



Grand Challenges Canada®  
Grands Défis Canada

## Guidelines for Innovators

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## **PURPOSE OF THIS DOCUMENT**

Following is information for innovators who have been awarded Grand Challenges Canada funding. It is meant as a guideline to help you administer your project funds and fulfill the funding requirements, as set out in your Agreement. This document contains information about reporting, budget instructions, disbursement of payments and amendments.

We highly encourage you to develop a project calendar, electronic or otherwise, that sets out the start date and all subsequent milestones, reporting deadlines, etc. Grand Challenges Canada expects its innovators to be proactive in submitting reports and other deliverables by the deadlines set out in your Agreement.

If something changes related to your commitments in the Agreement, please bring them to our attention as soon as possible. Whether it is a change to your commitment to global access, your obligation to get insurance (depending on what version you chose for your indemnification obligations), or the representations and warranties, Grand Challenges Canada will work with you to find a solution.

If any questions remain, please contact your Program Coordinator.

## A. REPORTING

*Q: Where can I get the reporting template?*

A: Each program has specific reporting requirements. Please see below for the appropriate template for your agreement.

### **Stars in Global Health Phase I**

<http://www.grandchallenges.ca/report-submission/>

### **Targeted Challenges (Saving Brains, Global Mental Health and Saving Lives at Birth)**

<http://www.grandchallenges.ca/resources/reporting-templates-targeted/>

*Q: How do I know when I need to report?*

A: For details about when to submit your reports, please refer to the Schedule of Payments & Reports provision of your Agreement.

*Q: How do I report on a milestone? When are they due?*

A: For details about when to submit progress against project milestones, please refer to the Schedule of Payments & Reports provision of your Agreement. This section indicates the specific reporting period within which you should report achievement of milestone(s).

Please email any evidence of milestone achievement to your Project Coordinator.

## B. BUDGET

*Q: How detailed does the financial report need to be?*

A: The financial report should be at the same level of detail as your original project budget.

*Q: Do I need to send a copy of the original receipts?*

A: No, you do not need to send us a copy of the receipts with your reports. However, we may request them for auditing purposes and ask that you keep them for at least seven years beyond the project end date in your Agreement.

*Q: How long should I keep receipts for?*

A: Please keep your receipts for at least seven years beyond the project end date in your Agreement. You may be asked to provide the documentation for auditing purposes.

*Q: Will Grand Challenges Canada audit my project's financial information?*

A: Grand Challenges Canada conducts 'spot audits' throughout the year. There is a likelihood your project records will be audited by Grand Challenges Canada, or our accounting firm on behalf of Grand Challenges Canada, during your agreement or up to seven years after the project end date in your Agreement.

*Q: Do I need to list equipment purchased that is valued over \$1,000 CAD in the financial reports?*

A: Yes, you are required to provide a list of all equipment valued at \$1,000 CAD or more in your final financial report. Note that this list is not required for interim reports.

## **C. PAYMENTS**

*Q: How long does it take to receive the first payment?*

A: It can take up to two weeks for us to process the first payment on your project. This does not include the processing times required by the receiving and intermediary banks, where applicable.

*Q: How often do I get payments?*

A: Please refer to the Schedule of Reports and Payments. This section outlines reporting requirements and provides an indication as to when you can expect a payment on your project. Please note that payments are conditional on progress and reporting against project milestones/objectives. It is your responsibility to submit proof of milestone completion for timely payment, as outlined in the Schedule of Reports and Payments.

*Q: What is the payment method?*

A: If your institution is based in Canada, we will courier a cheque. For all other countries, we will process a wire transfer.

