in the research enterprise (i.e. including participation in grant development, grant reviews, and in educating grantees and awardees of the consumer viewpoint);
- Support travel of consumers to present at relevant conferences; and/or
- Cover expenses in producing and/or creating materials and communications related to knowledge transfer, the role of consumers in arthritis research and related resources for consumers and researchers.

Other details

- The term of these grants are flexible and may match the term of operating grants awarded by The Society, CIHR, Social Sciences and Humanities Research Council (SSHRC), or The Natural Sciences and Engineering Research Council of Canada (NSERC), or may be shorter in term depending on the needs of the consumer or consumer group;
- An after-grant report of the activities must be submitted to The Society within 60 days after the end of the proposed activities;
- Funding requests to The Society must have a clear rationale and a justified budget or expense;
- Applications must be submitted at least 90 days prior to the activity / event; and
- These grant applications will be vetted on an ongoing basis by a committee composed of a subcommittee of SAC.

Networking/Knowledge Transfer Grant (NKT)

This grant may not be available during the 2017/18 competition cycle.

Description

NKT grants are intended to provide support for meetings that promote the development of new research teams, for grant planning specifically for arthritis-related research projects, or for special dissemination or translation of research. It is expected that these funds will be used to plan new approaches, either technical or tactical to arthritis.

Funds available

The maximum award is up to \$10,000 per applicant

Eligibility

- Grants are open to eligible researchers, trainees and persons representing national arthritis patient organizations;
- The applicant must be a Canadian citizen or permanent resident; and
- Proposals must be aligned with The Society's research theme(s).

Funds may be used for the following activities

- Promote the development of new research teams;
- Planning of new research projects; and/or
- Special dissemination / translation activities.

Allowable Expenses

- Economy travel and accommodation for participants;
- Meeting rooms and associated meeting costs (e.g. audio-visual equipment, videoconferences etc.); and
- Hospitality costs (non-alcoholic refreshments or meals).

Other details

- Honorarium is not an eligible expense;
- Activities/meetings must take place in Canada;
- A report of the activities and outcomes of the networking and knowledge transfer activity must be submitted to The Society within 60 days after the meeting;
- The request to The Society must have a clear rationale and a justified budget or expense;
- Applications must be submitted at least 16 weeks prior to the meeting/event.; and
- These grant applications will be vetted on an ongoing basis by a subcommittee of the SAC.

SALARY AWARD DESCRIPTIONS

Young Investigator Salary Award (YIS)

(Previously referred as the Network Scholar)

This grant may not be available during the 2017/18 competition cycle.

Description

The Young Investigator Salary award is intended to provide junior academics who, at the time of the application deadline, are within four years of their first full time academic appointment at a Canadian university or affiliated institution. The intent of this award is to provide the applicants their first opportunity to initiate and carry out independent research that is relevant to arthritis before becoming involved in carrying out the full research and teaching duties expected of a regular member of the university staff.

Critical to the application is a Letter of Support from the applicant's institution. The letter of support must detail the following:

- any “top up” funds for salary;
- confirmation that the applicant will spend at least 75 percent of their time in research activities;
- the extent to which the applicant will be exempted from teaching or clinical responsibilities;
- office and lab space to be provided; and
- address the potential for a long-term commitment to the applicant beyond the three years provided by this award.

Applications will be assessed based upon the applicant’s merits and the commitment demonstrated by the institution in the letter of support.

Applicants will also be asked to identify an Investigator in a different research discipline related to arthritis that is willing to act as a Mentor. The purpose of the Mentor is to expand the applicant’s perspective on (and experience with) collaborative multi-disciplinary research and to facilitate the applicant’s career development.

It is recommended that applicants who do not hold peer-reviewed research funds as a Principal Investigator, must submit an application to The Arthritis Society’s Young Investigator Operating Grant or to another appropriate agency (e.g. CIHR) simultaneously with the New Investigator application.

Funds available

- The Arthritis Society's contribution to the investigator's salary is \$60,000 per annum for a maximum of three years, subject to a successful annual reporting. A shorter term may be awarded, when there is no evidence of coincident research operating funding.
- It is expected that the Institution will assume this salary support upon completion of the award.

