

Innovation Research Grant Overview

CANFAR Research Cycle 30, 2020
Innovation Grants Program
for HIV/AIDS Related Research

TABLE OF CONTENTS

PART I: OVERVIEW.....	3
1. Authority of Making Grants	
2. Review of Applications	
3. Confidentiality of Information	
4. Sources of Funds	
5. Grant Eligibility	
6. Terms and Description of Grants	
7. Responsibilities of CANFAR	
8. Application Components	
9. Application Submission Procedure	
10. Role of Applicants	
11. Budget	
12. Consultants	
13. Collaborators	
14. Sub-Contractors	
PART II: APPROVED GRANTS	9
1. Payments	
2. Financial Records and Reports	
3. Communications and Reporting	
4. Publications/Funding Acknowledgement	
5. Patents	
6. Ownership of Equipment	
7. Relinquishment of Grant	
8. Transfers and Extensions	

Part I: Overview

The Canadian Foundation for AIDS Research (CANFAR) was founded in 1987. CANFAR's mission is to end the HIV epidemic in Canada by funding innovative research, national awareness programs and dynamic partnerships. In this Innovation Research Grant competition, the grants awarded will be \$40,000 for one year. The research includes all aspects of HIV prevention, treatment and care, and cure.

Over the past three decades, CANFAR has invested more than \$21 million and awarded more than 400 grants to HIV/AIDS research projects that have led to tremendous breakthroughs in HIV prevention, testing, access to treatment, stigma, and the search for a cure. In addition, CANFAR annually reaches thousands of Canadian youth and educators through its national youth HIV awareness programs.

Applications for funding may only be made using the Cycle 30 CANFAR application form. Submissions are made electronically and consist of 3 separate PDF files.

1. Application Form
2. Detailed Proposal
3. Appendix

Purpose of CANFAR Innovation Research Grants

Innovation Research Grants (\$40,000)

The goal of the \$40,000 awards is to stimulate and fund HIV/AIDS related research:

- that requires seed funding and/or is focusing on new research, **and/or**
- that is being done by individuals starting out in the field.

Application Deadline: Friday, February 28, 2020, 5 P.M.

All requests for information about CANFAR's Innovation Research Granting program and application inquiries should be directed to Joan Smart, Vice President of Finance and Operations.

jsmart@CANFAR.com | 416-361-6281

1. AUTHORITY OF MAKING GRANTS

Grants are awarded by the CANFAR Board of Directors acting upon the recommendations of the CANFAR Scientific Advisory Committee.

2. REVIEW OF APPLICATIONS

Each grant application is reviewed by the Scientific Advisory Committee as well as external reviewers. They evaluate on:

- Scientific merit of the proposal.
- Relevance of the research to the control of the epidemic or benefit to patients with HIV infection or AIDS.
- Qualifications, experience and productivity of the investigator.
- Facilities available to undertake the proposed research.

3. **CONFIDENTIALITY OF INFORMATION**

In processing and reviewing applications, CANFAR will make every effort to not disclose confidential or proprietary information contained in submitted proposals. However, CANFAR has no mechanisms to maintain or guarantee the confidentiality of information, nor does it have the financial resources to sustain liability for disclosure of information.

4. **SOURCE OF FUNDS**

Funds available to CANFAR are obtained principally from private donations and fundraising efforts. CANFAR is a Canadian registered charitable organization.

5. **GRANT ELIGIBILITY**

Persons eligible for a CANFAR Grant must be:

- Canadian researchers or a team of researchers who have demonstrated expertise, productivity and leadership in research areas related to HIV/AIDS research.
- Canadian Citizens or Landed Immigrants or residing in Canada.
- Conducting or directing the major component of their research from a Canadian site that is a not-for-profit institution or organization. These organizations must:
 - Conduct activities qualifying as “charitable activities” under the Income Tax Act, having a minimum of 10% total revenue from non-governmental sources, of which a reasonable proportion should be donations.
 - Operate under an actively involved voluntary Board of Directors capable of assuming responsibility for satisfactory performance of the organization.
 - Issue an annual report which includes a summary of operating performance and financial statements, which is available to the general public.
 - Demonstrate that the organization is capable of carrying out research being funded.

