



AHFMR

ALBERTA HERITAGE FOUNDATION FOR MEDICAL RESEARCH

Terms and Conditions for AHFMR Interdisciplinary Team Grant Funding

Section 1 - Background

This document sets out the terms and conditions for Interdisciplinary Team Grant Funding. These terms and conditions are applicable to Interdisciplinary Team Grant recipients. For the purposes of the Institutions involved, these terms and conditions work in conjunction with the January 1, 2008 Memoranda of Understanding regarding Interdisciplinary Team Grant administration between the Alberta Heritage Foundation for Medical Research (“AHFMR” or the “Foundation”) and each of the University of Alberta and the University of Calgary. These terms and conditions supersede the 2008 Interdisciplinary Team Grant Start-up Terms and Conditions, if applicable. The electronic form of these terms and conditions, available at <http://www.ahfmr.ab.ca/grants/docs/ITG%20Terms%20and%20Conditions%20090309.pdf>, shall be considered the official Terms and Conditions. Hard copies of this document should not be considered official.

Section 2 – Definitions

- (a) “Team Leader” means the Team Leader identified first in Section 1: Personal Data of the Application.
- (b) “Team Co-Leaders” means collectively the investigators identified as Team Leader or Team Co-Leaders in Section 1: Personal Data of the Application.
- (c) “Team Member” means an investigator who has signed the Application as a participating member in the Research Program, or who has been added to the Research Program as an investigator at a later date and where such addition has been acknowledged in writing by the Foundation.
- (d) “Team” refers to the Team Leader, Team Co-Leaders, and Team Members collectively.
- (e) “Application” means the full Interdisciplinary Team Grant application submitted by the Team, award of which is the subject of an Offer of Grant by AHFMR.
- (f) “Eligible Expenditures” means those allowable costs as set out in the ITG Award guidelines at http://www.ahfmr.ab.ca/grants/team_guidelines.php.

- (g) “Knowledge Transfer Plan” means a planning document including the following elements:
- a description of target audiences for knowledge transfer,
 - a synopsis of the information to be transferred to each audience,
 - a description of the timing of such communications, both in absolute terms and relative to Research Program milestones,
 - a description of the formats to be used in delivering information to the target audiences, and
 - A description of the desired impact of such information transfer.
- (h) “ITG Funding” means the total Interdisciplinary Team Grant (as defined in AHFMR Program Guidelines at http://www.ahfmr.ab.ca/grants/team_guidelines.php) awarded to the Team;
- (i) “Lead Institution” means the home institution of the Team Leader. This institution will be the administrative institution where funds will initially flow.
- (j) “Offer of Grant” means the official letter informing the Team Co-Leaders that their Application has been selected to receive funding.
- (k) “Notification of Award” means the official notification of a transfer of funding from AHFMR to the Lead Institution, signaling the commencement or amendment of a grant or award.
- (l) “Participating Institutions” means collectively the institutions employing Team Members.
- (m) “Research Management Plan” means a planning and budget document including the following elements:
- A quarterly activities and deliverables schedule, divided by sub-project.
 - Quarterly expenditure projections by sub-project and consolidated to provide quarterly total expenditure projections
 - Critical path analysis
 - Identification of risk factors and mitigation strategies
 - A dispute resolution mechanism
 - An operational plan for satisfying ITG Award program objectives including:
 - Interdisciplinary training
 - Knowledge transfer and exchange for health outcomes
 - A communications plan
 - Impact assessment and performance management measures
- (n) “Research Program” means the research and related activities described in a Team’s Application;

TERMS AND CONDITIONS

Section 3 – Transfer of Funding

Upon commencement of the ITG Funding, AHFMR will transfer start-up funding to the Lead Institution, to be administered according to Section 4(3) of this document (Financial Administration). The Team Co-Leaders will administer the start-up funding as per these terms and conditions for the purpose of completing the Research Management Plan and preparing for the start of Research Program activities.

Upon completion of the Research Management Plan, the remainder of the award will be transferred to the Lead Institution and funds will be released in the amounts and according to the schedule set out in the Notification of Award. The Team Co-Leaders will administer the award funding as per these terms and conditions for the purpose of completing the Research Program.

Section 4 – Grant Information

(1) Term of Grant

ITG Funding is effective as per the Offer of Grant letter, but may be extended with the written consent of AHFMR. Any funds remaining upon the completion of the Research Program will be returned to AHFMR. For clarification purposes only, teams with a start date of April 1, 2008 have a term ending March 31, 2013. Teams with a start date of April 1, 2009 will have a term ending March 31, 2014.

(2) Eligible Expenditures

Research expenditures will be allowed if applicable ethics, biohazard and other approvals have been received for the Research Program, and where AHFMR has been notified of such receipt of approvals. This notification will take the form of the Statement of Compliance in Schedule B.

In no instances will the Team Co-Leaders use or authorize the use of ITG Funding for expenditures outside those defined as Eligible Expenditures without AHFMR approval. AHFMR may consider special requests on a case by case basis.

