

HEART AND STROKE FOUNDATION (HSF)-ONTARIO  
PROVINCIAL PERSONNEL AWARD MANAGEMENT GUIDELINES  
2015/2016

**1. RESEARCH INTEGRITY**

Responsibilities of researchers, institutions and the HSF with respect to research integrity are outlined in the [Heart and Stroke Foundation \(HSF\) Framework: Responsible Conduct of Research](#).

**2. ETHICS AND SAFETY**

By signing an award application, applicant, institutional and mentor (as applicable) signatories are confirming to HSF that projects included within the proposed program of research will not be undertaken until they have been endorsed as ethical and safe. It is the responsibility of the awardee and the institution to ensure all required ethics and safety documents remain valid and in place for the duration of the award.

**3. NON-EMPLOYEE STATUS**

The granting of an award is deemed to establish neither an employer-employee relationship nor a partnership between the grantor and the awardee.

**4. PUBLIC INFORMATION**

Information regarding an awardee's program of research, including host institution, department, awardee name, co-applicant and team member names, positions, credentials, program title, funding amounts, award duration and the lay summary may be placed into the public domain or included in HSF publications without notification. Awardees are cautioned not to disclose information that could endanger a proprietary position.

HSF may approach industry and/or other funding sources for partial funding of a proposal that it has approved. Award information, in addition to the specifics outlined above, of funded individuals who wish to be considered will be provided to prospective/existing donors in an effort to match donor interests with existing funded awards. Successful matches would result in donor stewardship activities, inevitably involving the awardee directly.

**5. AWARDEE CHANGE IN STATUS**

If an awardee's formal affiliation with his/her host institution terminates, award funding will be suspended until documented permission from HSF is obtained for its continuation. The awardee may request that the program of research continue at another HSF-eligible host organization in Ontario at which the awardee is formally affiliated.

To request documented permission from HSF to change an awardee's formal affiliation with his/her host institution, the following documentation must be sent to HSF at least thirty (30) days in advance of the requested change.

- i. A letter from the awardee requesting change in formal affiliation and confirming the following information:
  - Awardee's reason for departure;
  - The effective date of change;
  - An interim research progress report;
  - Plans for the continuation of the research program and explanation of any impacts on the approved plan and timeline.

- ii. A formal statement of account from the host organization's finance department, as of the notice date.
- iii. A letter from executive authority of the new research program host organization confirming that adequate resources and supports are available for the research program to continue, as approved.

Upon receipt of the above information, HSF will conduct a scientific review before rendering a decision on the continuation of the award. Failure to address these requirements will result in award termination by HSF.

## 6. SIGNIFICANT CHANGES TO AWARD OBJECTIVES

Notwithstanding standard reporting requirements, changes that **significantly alter the objectives/direction** of a personnel award must be reported immediately to HSF. Awards with changes to their objectives will be reviewed by HSF scientific advisors and are subject to conditions being applied, up to and including termination if deemed to deviate significantly from the original peer-reviewed and approved proposal.

## 7. LEAVES OF ABSENCE

In the event of an awardee leave of absence, HSF will consider deferring payment on the award until the awardee returns to work. The end date of the award will be extended for the same period of time that the awardee was on leave.

Specific details agreed to with HSF regarding the leave must have the endorsement and support of the host institution, provided through a letter from the Dean.

### PARENTAL LEAVE

A written request for parental leave must be received by HSF 90 days before the leave is to begin and must include the expected date of return. The length of leave must be in keeping with institutional policy. HSF will forward a letter to the awardee confirming the start and end date of the leave, and the extended end date of the award.

### MEDICAL OR FAMILY MEDICAL LEAVE

If an awardee is absent for more than 30 consecutive days due to medical or family medical leave, HSF must be notified by the awardee or his/her institution. In cases where medical leave is for an indefinite period, HSF will assess the situation annually with the awardee and/or his/her institution. Such situations, and the continuation of funding, will be assessed by HSF on a case-by-case basis.

### SABBATICAL LEAVE

Written notification of sabbatical leave must be received by HSF 90 days prior to the start of the leave. Leave of up to one year is permitted. Notification must specify dates and location of the leave, and a short summary of the research to be conducted. The length of leave must be in keeping with institutional policy. HSF will forward a letter to the awardee confirming the start and end date of the sabbatical leave and the extended end date of the award.

### OTHER PERSONAL LEAVE

For periods of leave not specified above (for example, acts of God, serious personal matters), Awardees should provide written notification to HSF 30 days prior to the start of the leave, or as far in advance as is practicable. In instances where leave must occur right away, HSF should be notified immediately.

## 8. REPORTING

Reporting requirements are defined within personnel award program guidelines and reiterated in award letters. HSF will provide required reporting templates (progress, final, close-out reports). If reports are not submitted in the timeframes

specified, award payments will be suspended and subsequent grant/award applications will not be permitted until such time as reporting is up-to-date.

Awardees should be aware that the Foundation may follow-up for additional reporting (in particular, publications) after the Close-Out Report has been submitted.

### 9. NOTICE OF PUBLICATIONS/HSF ACKNOWLEDGEMENT

An awardee must acknowledge the support of HSF in all scientific publications, presentations and media releases related to their award with the following wording: *"This work was supported by a personnel award from the Heart and Stroke Foundation, Ontario Provincial Office."* In addition, a copy of publications must be submitted with reports as indicated in report templates.