*Q: Can you issue payments directly to a subgrantee?*

A: Generally, the signing institution is responsible to issue payments to subgrantees. To avoid high transaction fees, Grand Challenges Canada will, in exceptional cases, agree to issue payments directly to subgrantees. In such instances, the signing institution will be responsible for emailing the following documents to the Project Coordinator:

- Fully executed Subgrant Agreement – Grand Challenges Canada will review to ensure it aligns with the Agreement signed by the grantee's institution.
- Completed wire transfer information form, which includes the subgrantees' bank details and mailing address, along with contact details. The wire transfer form can be obtained here: <http://www.grandchallenges.ca/wp-content/uploads/Wire-Transfer-Information-Form-EN.pdf>
- Completed subgrant request payment form. The form can be obtained here: <http://www.grandchallenges.ca/wp-content/uploads/Subgrant-Agreements-and-Payments-Guidelines-EN.pdf>

## **D. SUBGRANTS AND SUBCONTRACTS**

*Q: What is the difference between a subgrant and a subcontract?*

A: Subgrantees will be responsible for some of the research activities and will be compensated accordingly. The subgrant may include direct costs and indirect costs.

Subcontractors will provide technical services (for example, a lab doing tests) and will be paid based on services provided. Part of the indirect costs can be applied to subcontractors.

*Q: Does Grand Challenges Canada have a subgrant agreement template we should use with our subgrantees and subcontractors?*

A: As Grand Challenges Canada does not mediate directly between the signing institution and subgrantee/subcontractor, so long as the project aligns with the provisions in the Agreement, you can use your own template(s).

*Q: How can I add or change a subgrant/subcontract in my project?*

A: The signing institution has the right to select subgrantees for the project. If you would like to add/change a subgrantee/subcontractor, you will need to send an email in advance to your Program Officer detailing the rationale behind the change, and its implications to the budget, timelines and results, when applicable.

## **E. CHANGES TO A PROJECT AND AMENDMENTS**

*Q: Can I make changes to the Project Framework or Results-based Management Accountability Framework (RMAF) included in my agreement?*

A: Should any substantial changes need to be made to your project, such as a change to the implementation plan, project milestones, timelines or anticipated results, please contact your Program Officer to discuss and obtain approval.

*Q: What should I do when I want to change the budget?*

A: If the proposed changes to your budget involve a reallocation of funds between budget categories (for example, you wish to reallocate funds from the Personnel category to the Equipment category) of less than \$10,000 or less than 10% of the budget category, please just note them in your next financial report.

If you wish to reallocate funds within the budget in a way that results in a change of more than \$10,000 CAD or more than 10% between budget categories, please contact your Project Coordinator. The Project Coordinator will provide you with a budget amendment template to aid your calculations. This template and an email outlining the rationale for the changes need to be submitted to Grand Challenges Canada for approval.

*Q: Can I apply for additional funds for my project?*

A: In general, we do not provide additional funds for projects.

*Q: What is the start date of my project?*

A: The start date of your project is stated on Page 1 of your Agreement, independent of when payments are received or subgrant agreements are fully executed.

*Q: Can I extend the duration of my project? What is the process?*

A: The completion date for all Agreement activities and expenditures is as per the end date of your Agreement, as set out in the Payments and Reports section. All project activities and expenditures must be completed within this agreement period.

In exceptional circumstances and only necessitated by situations beyond the control of the Principal Investigator, Grand Challenges Canada may approve a no cost extension to allow for activities and expenditures beyond the completion date.

An extension must be sought in writing (electronic or otherwise) by the Principal Investigator and the Grantee Institution (i.e., the signing officer on your agreement) at least two (2) months prior to the original completion. If an extension is approved, Grand Challenges will provide such approval in writing.

*Q: What happens if a Principal Investigator on my project changes?*

A: It is possible to indicate a change in Principal Investigator; however, please note that this is potential grounds for termination, as per the Change of Principal Investigator provision in your Agreement. Please notify your Project Coordinator in advance of any changes you make to the leadership of your project. Grand Challenges Canada must approve the new Principal Investigator and a formal amendment to your Agreement will be required.