Eligibility:

A candidate must:

- hold either a clinical health professional degree or a PhD;
- show promise of attaining competence as an independent investigator, and should not be registered for a higher degree at the time of application or undertake such studies during the period of appointment;
- be within four years of a full time academic appointment at a Canadian university or affiliated institute at the time of the application deadline;
- not be registered for a higher degree at the time of application or undertake such studies during the period of appointment;
- have a written commitment from the Institution, via letter from the Dean of Faculty or Research Director which accompanies the application, committing to:
 - institutional support;
 - a minimum of at least 75% protected research time for the duration of the award; and
 - continued salary support upon completion of the award.

PARTNERED AWARDS

CRA (CIORA)-TAS Clinician Investigator Award

Pending availability of funds, this award accepts applications every other year.

The **CRA (CIORA)-TAS Clinician Investigator Salary Award** is intended to provide new clinician investigators, within four years of their first full-time clinical faculty appointment, with an opportunity to demonstrate their ability to initiate and carry out independent research that is relevant to arthritis, before becoming involved in carrying out the full clinical, teaching and research duties.

Awardees are expected to complete a research project during the term of this salary award. The proposed project must be of clear relevance to inflammatory arthritis and be aligned with one or more of the research pillars under the Canadian Initiative for Outcomes in Rheumatology Care (CIORA) grant program¹.

- Awareness/Advocacy/Education
- Early Access for Inflammatory Arthritis Patients
- Multi-Disciplinary Care Teams

The application **must** include a letter of support from the applicant's institution. This letter of support must detail the following:

- any "top up" funds for salary;
- confirmation that the applicant will spend at least 75 % of their time in research activities;
- the extent to which the applicant will be exempted from teaching or clinical responsibilities;
- an office and lab space; and
- a long-term commitment to the applicant beyond the two years provided by this award.

Applications will be assessed, in part, on the applicant's merits and the commitment demonstrated by the institution in the letter of support.

Applicants will also be asked to identify an Investigator who is in a different discipline related to arthritis and who is willing to act as a Mentor. The purpose of the Mentor is to expand the applicant's perspectives on (and experience with) collaborative multi-disciplinary research and help to facilitate the applicant's career development.

Funds available:

- This award will contribute \$60,000 per annum to the awardees salary for a maximum of two years, subject to a successful annual review.

Eligibility:

A candidate must:

- be a certified Rheumatologist;
- be a Canadian Rheumatology Association (CRA) member in good standing;
- be a Canadian citizen/ or permanent resident;
- hold an appointment to a CIHR-approved academic institution;
- be within four years of their first clinical faculty appointment at the application deadline; and
- have a written commitment from the Institution, via letter from the Dean of Faculty or Research Director which accompanies the application, committing to:
 - institutional support;
 - a minimum of 75% protected research time for the duration of the award; and
 - assumption of continued salary support upon completion of the award

TRAINING SALARY AWARDS

Description

The Arthritis Society is committed to the training of young scientists: Graduate Students and Research Fellows. Training Salary Awards allow arthritis research trainees to access and acquire expertise in a broad area of arthritis research to help them prepare to be productive independent researchers in the future. Trainees may collaborate with leading investigators in a networked environment, exposing them to the broad diversity of scientific disciplines involved in arthritis research. The

¹ http://rheum.ca/images/documents/2012_CIORA_Grant_Terms_of_Reference.pdf

Society's training goal is to develop scientists with multi-disciplinary approach who know the needs of industry and the arthritis community.

Trainees are expected to maintain high academic standings in order to participate in Strategic Networking Workshops and to acknowledge The Society support in their research.

Training Graduate PhD Award (TGP)

Description

Studentships are offered to graduate PhD students who are undertaking full-time research training in an area that is relevant to arthritis and The Arthritis Society's 5-year research strategic plan. Applications are made by the candidate under the close supervision of the proposed supervisor or by the proposed supervisor, who qualifies as a Nominated Principal Applicant as defined by The Society. In addition to taking courses to meet the respective university's PhD requirements, **students must be involved in research**. It is expected that the student will spend at least 75 per cent of his/her time in research training (i.e. The student may spend no more than 10 hours/week in paid employment that is not directly related to their research training)

Students enrolled in programs oriented toward clinical training with no research thesis are NOT eligible for this award.

Funds available

Graduate PhD students are eligible for \$21,000 per year, which includes matched funding, for a maximum term of three (3) years. Successful applicants will receive \$10,500 annually from The Arthritis Society for this award.