(3) Financial Administration

The Team Leader will direct the Lead Institution to transfer funds to Participating Institutions under appropriate transfer documents, as per the Lead Institution policies, which confer these terms and conditions on the Participating Institutions and team investigators.

The Institutional policies applicable to each Team Co-Leader will govern the Team Co-Leaders' abilities to overdraw ITG Funding research accounts.

(4) Reporting Requirements

The Team Co-Leaders shall report to AHFMR on a quarterly basis, within 30 days of the end of each three-month period ending June 30, September 30, December 31 and March 31. Quarterly reports will include information on a) specific milestones achieved for each project or theme area relative to expectations, b) unofficial expenditures relative to expectations, c) any revisions to the projected deliverables schedule or expenditures budgeted in the Research Management Plan. Quarterly reports are intended to provide AHFMR with the team's progress toward milestones and use of funds and are expected to be less formal than annual reports. Quarterly reports satisfactory to AHFMR initiate the release of the next quarter funding as outlined in the funding schedule of the Notification of Award.

The Team Co-Leaders will submit an annual report to AHFMR within 30 days of the end of each 12 month period ending March 31, providing information and following a format set out in reporting guidelines provided to the Team Co-Leaders by AHFMR.

A review will be conducted in Year 3 of the Research Program, as indicated in the Interdisciplinary Team Grant application guidelines at http://www.ahfmr.ab.ca/grants/team_guidelines.php. The format and process of this review will be established through discussions between AHFMR and Teams in Years 1 and 2 of their respective Research Programs.

The Team Co-Leaders will prepare and submit a final report to AHFMR within 90 days of the end of the period of ITG Funding, providing information and following a format set out in reporting guidelines provided to the Team Co-Leaders by AHFMR.

The Team Co-leaders shall immediately inform AHFMR of any changes to membership of the Team, and shall inform the AHFMR in a timely manner of changes to the research management plan arising from Team membership changes. The AHFMR reserves the right to terminate the ITG Funding, at its sole discretion, in the event Team membership changes result in material alterations to the Research Program as approved at the time of the Offer of Grant.

(5) Acknowledgement of Foundation Support

The Team Co-Leaders shall acknowledge Foundation support of the project in the manner prescribed in the Offer of Grant letter, and use of Foundation marks and logos as set out at <http://www.ahfmr.ab.ca/logo/>.

(6) Statements of Compliance

(a) *Grants Management*

The Team Co-Leaders agree to abide by the policies and guidelines that govern ITG Funding and general terms and conditions that govern all Foundation grants, as applicable, available at www.ahfmr.ab.ca. For university-based researchers, the Institutions represent that the institution at which any team member is employed has signed the Memorandum of Understanding with the Tri-Council on "Roles and Responsibilities in the Management of Federal Grants and Awards" and

clearly understand that the same conditions apply to all Alberta Heritage Foundation for Medical Research Awards.

(b) Research Integrity

As a condition of accepting ITG Funding, the Lead Institution represents that there is a statement of integrity regarding research and scholarship in place at the institutions where team members are employed and that the team members will have signed as part of their employment contracts or that members will adhere to through institutional policy. The form of this representation is presented in Schedule B, where the Lead Institution and Team Leader will gather signatures from the Participating Institutions and submit completed forms to AHFMR.

AHFMR also has a general Statement of Research Integrity which governs researchers in receipt of Foundation funding. More information about this policy may be found at www.ahfmr.ab.ca.

(c) Ethics and Biohazard Approvals

No Participating Institutions will release ITG Funding to Team Members prior to the issuance of ethics approval as per the policies of each Participating Institution. As a condition for accepting funding, the Lead Institution commits to inform AHFMR of the applicable ethics, biohazard and other approvals required for the Research Program. The form of this notification is included in Schedule B, where the Lead Institution and Team Leader will gather signatures from the Participating Institutions and submit completed forms to AHFMR.

(7) Research Management Plan

In order to assist AHFMR in its administration and reporting of the ITG Award, and to assist the Team Co-Leaders in effectively managing the Research Program, the Team Members acknowledge that a Research Management Plan is required as an early deliverable in the Research Program.

The Team Co-Leaders agree to produce and submit a Research Management Plan to AHFMR within 90 days of the commencement of the ITG Funding. Transfer of the remainder of the ITG Award, according to the conditions and schedule outlined in the Notification of Award, shall be conditional on AHFMR's receipt, review and approval of the Research Management Plan. Foundation staff will act as facilitators to assist the Team Co-Leaders in preparing the Research Management Plan.

(8) Knowledge Transfer Plan

In order to create a positive impact on health, the Team Members acknowledge that the knowledge generated during the Research Program must be transferred to stakeholders that could integrate such knowledge into health care planning, delivery, health education or product and service commercialization.