*Q: What happens if I change my institution as a Principal Investigator?*

A: All Agreements are held with the signing institution, rather than with the Principal Investigator. Should the Principal Investigator leave his/her existing institution, it is Grand Challenges Canada's preference for the Principal Investigator to continue to fulfill its role on the project (i.e., the Principal Investigator would enter into a subagreement with the signing institution). If this is not possible, the signing institution may seek approval from Grand Challenges Canada to find a replacement Principal Investigator. (See note about Change of Principal Investigator above).

Alternatively, in very specific circumstances, Grand Challenges Canada may consent that the project be transferred to the Principal Investigator's new institution. The existing agreement would need to be terminated before a new agreement is finalized with the new institution.

*Q: What happens if there is a change in collaborators on the project?*

A: If the change in collaborators has a significant impact on your project, please contact your Program Officer detailing the rationale behind the change, and its implications to the budget, timelines and results.

## **F. COMMUNICATIONS**

*Q: When am I allowed to announce the project award?*

A: We ask that you do not make any public statements about your award until it has been formally announced by Grand Challenges Canada, when applicable. The official announcement date will be shared with you well ahead of time. Our Communications team will contact you to make arrangements for the announcement, and to request pictures and communication information from you and/or your organization. If Grand Challenges Canada is not doing a formal announcement (press release), we will advise you when you can announce your award.

*Q: How can I announce the project award?*

A: Our Communications team will contact you to make arrangements for the announcement, and to request pictures and communication information from you and/or your organization. Once the embargo is lifted and the public announcement is made, we encourage you to share the news using various communication channels, such as issuing your own press release or redistributing Grand Challenges Canada's release, sharing the news on social media, sending an e-newsletter, publishing an article on your website/blog or contacting your local media. For Stars in Global Health, you can also promote your individual project page on our website, which showcases your video. To find yours, just replace the '0000-01' in the following URL with your own agreement number: <http://www.grandchallenges.ca/Grantee-stars/0000-01/>

*Q: How and where do we mention and acknowledge Grand Challenges Canada?*

A: In your own communications – whether in written form, when speaking to the media or otherwise communicating about your project – we expect you to acknowledge the support of Grand Challenges Canada. Feel free to display our logo on your website and in your external communications. When you reference Grand Challenges Canada, our preferred brand language is “Grand Challenges Canada is funded by the Government of Canada and is dedicated to supporting Bold Ideas with Big Impact® in global health.” For more information on our brand guidelines, visit [www.grandchallenges.ca/brandguidelines/](http://www.grandchallenges.ca/brandguidelines/).

For innovators funded through our Saving Lives at Birth program, please review the Branding Guidelines of the Saving Lives at Birth partnership here: [www.grandchallenges.ca/brandguidelines-slab/](http://www.grandchallenges.ca/brandguidelines-slab/).

*Q: What happens after the initial announcement?*

A: We value any results, intermediate findings, project updates or relevant news about your project, and we encourage you to share these with us as they arise so that we can amplify your news through our channels. Continuous and concise communication will greatly benefit your project. It will improve its visibility, open the door to new partnerships, help you access additional funds and bring us closer to the results you want to achieve.

*Q: Who do I contact for questions or updates related to communications?*

A: If you have any questions that are communications-related, please contact our Communications team ([info@grandchallenges.ca](mailto:info@grandchallenges.ca)) and copy your Project Coordinator.

If you will be issuing a news release or attending a media interview regarding the award, kindly let us know by sending an email to [info@grandchallenges.ca](mailto:info@grandchallenges.ca).

We invite you to engage with us about your project. Please follow [@gchallenges](https://twitter.com/gchallenges) on Twitter and “Like” our [Facebook page](#), so we can stay connected.

## **G. PUBLICATIONS AND CONFERENCES**

*Q: Can I apply for additional funds for publications and to present at conferences?*

Grand Challenges Canada does not provide additional funds for publications or conference attendance.

*Q: How do I acknowledge Grand Challenges Canada at conferences, presentations and in publications?*

A: We expect you to acknowledge the support of Grand Challenges Canada when you write about or present your work. We encourage you to display our logo on your website and in your external written communications. When you reference Grand Challenges Canada, our preferred brand language is:

“Grand Challenges Canada is funded by the Government of Canada and is dedicated to supporting Bold Ideas with Big Impact® in global health.”