Eligibility

To be eligible for studentship support, students must be:

- registered in a program leading to a PhD and be engaged in full-time research training at a Canadian university graduate school;
- within the first three years of their PhD training program at the submission deadline date; and
- working on a research project with clear relevance to the research theme(s) identified in The Arthritis Society's 5-year strategic plan.

Other

- Applicants who have not started their PhD program at the application deadline but who are expected to begin their PhD program at the start of the award, and who can provide all required documentation, are eligible to apply; and
- Trainees may have more than one supervisor. In the event that co-supervisors are affiliated with different institutions, a letter of support from the institution where the applicant has primary affiliation must be included in the application.

Training Post Doctoral Fellowship (TPF)

Description

The Postdoctoral Fellowship program provides support for highly qualified postdoctoral fellows to engage in research that is relevant to arthritis, under the supervision of an arthritis researcher who qualifies as a Nominated Principal Applicant as defined by The Society. Applications are made by the fellow under the close supervision of the proposed supervisor or by the proposed supervisor. The training program must include actual involvement in conducting research. It is expected that the fellow will be spending at least 75% of his/her time conducting research during the tenure of the award. Fellows enrolled in programs oriented toward clinical training focused on research are eligible for these awards.

Award availability and terms

- Applicants who hold a PhD are eligible for \$40,000, which includes matched funding, for a maximum term of three years; Successful applicants will receive \$20,000 from The Arthritis Society for this award;
- Applicants who hold a clinical health professional degree are eligible for a salary of \$40,000 - \$50,000 per year (including matched funding), depending upon the number of years of academic training; Successful applicants will receive \$20,000 - \$25,000 from The Arthritis Society for this award.

Eligibility

To be eligible, applicants must:

- work on a research project at a research facility in Canada that is relevant to the research theme(s) identified in The Arthritis Society's 5-year strategic plan;
- be in receipt of a PhD or a health professional degree (or equivalent, in a field such as medicine, dentistry, rehabilitation sciences, nursing, pharmaceutical studies, veterinary medicine, etc) by the anticipated start date of the project;
- **be within their first four (4) years** of postdoctoral work at the time of the application deadline; and
- **NOT** be in the same research laboratory (supervisor) in which they received their PhD.

Note: Applicants who are not in receipt of their PhD at the application deadline but who will be in receipt of their PhD by the start of funding, and who can provide all required documentation, are eligible to apply.

FUNDING CONDITIONS

Notification: The NPI will be advised by letter of the duration and amount of the grant awarded. A copy of this letter, signed by the NPI indicating his/her acceptance of the terms and conditions of the grant will be sent to the Designated Financial Officer (DFO) at the NPI's institution.

Changes to project: If components of a project change significantly from the approved application, the project may be subject to review. Any significant changes to a project will be reviewed by SAC, and if applicable, in consultation with the original review panel. Continued support is dependent upon successful review by SAC and/or the original review panel.

Fund Disbursement: Payment of the grant will be remitted quarterly for operating grants, monthly for salary support or fully for NKT and CON grants to the grantee's institution through the DFO. For projects requiring ethics approval (excluding salary awards), payments will be withheld until The Society receives a copy of the ethics approval. Payments will not be sent to more than one institution. Payment of subsequent years is dependent upon receipt, review, and approval by The Society of all annual financial and progress reports. An end-of-grant report is also expected. Award recipients who have not submitted annual and end-of-grant reports will not qualify to apply for future funding, inclusive of trainee support, until such reports have been submitted. The Society does not send funds directly to the NPI.

Renewal Grants: Grants are not renewed automatically. Support beyond the original term of the award is dependent upon successful peer-review among the competitive pool of new applications. If a grant is approved for renewal, funds will not be made available until The Society has received a reasonable and acceptable report of all funds expended during the term of the previous project.

Unspent Funds: Budgets in applications for grants are estimates of the funds required to perform the research indicated. Unexpended funds of up to 50% of the annual payment may be carried forward for only one year. Unexpended funds, remaining after this time, must be returned to The Society.

If more than 50% of the annual payment is unspent, then the applicant must request in writing to carry forward these funds to the next year. The request to carry forward funds must include an explanation of why the funds remain unexpended and present a reasonable plan to bring the project back onto its intended timeline. This request must be presented in writing on official letterhead by the NPI and sent via email to research@arthritis.ca. Progress reports must also be modified to reflect any changes in budgets.

If renewal support is provided, remaining funds from the previous grant will be applied to the first payment of the renewal grant and the renewal budget will be reduced accordingly. Only in certain circumstances will the renewal budget not be reduced.