Eligible organizations include hospitals, universities, or other sponsoring institutions.

Usually, individuals considered eligible to apply as Principal Investigators on research grants include:

- Those who hold paid academic appointments at a Canadian university or an affiliated institution (such as an affiliated teaching hospital).
- Those who hold paid positions at a Canadian hospital.
- Those who are sufficiently qualified to undertake the research and are associated with an appropriate AIDS service organization or other such organization, provided that that organization can confirm that the necessary space and other resources will be made available to support the research.

Part-time, adjunct, or status-only applicants may be eligible provided there is confirmation from the sponsoring institution that they have the necessary space and resources to support to the research.

Grants are awarded to recipients whose sponsoring institution’s activities qualify as charitable activities, and who are located primarily within Canada. Grant applications will **not** be accepted from for-profit entities.

Members of CANFAR's Scientific Advisory Committee are eligible recipients of CANFAR research support provided they comply with CANFAR's policies regarding conflict of interest. CANFAR's Scientific Advisory Committee (SAC) members can apply for research grants during any CANFAR research cycle; however if they do in the role of Principal Investigator, they will not be able to participate in that year's review panel/SAC meeting.

Grants will not be available to private foundations, organizations that are completely government funded and/or directed, individual, religious or political purposes or private companies. In no instance can a CANFAR Grant be used for the personal support of the recipient(s) or any family member. The use of CANFAR funds must conform to CANFAR research guidelines and all ethical, administrative and other requirements of the sponsoring institution. In addition, any other requirements or conditions set out by CANFAR will apply.

6. TERMS AND DESCRIPTION OF GRANTS

Grants are intended to satisfy a variety of needs in investigations related to HIV infection and AIDS. A research grant is generally made to cover direct costs of such items as salaries for professional and technical personnel (not the Principal Investigator or Co-Investigators), equipment, supplies, publications, limited laboratory construction or alteration and other miscellaneous items.

When requests for the support of a project are submitted to more than one granting agency, CANFAR's support cannot be accepted if it duplicates other support. However, funds may be requested from CANFAR to supplement other support when circumstances justify such a request. For example, there should be a clear sub-study that could be funded by CANFAR. These requests must be made in writing to CANFAR.

\$40,000 grants are awarded for a term of 1 (one) year. If a proposed study can be completed in less than the allotted time, a grant may be awarded for a shorter period, if so requested by the investigator or so determined by the Scientific Advisory Committee. Awards are made without assurance of continued support beyond the 1 year term.

7. RESPONSIBILITIES OF CANFAR

In awarding grants, CANFAR does not assume any responsibility for the conduct of the investigation or the acts of the investigator(s), as they are under the direction of these sponsoring institutions and subject to its medical, ethical and scientific policies. Personnel, compensated in full or in part with funds from CANFAR, shall not be considered to be employed by CANFAR, but to be employed by the sponsoring institution.

CANFAR is not responsible for:

- Over-expenditure by investigators.
- Commitments within the approved budget, made during the approved budget period, which have not been paid within thirty days after the end of the budget period.
- Expenditures made before the starting date of the grant.
- Expenditures made if ethics approval is not received during the duration of the funding period.

8. APPLICATION COMPONENTS

Applications for grants must consist of three separate documents: the application form, a grant proposal, and an appendix. The details for these components are outlined below. The CANFAR template must be used for all 3 documents. All applications must be submitted as 12 point in Times New Roman font.

a. APPLICATION FORM

The official Cycle 30 CANFAR Application Form must be used when submitting a grant request. It allows the applicant to provide general information concerning their project and institution. The form also contains an agreement section that must bear the original signature of an official authorized to sign for the applicant institution.

b. GRANT PROPOSAL

Grant proposals should provide a clear outline of the intended purpose and execution plan for the project written in technical terms. The proposal alone must not exceed 5 pages for \$40,000 grants.

c. APPENDIX

This portion of the application should adhere to a 15-page limit.
It may include:

- References, 2 pages max.
- Relevant publications, 2 pages max.
- CV, any professional format
- Any supplementary information, including tables and figures
- Letters of Agreement from collaborators
- Letters of Ethics Approval

9. APPLICATION SUBMISSION PROCEDURE

a. PROCEDURE

All applications must be submitted electronically in 12 pt. Times New Roman font. A letter of intent is not required as a part of the application.