During years 2 and 3 of the Research Program, The Team Co-Leaders agree to work with Foundation staff to produce a Knowledge Transfer Plan. The Knowledge Transfer Plan will be among the elements of the Research Program to be reviewed during the Year 3 review outlined in Article 4 (Reporting Requirements).

(9) Intellectual Property Management Agreement

AHFMR makes no claim on intellectual property rights arising from the Research Program. Such rights will be governed by the policies of the Participating Institutions. Team Members acknowledge that success of the Research Program will require the execution of an agreement among the Participating Institutions regarding intellectual property management. Such an agreement should address the following:

- Team Members' obligations under applicable IP policies to disclose new intellectual property,
- systems for receipt, evaluation, protection of such intellectual property,
- systems for identification, evaluation and negotiation of technology transfer opportunities,
- leadership and financial rights and responsibilities for such activities.

Within 90 days of the commencement of the ITG Funding, the Team Co-Leaders will initiate negotiations of an intellectual property management agreement through discussions with applicable institution departments or agencies. The Team Co-Leaders will work with such applicable institution departments or designated organizations to facilitate the timely completion of such an agreement. The Lead Institution will provide AHFMR with a copy of the agreement upon execution by the Participating Institutions.

(10) Additional Activities

There is an expectation that the Team Co-Leaders will assist AHFMR to encourage the dissemination of health research evidence and research best practices. The Team Co-Leaders may, therefore, be required to participate in presentations of team-building activities, ongoing research or final findings to health or research policy-makers, administrators, care providers or others. Team Co-Leaders may also be required to assist AHFMR's communication staff in preparing summaries of findings for on-line or paper publication directed to stakeholder audiences outside the research community. Further, there is an expectation that Team Co-Leaders will assist AHFMR in fostering core skills in interdisciplinary research management. Team Co-Leaders may, therefore, be required to participate in annual meetings with team co-leaders from other ITG teams or other events, and to contribute to the content of such meetings.

Schedule A – AHFMR Interdisciplinary Team Grant - Statement of Expenditures for Annual Report

Reporting Period: 12 months ending _____, March 31, 20__

	Budgeted¹	Actual	Variance	Variance Explanation
Revenues				
AHFMR Funding				
Total Revenues				
Expenditures				
<i>Human Resources</i>				
Eligible ² Investigator Support				
Trainee Support ³				
Non-investigator research staff ⁴				
Program / project managers, non- research / administrative staff, other staff ⁵				
<i>Research Expenditures</i>				
Major Equipment (>\$10,000)				
Research Operating Expenditures <i>(e.g. minor equipment, consumables, research services contracts, other research costs)</i>				
General administrative cost <i>(e.g. office supplies, videoconference, other administrative costs)</i>				
Knowledge Transfer <i>(including travel⁶, communications, presentation costs, advisory services related to research application, printing, advertising, promotion, etc.)</i>				
Other expenditures ⁷				
Total Expenditures				

¹ As per most recently submitted Research Management Plan

² As per Section 4 (Allowable Costs) of the ITG Program Guidelines
http://www.ahfmr.ab.ca/grants/team_guidelines.php#costs

³ Including stipends, training and training related travel.

⁴ Including research associates, technicians, etc.

⁵ This also includes release-time payments to enable employees of practice-, policy- or community-based partners to participate in the research program (with limits as set out in the ITG program guidelines), and salaries for professional knowledge exchange/translation coordinators.

⁶ This includes all travel related to team activities, less trainee training-related travel.

⁷ Please provide a list of general expenditure categories included within "Other expenditures"

Schedule B – AHFMR Interdisciplinary Team Grant - Statement of Compliance and Ethics Approval

Each institution employing a Team Member will indicate which of the following statements apply:

The following research ethics guidelines are applicable to the Research Program	Documentation is with Institution	Not required for this research
Tri-Council Policy Statement: Ethical Conduct for Research Involving Humans	<input type="checkbox"/>	<input type="checkbox"/>
Canadian Council on Animal Care: Guide to the Care and Use of Experimental Animals	<input type="checkbox"/>	<input type="checkbox"/>
Health Canada Population and Public Health Branch Laboratory Biosafety Guidelines	<input type="checkbox"/>	<input type="checkbox"/>
Guidelines/Legislation on Stem Cell Research	<input type="checkbox"/>	<input type="checkbox"/>
Environmental Impact Compliance	<input type="checkbox"/>	<input type="checkbox"/>

Each institution at which a Team Member is employed will notify AHFMR of any changes to any of the above.

The institution at which the Team Member(s) is(are) employed has a statement of integrity regarding research and scholarship in place to which the Team Member(s) adhere(s) through policy or which the Team Member(s) has (have) signed as part of their employment contract(s).

The Team Member(s) and the institution(s) are also aware of their responsibility to acknowledge the support of AHFMR in any communications regarding this research.

I assert that the statements made above are correct:

Name(s) of Team Member(s)

Name of Institution

Name of Institutional Signing Authority

Signature

Date