Novartis Pharmaceuticals Canada Inc.

Grants and Donations Guidance Document

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Purpose

Novartis Pharmaceuticals Canada Inc. discovers and develops innovative products to cure diseases, ease suffering and enhance patient quality of life. Novartis is committed to the advancement of these goals through education, advocacy and outreach.

Novartis also strives for high performance with high integrity. In line with this commitment, Novartis adheres to all guidelines relating to ethical business conduct, including its support of projects that promote patient care, delivering education to the medical and scientific community and providing charitable and philanthropic donations to reputable third party institutions.

All requests for Grants & Donations are evaluated by an internal committee at Novartis. This committee does not evaluate or approve requests based on prescribing habits, drug reimbursement status or decisions or any specific interactions or relationship that Novartis may have with the applicant.

Support of requests must not interfere with the independence of the recipients and/or their associates. Nothing may be offered or provided to an external stakeholder intended to have an inappropriate influence on the stakeholder's decision to prescribe, dispense, recommend, purchase, supply or administer products.

A request can only be considered if an external, independent, unsolicited request has been submitted by an external stakeholder (Applicant) Support can never be offered (whether directly or indirectly) by Novartis associates.

**Grants** must be provided without agreement or intent to receive a tangible benefit in exchange and they must not be given for commercial/promotional purposes (i.e., a service contract).

**Donations** must only be given for an altruistic, non-business related purpose, and where Novartis does not receive or will not be perceived to receive a direct or indirect consideration or service in return. Overall purpose is to enhance community and healthcare in general.

**Types of requests that cannot be supported by Novartis:**

- Requests received less than 90 days prior to the activity start date
- Requests that have already started or are in progress
- Requests that are not within the therapeutic area of interest to Novartis
- Incomplete requests that do not include sufficient information for proper evaluation
- Requests from institutions, associations, or organizations outside Canada will not be considered
- Activities that do not have an educational focus
- Requests for meals only
- Requests payable to individuals directly or indirectly (or their solely owned corporation)
- Sports sponsorship for individuals, sports teams or organizations
• Personal travel
• Entertainment, gifts or promotional items
• Activities held in lavish venues/resorts
• Building or operating expenses
• Staff training (e.g. practice management skills), unless offered by an independent third party
• Service contracts
• Text books or equipment-related requests
• Promotional exhibit or display fees
• Individual requests for education or travel within Canada
• Sponsorship for attendance to an international congress (This type of request may be supported within other areas of Novartis. Please contact your local Novartis Representative for more information)
• Unrestricted educational grants (while Novartis does not seek to have control over)
• Requests for student group activities or religious organizations
• Investigator Initiated Trials (IITs) (This is type of request may be supported within other areas of Novartis. Please contact your local Novartis Medical Science Liaison for more information)
• Legal or litigation costs
• Requests to support salaries, such as honoraria for nurses, physiotherapists, HCPs, etc. However, instances for honorarium/salaries as a minimal component of a comprehensive program may be permissible.

Therapeutic Areas of Interest

Cardio-Metabolic
- Cardiovascular Disease
- Diabetes
- Familial Chylomicronemia Syndrome
- Heart Failure
- Post Myocardial Infarction

Dermatology
- Psoriasis
- Psoriatic diseases (PsA and Ps)
- Psoriatic arthritis (PsA)
- Urticaria

Immunology
- Ankylosing spondylitis (AS)
- Auto-inflammatory syndromes
- CAPS, Muckle Wells, FMF, TRAPS, HIDS
- Cell Therapy
- Heart Transplantation
- Juvenile Arthritis
- Kidney Transplantation
- Liver Transplantation
- Lung Transplantation
- Rheumatoid Arthritis
- SJIA
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<th>Medical Scientific Affairs</th>
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<td>Sporadic inclusion body myositis</td>
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<td>Vascular Permeability Disorders</td>
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<td>Hematology</td>
<td>Aplastic Anemias</td>
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<td>Immune or Idiopathic Thromobocytopenia (ITP)</td>
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<td>Myelofibrosis</td>
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<td>Myleproliferative Neoplasms (MPN)</td>
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<td>Polycythemia Vera (PV)</td>
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<td>Tuberous Sclerosis Complex</td>
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<td>Breast cancer</td>
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<td>Carcinoid Syndrome</td>
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<td>Gastrointestinal Stromal Tumours (GIST)</td>
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<td>Lung Cancer</td>
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<td>Melanoma</td>
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Grant or Donation Submission Process

Application Process

All requests for Grants & Donations must be submitted using the online application on the Novartis Canada website www.novartis.ca in order to be considered by the approval committee. Novartis does not accept requests via mail, e-mail, or fax.

The following items must be completed and submitted to Novartis at least 90 days prior to the activity start date or the request will be denied:

- Application form
- Needs assessment and outcomes measures
- Learning objectives
- Detailed budget
- Any other relevant documentation

Key Factors for Consideration

In determining whether funding will be provided, Novartis will assess, among other items:

- Complete and accurate information
- Clear goals of improvement to patient care
- Innovative, stimulating programs
- Educational needs assessment and outcomes measures
- Therapeutic area of interest
- Detailed budgetary analysis
- Compliance with laws, regulations and guidelines

Post-Submission (Review) Process

Novartis is aware of the growing need for support. Many more requests are received than can be funded and we regret that not all requests can be accommodated. However, you should note that every request submitted will receive a full and fair review.

Please note that requests are not automatically approved. No commitment of funds can be made until the request is approved by the grant review committee. Previous support
of similar requests does not guarantee future support. Each request is evaluated separately.

Upon successful submission of your application to Novartis:

- You will receive an acknowledgement e-mail with a reference number and a copy of your application.
- During the review process, you may receive e-mails requesting additional information or clarification regarding your submission.
- Your prompt response to a Novartis inquiry is critical to continue the review process.
- A request should not be considered approved until you have received an email approval notification from Novartis.
- Once the review committee has approved your submission, you will receive a conditional approval e-mail with a Funding Agreement. All grants and donations require a duly executed Funding Agreement. Upon your return of a signed Funding Agreement, the payment process will be initiated.
- Please note that the address provided in the application form under “Cheque Payable To” will be the address used to create the Funding Agreement and to process payment. It is critical that this information is correct. Any changes can lead to additional review and processing time.
- Whether your submission is approved or declined, you will receive a notification e-mail from Novartis.

**Post-Funding Process**

As a follow-up to an approved request, you will be sent an electronic survey within 90 days of the completion of the activity or enduring material and asked to provide the following information within 30 days:

- *A summary of outcomes measured as stipulated in the Funding Agreement, such as evidence of the performance of the activity;*
- *Confirm whether the funds were used in their entirety to complete the project objectives.*

Failure to complete the survey could jeopardize the review of future request submissions.

**For More Information**

For questions on the application process or questions relating to your submission, please contact us at:

Email: contributions.canada@novartis.com
Phone: 514-631-6775 – Grants and Donations Department