Applications for grants must be received online no later than **5:00 p.m. EST on Friday February 28, 2020**. Applications received late, unsigned, or exceeding the budget limitations will not be accepted.

All applications will only be received online through WeTransfer (wetransfer.com), and must be submitted electronically as three separate documents. No physical copies are to be submitted.

An account or log-in is not required to submit through online platform WeTransfer

- 1) Go to www.wetransfer.com

- 2) Add all three files to the indicated space and submit to research@CANFAR.com. Place “CANFAR Research Grant Application, *Principal Investigator name*” into the subject line. This does not require creating an account or logging in.

Note: Upon receipt of an application, you will receive a confirmation notice from WeTransfer. CANFAR will send a second email to the Principal Investigator confirm the application has been received and processed. At that time, you will be assigned a grant application number. Please contact the CANFAR office if you do not receive both emails within 7 days of submission of application.

b. LANGUAGE

Proposals submitted in French will be accepted but applicants are encouraged to submit their proposal in English or with a translated copy, to ensure the widest possible review base.

c. RESUBMISSION

Applications that are approved, but do not receive sufficient priority to be funded, may be resubmitted for consideration during a subsequent funding cycle.

Principal Investigators may only apply for one grant per funding cycle; if two or more applications are submitted to CANFAR only the grant of lesser value will be considered. If the investigator wishes to submit a new grant application in lieu of one that has already been submitted, the investigator must first withdraw their initial application.

10. RESPONSIBILITIES OF APPLICANTS

It is expected that applicants for CANFAR awards will participate in the CANFAR scientific review process if requested. Any applicant who does not participate in the review process for 2 consecutive cycles will be disqualified from consideration to receive CANFAR awards.

No applications will be considered if reports are outstanding for any previous CANFAR awards. Applicants with outstanding reports will be removed from consideration prior to the commencement of the review process.

Publications, poster and oral presentations resulting from research supported by CANFAR must contain an acknowledgment of the organization in name or logo.

11. BUDGET

Budgets submitted must realistically reflect the cost of the project. Applications must also indicate the amount, term, and source of all other funds granted or requested for this and other research projects carried out by the principal and co-investigators. Project titles must be included.

CANFAR does not fund any indirect costs for research grants. CANFAR grants are not intended to cover the total cost of the research proposed. The grantee institution is expected to provide the required physical facilities, administrative services, and other supporting services normally available in an institution.

CANFAR will consider funding such items as:

- Professional and technical assistance salaries
- Page costs in refereed scientific journals
- Secretarial personnel (if the project cannot proceed without this item)
- Scientific equipment (directly necessary for completion of the project)
- Laboratory furniture and supplies (if the project cannot proceed without these items)
- Construction and laboratory alterations (if the project cannot proceed without this)

The maximum amount allowed under the budget category of travel is \$1,000.

Usually, CANFAR does not provide funds for such items as:

- Telephone services
- Per diem charges for hospital beds
- Purchasing and binding of books and periodicals
- Dues and memberships
- Recruiting and relocation expenses
- Non-medical or personal services to patients
- Office furniture, equipment and supplies
- Library services
- Rental of facilities (except in exceptional circumstances)

If ethics approval is not obtained throughout the duration of the project, CANFAR must be notified and all funds must be returned within sixty days following the ethics committee's decision.