All requests must be sent in writing to the VP Research on formal letterhead via email to research@arthritis.ca.

Extension of Term: 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 six or 12 months and may only be requested once for any given grant. A request for an extension 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; and
- 3) a statement of how the funds will be used during the extension. A request for an extension must be made at least 90 days before the termination date of a grant.

All requests must be sent in writing to the VP Research on formal letterhead via email.

Transfer of a Research Grant Award: The Society retains the right to approve or disapprove the transfer of grant funds from one institution to another to follow the transfer of the NPI. For the approval of such a transfer, The Society requires a

letter of request by the NPI as well as 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 Society. No interruption of financial support should be involved if the request to transfer the grant is received by The Society at least 90 days prior to the anticipated date of transfer and the financial report is submitted from the original institution prior to the transfer date. Fund disbursement to the new institution will be calculated based on net remaining inclusive of the funds returned by the original institution. *The Society will consider funds that are **not** returned by the original institution as funds disbursed and the corresponding amount will **not** be disbursed to the new institution.*

All requests must be sent in writing to the VP Research on formal letterhead via email to research@arthritis.ca.

Change of NPI: In most cases, a grant terminates when the NPI becomes unable to continue supervision of the research. However, within 30 days after such an occurrence, the original institution may request that the grant be continued with the responsibility transferred to a new NPI until the grant can be terminated appropriately or until a new, complete application can be submitted by the new NPI to The Society's SAC for review. Such changes cannot be effected without prior approval in writing by The Society. All requests must be sent in writing to the VP Research on formal letterhead via email to research@arthritis.ca.

Collaborators and Partners: Collaborators and partners may be from outside of Canada. However, funds can only be spent in Canada and, if research is conducted outside of Canada, the NPI must present convincing arguments on the need to conduct research at a non-Canadian institution(s).

Salary Awards: Should the awardee receive another award(s) for salary support during the term of The Society's award, the awardee must notify The Society within 30 days of receiving notice of the award.

Awardees are permitted to hold additional awards provided that the total annual value does not exceed 50% (i.e. \$10,000 for graduate awards) of the total salary stipend amount. If the awardee receives additional salary support that is more than 50% of the annual value, the amount of the TAS award will be adjusted and reduced accordingly.

If the awardee receives salary award support equal to or greater than 100% of the total salary stipend amount (i.e. \$20,000 or greater), then the awardee must decline the TAS salary award and return all unspent funds.

Awardees are expected to spend at least 75 per cent of their time in research training (i.e. The student may spend no more than 10 hours/week in paid employment that is not directly related to their research training)

Receipt of Other Operating Grants/Research Awards: Should the awardee receive another award(s) for the same project during the term of The Society's award, the awardee must notify The Society within 30 days of receiving notice of the award and is expected that the recipient will decline The Society's award.

Special "Top-Up" Considerations: The Society may consider on a case-by-case basis, providing "top-up" funds under the following circumstances:

1. Term of the new award is shorter than the term of The Society's award;
2. Value of the award is less than the value of The Society's award;
3. Value of the award is less than the amount requested in the proposal submitted to the funding agency;
4. Value of the training award is less than the minimum stipend as required by the department where the trainee is registered; or
5. Other circumstances currently not addressed by The Society's Research and Training Program Guidelines and Policies.

All such requests must be sent in writing to the VP Research on formal letterhead via email. Should The Society grant the recipient's request, the recipient will be required to uphold all requirements of a full award.

Termination of Research Grant Award: A research grant award may be terminated before the end of the project if:

- 1) the NPI requests, in writing, that the award be terminated;
- 2) the NPI is unable to carry out the research at the original institution;
- 3) the sponsoring institution requests in writing that the award be terminated because of the NPI's termination of his/her academic appointment;
- 4) the NPI fails to notify The Society of any change in his/her affiliation with the department or institution on record at the time the award was made;
- 5) the NPI changes any aspect of the award from that which was originally approved by The Society, including significant changes in the specific aims of the research studies, without prior notification and approval by The Society;
- 6) annual progress and financial reports are not received from the NPI within 30 days of the final notice;
- 7) the NPI is found by an institutional investigation to have committed scientific misconduct or fraud; and/or
- 8) The Society's Board of Directors deems termination necessary for any reason.