For more information on our brand guidelines, visit [www.grandchallenges.ca/brandguidelines/](http://www.grandchallenges.ca/brandguidelines/).

## **H. GRAND CHALLENGES CANADA MEETINGS FOR TARGETED CHALLENGES PROGRAMS** (Saving Lives at Birth, Saving Brains and Global Mental Health)

*Q: How often do Grand Challenges Canada communities of innovators meet?*

A: This will depend on the program within which you are included. For all community meetings, your Project Coordinator will send Principal Investigator(s) a “save the date” email well in advance. Please contact your Project Coordinator with any questions regarding meetings. Innovators will be invited to a maximum of two meetings per year.

*Q: Am I expected to participate in Grand Challenges Canada community meetings?*

A: When invited, innovators are expected to actively participate at Grand Challenges Canada community meetings and the Grand Challenges Annual Meeting. Innovators will be invited to a maximum of 2 meetings per year.

Saving Lives at Birth innovators are expected to participate in the Development XChange. Innovators may be invited to participate in the Grand Challenges Annual Meeting; however, participation is not mandatory.

*Q: Which member(s) of my team should attend these meetings?*

A: Grand Challenges Canada’s invitation will note the number of team members invited: either one or two. It is required that at least one Principal Investigator on your project be in attendance.

*Q: For travel to Community Meetings, can I book my flights in business class?*

A: Grand Challenges Canada does not sponsor travel in business class. All Innovator travel that is paid with project funds must be booked in economy class.

## **I. SCALING UP AND APPLYING TO OTHER GRAND CHALLENGES CANADA FUNDING**

*Q: When should I start thinking about scaling up my project?*

A: As part of our approach to Integrated Innovation, we encourage innovators to think about scaling up immediately, as this approach sets a more solid foundation for success later on.

For more information about our Scaling Program, check for our latest RFP here:

[www.grandchallenges.ca/grand-challenges/transition-to-scale/](http://www.grandchallenges.ca/grand-challenges/transition-to-scale/).

*Q: When can I apply for Transition to Scale (Phase II) funding?*

A: If you have an existing Phase I project with Grand Challenges Canada, you become eligible to submit a letter of intent nine months after your Phase I project begins. In other words, approximately 6–9 months into your Phase I project, you should be thinking about the next steps to your project. Please discuss with your Project Coordinator regarding a suitable time to apply.

*Q: What are the requirements and eligibility criteria to apply for Transition to Scale (Phase II) funding?*

A: For specific eligibility requirements, please refer the latest Request for Proposals:

[www.grandchallenges.ca/grand-challenges/transition-to-scale/](http://www.grandchallenges.ca/grand-challenges/transition-to-scale/).

*Q: What are “smart partners”? How do I find them?*

A: Smart partners refers to partners who will be working with the project/organization in helping them with the scale-up of the project, and contributing their expertise in the areas of marketing, manufacturing, technology development, business strategy, etc., in addition to providing matching funds. A smart partner can be a company, an investor, a non-governmental organization or a local government, among others. Please note that Grand Challenges Canada reserves the right to validate whether we consider someone a smart partner.

*Q: What are matching funds?*

A: Matching funds are “cash” contributions in the form of grants, loans, or equity that you or your co-funders contribute to the scale-up of the project. Please note that we reserve the right to decide whether co-funding will meet our criteria of matching funds, at our sole discretion. Please also list in-kind contributions; these will not, however, be considered matching funds.

## **J. INTELLECTUAL PROPERTY AND GLOBAL ACCESS**

*Q: Am I allowed to change from one indemnification version to another?*

A: Yes, you can change from Version 1 to Version 2 of the indemnification clause with written permission from Grand Challenges Canada.