To facilitate the implementation of HSF's communication efforts, HSF requests that it be notified 30 days in advance of the publication date of any major publications arising from research funded by HSF.

### 10. KNOWLEDGE TRANSFER AND EXCHANGE

#### OPEN ACCESS POLICY

HSF requires that all researchers supported in whole or in part through HSF make their research outputs publicly available as soon as possible but no later than six months after the final publication or availability of results. In this policy, HSF defines research outputs as peer-reviewed journal publications, research data, and the results of clinical trials that will not be published in peer-reviewed journals. Compliance with the *Open Access to Research Outputs* policy is a condition of acceptance of all HSF research funding. Please see HSF's Open Access to Research Outputs available at: <http://www.hsf.ca/research/en/hsf-open-access-research-outputs-policy-guidelines>.

### 11. MARKETING AND COMMUNICATIONS

In this increasingly difficult economic climate, raising funds to support research is becoming progressively more difficult. More than ever, we need to let our donors and the public know that their donations are being used to support world class research. Funded researchers are critical to explaining to the public the role of research in increasing heart health and reducing the burden of heart disease and stroke.

Awardees and their institutions should expect to be called upon to assist and/or collaborate with HSF in its marketing and communications efforts to enable continued support for its mission. This may be in the form of presentations, funding announcements, photo opportunities, advocacy, media interviews, media releases and other communication vehicles.

The awardee and the host institution will provide HSF with the opportunity to participate in related media releases, press conferences, and other media or stakeholder communications activities as a joint partner, and will provide HSF with sufficient notice of such activities in order to engage in the planning and development phase, and to incorporate a quotation from HSF in any media releases.

HSF also requires that host institutions take an active role in publicizing awarded HSF grants as an additional means of generating public support for HSF's mission.

### 12. AWARD RENEWALS

Not all HSF personnel awards are renewable. Refer to specific program guidelines for details.

## 13. CLOSING/TERMINATION OF AWARDS AND APPLICATION OF CONDITIONS

HSF will close an award when the full award term has expired.

In consultation with the awardee and host institution an award may also be terminated, or special conditions may be placed upon it, when one or more of the following circumstances occur:

- The awardee no longer holds an eligible position at an HSF-eligible institution;
- An awardee has failed to make appropriate arrangements to move an award to a new institution (see “Awardee Change in Status” section);
- Program requirements are not met (e.g., unsatisfactory progress, research work not consistent with proposal objectives, late progress reports, discontinuation of a partner’s contributions)
- Any verified transgression related to research integrity or ethical misconduct.

Decisions regarding termination (including effective date), or special conditions, will be made by HSF in consultation with its scientific advisors.

## 14. FINANCIAL MATTERS

### GENERAL

Each year, new awards and continued funding are conditional on the approval of the Foundation at its sole discretion on an annual basis, and on the availability of adequate funds to the Foundation. HSF reserves the right to amend any award in response to changing economic conditions. Continuation of an award will be at the discretion of the Foundation on a case-by-case basis.

The Foundation will provide confirmation of overall budget commitment for the next year of funding via web posting on the HSF Research website by Spring each year.

### CLAIMS

Receipts for research expenses are to be submitted to the Financial Services Department of the awardee’s institution which, in turn, is responsible for invoicing the Foundation for all expenses claimed against the award. Funds are to be used for the actual expenses of the program of research – salary, benefits, and research travel allowances (if applicable) - only.

Expenditures in excess of the amount of the approved award are not the responsibility of the Foundation, nor are expenses incurred prior to the start date of the award, or following the closure of the award.

Final claims are due to HSF by July 31st of each year. HSF will issue a general reminder of award claim deadlines to awardees and their institutions by mid-May each year.

### AUDIT

HSF reserves the right to audit the award financial accounts to confirm that funds were spent for approved purposes in support of the research goals and objectives, and to require the reimbursement of funds not used for approved purposes.

## 15. SERVICE STANDARDS

The Foundation strives to maintain a high level of service, transparency, equity and fairness in any/all issues regarding the management of awards that it funds.

## GENERAL ADMINISTRATIVE QUESTIONS

An awardee or institution can expect to have general administrative questions regarding HSF awards responded to within three business days.

## REPORTS

An awardee can expect to receive communication from HSF within 60 business days if any issues of concern are identified with a submitted award report (e.g. progress, final, close-out).

## INQUIRIES/INVESTIGATIONS OF GUIDELINE OR POLICY TRANSGRESSIONS

An awardee can expect to have **inquiries** and **investigations** related to HSF guideline or policy transgressions addressed within two to seven months, respectively, of HSF being notified. They can also expect confidentiality regarding the situation to be maintained, unless for reasons of institutional or Foundation policy or law, information must be disclosed publicly or to the appropriate authorities.

[The HSF Framework: Responsible Conduct of Research](#), outlines in detail the responsibilities and corresponding policies for researchers, institutions and HSF that together help support and promote a positive research environment. It also sets out the process to be followed by HSF, institutions and researchers when addressing allegations of breaches of HSF policies.

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For assistance with any issues or questions regarding these guidelines, contact:

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