GENERAL CATEGORIES OF EXPENDITURES

Investigators may request funds for the following categories of expenditure: salaries for professional and non-professional personnel, reasonable patient costs, permanent equipment (generally \$5,000 or less), and consumable supplies and travel. The grant budget cannot include indirect costs as per Board approved policy.

Personnel: All personnel paid from grant funds shall be in accordance with the prevailing policies of the grantee's 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 tuition costs. Salary support of trainees is an acceptable expenditure. However, should any of the trainees included in the proposed budget receive a salary award, the lesser of the two values (salary award or salary amount in the operating grant budget) will be deducted from the operating grant budget.

Professional Support: The Society will not pay salaries of the principal investigators, co-applicants and faculty members. Investigators are not considered employees of The Society, 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 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.

Equipment and Supplies: The Society allows a maximum request of \$5,000 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. Travel expenses whenever charged to grant funds shall be in accordance The Society's policies.

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 permitted expenditures for Society grants under any circumstances.

Re-budgeting 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 Society for equipment, travel, or other items not specifically identified in the approved budget. Unless prior approval in writing has been obtained from The Society, expenditures are likely to be disallowed for items not specifically included in the budget of the grant awarded.

ACCOUNTING PROCEDURES

Annual Financial Reports: An annual financial report is required, according to the below schedule, of each year during the term of the award. It is the responsibility of the awardee to demonstrate annually that the majority (greater than 50%) of the funds provided the previous year are expended prior to release of funds for the subsequent year.

Schedule of Financial Reports

Program	Annual Financial Report Deadline	End-of-Grant Financial Report Deadline
SOG/YIO	September 1	December 31 of the last year of funding or, if funding terminated prematurely, within 90 days of termination date
Salary Awards	August 1	December 31 of the last year of the last year of funding or, if funding terminated prematurely, within 90 days of termination date
NKT/CON	NA	90 days after date of activity/event

Future payments will continue to be contingent upon receiving confirmation annually that at least 50% of funds previously provided have been spent. If it is determined that the funds are not expended or properly expended, The Society has the right to withhold funds until further notice or terminate the grant.

End-of-Grant Financial Reports: A full account of all expenses incurred over the entire lifecycle of a research project is due by **December 31st** of the final year of the grant. For grants and awards that were terminated before the end of the funding term, a final financial report is due within 90 days of the termination date. For NKT and CON grants, a final financial report is due within 90 days after the date of the activity/event. Unexpended funds remaining as of the termination date of the grant must be returned to The Society. Grantees agree to return to The Society remaining funds within six months following the termination date.

The Society from time to time, at its sole discretion and expense, may 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.

Annual Research Progress Report: An annual research progress report is due according to the below schedule of every year. The report must be submitted through The Society’s online grant portal. Compliance with this policy is necessary for ongoing funding of the research project and to be eligible to apply to future research and training programs

End-of-Grant Reporting: In order for The Society to fully capture the outcomes of the grants and to effectively report back to donors, end-of-grant reports are required 6 months and 2 years following the end of the funding term. For awards terminated before the end of the funding term, end-of-grants are also required 6 months and 2 years following the termination of the grant.

Future application for funding from The Society will not be considered if Annual and/or End-of-Grant Reports, inclusive of financial reports, have not been submitted.

Schedule of Research Progress Reports

Program	Annual Report Deadline	End-of-Grant Reports Deadlines
SOG/YIO	September 1	6 and 24 months of the termination of grant
Salary Awards	August 1	6 and 24 months of the termination of grant
NKT/CON	NA	90 days after date of activity/event

PUBLICATIONS AND COMMUNICATION

Publications: The Society expects that the results of research will be published in appropriate journals or media. The responsibility for publications lies with the principal investigator. The results of any work supported by a grant from The Society 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 Arthritis Society.”*** As soon as a manuscript is accepted for publication, it is expected that the grantee will inform The Society’s Research and Training department with the name of the journal, title of article, expected date of publication, and a copy of the article.

Presentations: All presentations (Power Point, Posters etc.) containing research results arising (in whole or in part) from a Society funded grant must contain The Society’s logo. Please inform The Society’s Research and Training department whenever you are planning to present research results supported by a grant from The Society.

Media and Communications: The Society expects that if a grantee’s host institution and/or publisher are preparing a press release or other media announcement related to a Society funded grant, the institution and/or publisher and the researcher shall contact and inform the Society’s Research and Training department in advance. Failure to do so may result in suspension of the subsequent payments.