The Principal Investigator may make minor alterations within the approved personnel, equipment and supply budget that does not exceed 5% of the total award. Should alterations need to be made in other categories or alterations that exceed 5% of the total award, CANFAR must be consulted in writing and provide written approval. Requests should include the categories to be debited and credited to effect the re-budgeting, indicating clearly the potential benefits to the project, why funds are available in the category to be debited and why the need for the proposed changes could not have been foreseen at the time of the initial application.

12. CONSULTANTS

Consultants are considered special, temporary or highly technical paid personnel who are not employees of the sponsoring institution and whose services are infrequent. Reimbursement of consultants with CANFAR grant funds may occur only where such consultants are requested in the original grant application budget, or are subsequently requested in writing and approved in writing by CANFAR.

13. COLLABORATORS

Collaborators are considered scientific and technical personnel from the sponsoring or other institutions participating in the research project without compensation. If one or more collaboration agreements are essential or important to completion of the project, a letter of agreement from each collaborator should be added to the appendix.

14. SUBCONTRACTORS

Subcontractors are considered paid scientific and technical personnel who are not employees of the sponsoring institution, whose services are needed for completion of the project. Subcontracting cost must be anticipated and listed in the application budget.

Part 2: Funded Grants Overview

Letters of approval will be sent out in late August 2020. Being funded by CANFAR is a unique opportunity and requires some extent of participation from the research team. Essential components of holding a CANFAR grant include midterm, final project and financial reports, periodic communication with CANFAR and appropriate recognition of CANFAR within the context of publications or project presentations.

1. PAYMENTS

Payments will only be made to the recipient's sponsoring institution. Ordinarily, \$40,000 grants are paid in a single cheque up front following confirmation.

2. FINANCIAL RECORDS AND REPORTS

A separate accounting must be maintained for CANFAR grants by the sponsoring institution. This accounting, with substantiating invoices and payrolls, must be available at all times during normal business hours for audit by CANFAR.

Final reports of expenditures must be signed by the responsible financial officer of the grantee institution and submitted to CANFAR at the end of the grant period. Unexpended funds from an existing grant cannot be carried forward to a renewal or any other grant. Such unexpended funds must be returned to CANFAR along with the final financial report.

3. COMMUNICATIONS AND REPORTING

a. COMMUNICATIONS REQUIREMENTS

- The Principal Investigator will be the primary liaison for communication related to CANFAR funded research.
- Contribute to the HIV/AIDS research community by sharing and learning best practices with the goal of improving knowledge transfer in the field.
- Provide CANFAR with a short biography (200 words) of the Principal Investigator on the project.

b. MIDTERM & FINAL REPORTS

For all \$40,000 Grants

Midterm Report: March 31, 2021 Final Report: October 31, 2021

A short mid-term should cover any progress made. An overview template will be provided to successful grant recipients. A financial report is not required with midterm reports.

A final report should review the study. Two versions of this report must be submitted – a technical and a layperson’s report. An overview template will be provided. A financial report must be provided in addition to the two project summaries.

Reports of research accomplished are an important part of new or renewal applications and must be sufficiently comprehensive to indicate their significance. These progress reports are essential in the funding process, and must be presented on time. Reprints of relevant publications or presentation notes should be submitted to CANFAR and may substitute for a written report. Reports of unpublished information will be considered confidential upon request.

4. PUBLICATIONS / FUNDING ACKNOWLEDGEMENT

Publications resulting from research supported by CANFAR must contain an acknowledgment, such as:

“This work was supported (in whole or in part) by an Innovation Research Grant from CANFAR, the Canadian Foundation for AIDS Research”.

If the grant is a named award the named award should be reflected:

“This work was supported (in whole or in part) by CANFAR, the Canadian Foundation for AIDS Research Innovation Research Grant”.

Grantees are required to deliver a reprint of such publications within one month of the publication.

Presentations of results supported by CANFAR either as an oral or a poster presentation, must also contain an acknowledgement of CANFAR in name and logo. High quality logos will be provided to successful grant recipients.