*Q: Am I expected to make findings and results of my project available to the general public?*

A: Yes, Grand Challenges Canada expects you to make the findings and results of your project available to the public. See, for example, the 2<sup>nd</sup> principal in Grand Challenges Canada’s Global Access Policy, which states that Grand Challenges Canada is in favour of

broadly distributing knowledge gained through discovery to related projects and to the global scientific community.

Grand Challenges Canada also understands that intellectual property and patent concerns may need to be addressed prior to disclosure. In these circumstances, we would not expect you to distribute findings and results in a manner that would prejudice your intellectual property rights, until after those rights are secured.

*Q: Once this project has ended, how do I fulfil Global Access Policy requirements?*

A: By accepting Grand Challenges Canada funding, you are committing to making any outputs that are developed under this project accessible for use in the developing world. This commitment to Global Access continues beyond the life of the project and can be fulfilled in multiple ways. Some examples include: licensing your innovation in the developing world, entering into partnerships for the use of your innovation in the developing world, commercializing your innovation in the developing world, entering into distribution agreements for your innovation to be distributed in the developing world, etc.

*Q: I have potential investors who are interested in investing in my Intellectual Property; however, they have concerns about Grand Challenges Canada Agreement requirements. Who should I contact to discuss their concerns?*

A: Grand Challenges Canada is very supportive of investors getting involved in the projects that we fund. We aim to work with our innovators and their potential investors to resolve any concerns related to Grand Challenges Canada's Global Access Policy requirements. For more specific questions, you can contact your Project Coordinator, who will connect you with the appropriate contact at Grand Challenges Canada.

*Q: Are there any steps I should take if I am to develop Intellectual Property during the course of the project?*

A: If you develop Intellectual Property during the course of your project, you must let Grand Challenges Canada know in your project reports (interim and final). You should describe the nature of the Intellectual Property, as well as any filing numbers or other identifying information.

*Q: What are the Intellectual Property implications of the Non-Exclusive License clause included in the Agreement?*

A: Ownership of Intellectual Property rights resulting from your project will remain with the Innovator's Institution (or the Innovator himself/herself, depending on the agreement between the Innovator and his/her Institution). Grand Challenges Canada seeks a general commitment to Global Access (as found in the attachments in the Agreement and on our website at [http://www.grandchallenges.ca/wp-content/uploads/globalaccesspolicy\\_2012Apr04\\_EN.pdf](http://www.grandchallenges.ca/wp-content/uploads/globalaccesspolicy_2012Apr04_EN.pdf)) by all Innovators. Grand Challenges Canada also requires a non-exclusive (royalty-free) license to access the outputs of your project (except for Stars in Global Health Phase I projects). Generally, Grand Challenges Canada will only seek to exercise this license right should Global Access Policy requirements not be met, and Grand Challenges Canada will provide you with notice prior to doing so. For patents, you may be asked to register Grand Challenges Canada's license right with the local patent office, as part of your commitment to perfect the right.

There may be other forms of agreements Grand Challenges Canada will negotiate with you (such as distribution rights) but these will be communicated in advance, and will only apply to transition-to-scale projects.

## **K. CONTACTS AT GRAND CHALLENGES CANADA**

*Q: When should I contact the Program Officer on my program and when can I best contact the Project Coordinator?*

A: Please contact your Program Officer with updates on results and any questions specific to the content of your work (e.g., research design, any challenges you may face, etc.)

Please contact the Project Coordinator with any concerns and questions related to the administration of your project with Grand Challenges Canada. This can include questions about reporting requirements, payments and amendments concerning your budget or project framework.

It is in your interest to contact us proactively with updates on project milestones, early results (e.g., publications, events, interesting preliminary findings) and potential ideas or partnerships for scaling up your innovations.

*Q: Who do I contact with regards to my expense claim (e.g., sponsored meetings)?*

A: Please contact [info@grandchallenges.ca](mailto:info@grandchallenges.ca) for questions related to your expenses for Grand Challenges Canada sponsored meetings.