Knowledge Translation: To help increase stakeholder awareness of The Society-funded research, we would like to call on you during the term of the grant to:

- Recruit you or a member of your team to summarize your work in a brief article intended for a lay audience and/or to present to a lay audience or the media.
- Assist with public awareness of The Society’s research program (i.e. being interviewed, participating in a panel discussion, etc.). You will likely be invited to participate in such events by the Society’s regional offices.
- Participate in relevant events designed to facilitate knowledge translation such as webinars.

Any such requests will be made as far in advance as possible with full cognizance of your busy schedule. Our staff, volunteers and donors are keen to hear about your progress. The promotion of Society-funded work is critical to the continuing growth of our research program.

GENERAL POLICIES

Prolonged Absence from Work

The applicant shall immediately notify The Society of any illness or other cause necessitating the absence of the applicant from work exceeding ninety successive days. Continuation of the award will be at the discretion of The Society.

No Binding Commitment

Nothing in these Guidelines, including these Terms and Conditions, or in any Request for Application (RFA), shall be deemed to obligate The Society to award funds to an applicant. The decision to recommend acceptance or rejection of an applicant's application for a research grant or career development award rests solely with the SAC acting in its sole discretion.

Financial Gain

The Society will not approve applications that involve any element of financial profit from the granted funds to an applicant, or any other individual named in a grant submitted by the applicant to The Society, including the applicant's collaborators, partners and/or key personnel.

Participation in The Arthritis Society fundraising Events

Acceptance of a grant or award from The Society requires the applicant's participation in at least one fundraising event annually (if requested by The Society).

Limitation of Liability

In no event shall The Society be liable to the applicant, an Approved (Eligible) Institution or any other person or entity for costs, damages, losses or injuries arising for any reason including, without limitation, claims based in tort, contract or other legal theory. For greater certainty, The Society shall not be liable for any direct, special, consequential, incidental, punitive or indirect damages, however caused.

Indemnification

The Society 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 Society 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.

No Partnership, etc.

The acceptance or deemed acceptance by The Society, the applicant and the Approved Institution shall not create any agency, partnership, joint venture or employment relationship between the parties and neither of the parties shall have the power to obligate or bind the other party.

Scientific Misconduct and Fraud

Any institution that receives funds from The Society 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 Society immediately, in writing, of any institutional investigation into the conduct of an investigator whose work is supported by The Society, and to keep The Society 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 The Society's support of a project, and may jeopardize future support for the investigator from The Society.

ETHICAL CONSIDERATIONS

Research Involving Humans

If an application involves human experimentation, a certificate must be submitted from the appropriate committee of each

institution involved, stating that the protocols and methods have been found acceptable from an ethical point of view in accordance with the "Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans" (1998), published by CIHR, the Natural Sciences and Engineering Research Council of Canada, and the Social Sciences and Humanities Research Council of Canada.

Funding for any approved project will not be released until **ethical review** has been conducted and approval(s) have been provided to The Society.

Research Involving Animals

If an application involves the use of experimental animals, a certificate must be submitted from each institutional Animal Care Committee guaranteeing that all animals will be cared for and studied under conditions meeting the standards stated in "Guide to the care and Use of Experimental Animals" (Vol 1: revised 1993 and Vol 2: 1984) published by the Canadian Council on Animal Care.

The Society also considers it mandatory that the applicant's host institution hold and maintain, throughout the proposed research project, a valid CCAC Certificate of GAP-Good Animal Practice (R), a registered trade-mark of the CCAC given to research institutions assigned a status of Compliance or Conditional Compliance with CCAC standards subsequent to the assessment of their animal care and use program by a team of external reviewers directed by a CCAC Assessment Director. The list of institutions holding a certificate of GAP- Good Animal Practice (R) is posted on the CCAC website at the following address: http://www.ccac.ca/en/CCAC_Programs/Assessment/gap.htm

Funding of any approved project will not be released until a valid **CCAC Certificate of GAP – Good Animal Practice** has been provided to The Society.

Research Involving Biological Materials: If an application involves the use of biological materials, a certificate must be submitted from each institutional Biohazards Committee guaranteeing that the project will be conducted under conditions which satisfy the "Laboratory Biosafety Guidelines" (1996), published by the CIHR and Health Canada (3rd ed 2004).

Funding of any approved project will not be released until a **certificate guaranteeing adherence with laboratory biosafety guidelines** has been provided to The Society.