5. PATENTS

By accepting this grant, the grantee and the grantee institution acknowledge and agree to be bound by any CANFAR grant terms and conditions, policy or guidelines on research, ethics, privacy and intellectual property. CANFAR allows the grantee and the grantee institution to manage the grant’s day-to-day activities following the grantee institution’s established policies, procedures and practices so long as they are equivalent to (or more rigorous than) CANFAR policy and requirements under said terms and conditions. The grantee shall inform CANFAR promptly, in writing and with relevant details, of any circumstance that would cause the grantee and/or the grantee institution, to not be in compliance with any provision of such terms and conditions, policies or guidelines.

As between the grantee, the grantee institution and CANFAR, the grantee institution will own all right, title and interest, including to the extent applicable to all patents, copyright, trademarks and other legal rights in and to all inventions (whether or not patentable) products of the mind, tools, discoveries, technological advances, compilations, computer software, printed materials and other works of authorship, created, made, conceived or reduced to practice, by the grantee or any of its co-investigators, students, trainees, staff or collaborators at other institutions, in the course of conducting research using funding provided by CANFAR (collectively, the “Research Results”). Grants are made under the condition that patents or any other appropriate form of intellectual property protection shall be assessed, asserted, maintained, defended and pursued, by the grantee or the grantee institution, for any Research Results.

The grantee and the grantee institution must further acknowledge and agree that CANFAR has an interest in any such Research Results. The grantee, on behalf of the grantee institution, shall within 30 days, fully disclose to CANFAR any such Research Results. Prior to any application for patent or any other form of intellectual property protection, the grantee shall also notify CANFAR, in writing and with relevant details, of the intention of the grantee institution to apply for a patent or claim on any other form of intellectual property protection and the grantee institution shall not do so until CANFAR has waived, in writing, part or all of its interest in any such Research Results. If CANFAR does not waive part or all of its interest, it shall benefit from:

- (1) A right of first refusal on any commercialization in any form of any such Research Results and;
- (2) an irrevocable, non-exclusive, worldwide, fully paid-up, royalty free, perpetual license, with the right to grant sublicenses to others, to use and to practice all Research Results for non-commercial research purposes related to the diagnosis, cure, treatment, and/or prevention of AIDS and its complications. CANFAR will notify the grantee and the grantee institution when it intends to grant a sublicense pursuant to the terms herein, to identified intended sublicensee. CANFAR will consider in good faith any reasonable concern or objection raised by the grantee and/or the grantee institution with respect to an intended sublicensee. In all cases, in acknowledgement of CANFAR’s provision of funding, the grantee institution shall pay to CANFAR a royalty in the amount of 10% of Net Income, up to an aggregate amount equal to 5 times the total funding provided by CANFAR, in connection with the grant under which the applicable Research Results were developed. For these purposes, “Net Income” shall mean gross income received by the grantee and the grantee institution from the licensing, sale, transfer or other commercial utilization of any Research results, less payments that the grantee and/or the grantee institution makes to any applicable inventors in accordance with the grantee institution’s policies and less direct, reimbursed out-of-pocket expenses paid by the grantee and/or the grantee institution to third parties for patent or licensing any Research Results.

Before, during and after the issuance of patents or any other rights relating to any such Research Results, the grantee and the grantee institution agrees to use their best efforts to vigorously and effectively assess, assert, maintain, defend and pursue by any reasonable means, the development, valorization, monetization, licensing and utilization of the Research Results to further CANFAR’s interests and to ensure that said results are benefitting the Canadians and AIDS Research in Canada.

In the event that the grantee institution chooses not to pursue patent protection for any Research Results, in any jurisdiction or country, or abandons or intends to abandon a patent application or

an issued patent claiming any invention in any jurisdiction or country, the grantee institution shall promptly inform CANFAR of such decision, and at CANFAR's request, the grantee institution shall assign, license or otherwise transfer any or all rights in or control of such invention in such jurisdiction to CANFAR. The grantee institution shall notify CANFAR of its intention to abandon in any jurisdiction or country any patent application claiming an invention or any issued patent claiming an invention, at least 90 days in advance of any deadline that would cause such application or patent to be abandoned or otherwise lapse in such jurisdiction or country, and of its intention not to pursue patent protection for any invention in any jurisdiction or country at least 90 days in advance of any statutory bar that would prevent CANFAR from obtaining patent protection for such invention in such jurisdiction.

Moreover, the grantee institution shall take appropriate steps to commercialize any Research Results in a timely fashion, either itself or through one or more licensees, in the field of diagnosing curing, treating and/or preventing AIDS and its complications. If CANFAR determines in good faith, after consulting with the grantee institution, that said institution has not itself or through one or more licensees diligently pursued such commercialization, within a 2 year period of time, then at CANFAR's request the grantee institution shall meet with CANFAR to discuss a commercialization plan for the Research Results that is reasonably satisfactory to CANFAR. If said institution is unable to commercialize the Research Results within the timeframe specified in the commercialization plan, then at CANFAR's request said institution shall assign, license or otherwise transfer any or all rights in or control of such Research Results to CANFAR, unless said institution can show reasonable cause as to why it should retain title to or control of such Research Results.

The grantee institution shall provide CANFAR with written notice of its intention to transfer, sell, license, assign or otherwise grant any party the exclusive right to use or practice any Research Results (henceforth collectively a "License") at least 30 days prior to granting such License. Such notice shall describe in reasonable detail the proposed License to be granted, including without limitation: (1) a detailed description of the Research Results to be transferred; (2) facts and circumstances relevant to the grantee institution's decision to grant the License, (3) the nature, terms and conditions of the License, and (4) the identify of the prospective licensee.

6. OWNERSHIP OF EQUIPMENT

Equipment purchased with funds provided from grants or extensions thereof shall be under the direction and control of the grant's Principal Investigator.

Title to such equipment shall be vested conditionally in the sponsoring institution during the active period of the grant. At the conclusion of the grant period, title shall be vested in full in the sponsoring institution.

In the event of a transfer, equipment that is movable and necessary for continuation of the research project will be transferred to the new sponsoring institution. Title to such equipment then will be vested conditionally in the new sponsoring institution, while title to remaining equipment, if any, will be vested fully in the prior institution at the time.

7. RELINQUISHMENT OF GRANT

In the event a sponsoring institution wishes to relinquish a grant prior to the end of the grant period, written notice is required. The notification should be signed by the Principal Investigator and by an official of the sponsoring institution authorized to sign in such matters.

Financial records and reports should be received by the Foundation within 60 days of the revised termination date. No obligations incurred after the termination date will be reimbursed and any unexpended funds must be returned with the final financial report.

8. TRANSFERS AND EXTENSIONS

a. TRANSFERS

There are situations where a grant will be transferred to another investigator due to incapacitation of the Principal Investigator for an extended period, or else where the Principal Investigator wishes to accept a position at another institution and to transfer the funds to that institution. In the former case (death, or incapacitation for an extended period), CANFAR should be notified in writing by an authorized official of the sponsoring institution. This letter should be counter-signed by the proposed new Principal Investigator, whose current curriculum vitae should be enclosed.

Where transfer of the investigator to another institution is contemplated, the Principal Investigator should write CANFAR expressing intent to transfer the grant and requesting CANFAR approval to do so. If any equipment is to be transferred, it should be listed within this written request. This letter should bear the endorsement of an official of the original sponsoring institution attesting to its willingness to relinquish the grant. Concurrently, the investigator should initiate a letter to CANFAR from the proposed new sponsoring institution indicating its willingness to accept and administer the grant. A grant application face page and budget should be completed and submitted by the new grantee institution. Written approval of any grant transfer will be sent to the Principal Investigator by the Research Manager.

b. EXTENSIONS

Upon written request by the Principal Investigator, the ending date of any grant may be extended without additional funds for up to one year, following approval by the Research Manager in consultation with the Chairperson of the Scientific Advisory Committee.