

**POLICIES AND INSTRUCTIONS FOR RESEARCH GRANTS**



*Research and Grants Administration*  
1275 Mamaroneck Avenue  
White Plains, New York 10605

## GENERAL INFORMATION

### A. BACKGROUND

The March of Dimes Foundation (hereinafter referred to as MOD) defines a birth defect as any abnormality of structure or function, whether inherited, or acquired in utero and presenting in infancy and childhood. Deviations from reproductive health of women and men as an underlying basis of birth defects, i.e., preconceptional events, perinatal course and premature births, are appropriate subjects for research support. (We do not accept applications dealing with infertility.)

### B. PURPOSE OF GRANTS

The ultimate aim of research supported by the MOD is prevention of birth defects.

### C. AUTHORITY FOR MAKING GRANTS

Grants are made by the Board of Trustees of the MOD acting on the recommendations of the President and the appropriate Research Advisory Committee.

MOD reserves the right to cancel a grant for cause at any time and require the return of funds.

### D. ELIGIBILITY FOR GRANTS

Grants are awarded to qualified institutions to support research on birth defects.

### E. BASIC CONSIDERATIONS IN MAKING GRANTS

In considering grant applications, the MOD takes into account:

1. Purpose of the research program and plan of study submitted.
2. Qualifications, experience and abilities of the applicants.
3. Facilities available.

F. HUMAN SUBJECTS

1. Human subjects studied in the course of research conducted under a grant are under no circumstances a responsibility of the MOD.
2. Human subjects receiving antenatal diagnostic service, such as amniocentesis, in a program supported by the MOD shall not be required to give prior consent to the performance of any subsequent therapeutic measure as a condition for the provision of such diagnostic service.
3. Human subjects in a program supported by the MOD shall be volunteers in any survey, study or procedure.

G. PROHIBITION OF DISCRIMINATION

No person shall be excluded from participation in or denied the benefits of any program or activity receiving financial assistance from the MOD because of race, ethnic origin, religion, sex, handicapping condition or disability or sexual orientation.

H. AMENDMENT OF POLICIES

The MOD reserves the right to modify or amend its policies governing grants. The grantee agrees to abide by any changes or to terminate the grant at the time when such changes become effective. Failure to abide by the policies governing grants or amendments shall be considered sufficient grounds for cancellation of a grant or a refusal to consider any pending application by the grantee.

## I. RESTRICTION ON USE

MOD policy states that abortion is not the solution to the problem of birth defects. The MOD has long maintained its neutrality on the issue of abortion. All grantees and contractors regardless of their personal opinions are prohibited from using MOD funds for abortion research, to pay for abortions, or to give directive advice concerning abortions. Fetal tissue research does not violate this policy if applicable federal regulations are adhered to. A non-directive referral for counseling, if requested by a patient in the course of prenatal care, does not violate this policy. Violation of this policy constitutes grounds for immediate cancellation of a grant or termination of a cooperative agreement.

## APPLICATION PROCESS

### A. APPLICATION FOR GRANTS

A Letter of Intent is submitted to the Senior Vice President for Research and Global Programs. For the most up-to-date information, please check our website at [www.marchofdimes.com](http://www.marchofdimes.com). Once on our home page, click on the “**select a category**” drop-down menu, next click on “**Research**”; then click on “**Apply for a research grant**” in the right margin; then scroll down to find the links to the Request For Proposals for the general March of Dimes Research Program, the Prematurity Research Initiative (PRI) Program, and the Basil O’Connor Starter Scholar Research Award (BOC) Program.

### B. FUNDING OF GRANT

#### New Request

An application submitted for a one-, two- or three-year period should contain a detailed budget. Program content may be approved for a one-, two- or three-year-period.

Ongoing funding for a multi-year grant is conditional on receipt of an annually updated human subject certification form and/or an annually updated animal certification form (if applicable), accounting reports and progress reports due, and

availability of funds.

### Renewal Request

All current grants are subject to competitive renewal upon application by the Principal Investigator. The application procedure is the same as for new grants, i.e., a Letter of Intent must be submitted to the Senior Vice President for Research and Global Programs as per our Request For Proposals.

#### C. Acceptable DIRECT COST Items

1. The budget may include salary support for the Principal Investigator or other faculty, but ordinarily is expected to provide salary support for technical help.
2. Minimal but essential permanent equipment. Any permanent equipment must be directly relevant to the MOD research grant.
3. Expendable supplies, which must be broken down by subcategory on the budget.
4. Other expenses relevant to the conduct of the research.
5. Travel - Not to exceed \$1,000 per year to attend scientific meetings. Any travel must be directly relevant to the MOD research grant.

#### D. INDIRECT COSTS

The MOD recognizes that an academic institution to which a grant is made will incur additional operating costs while the program is in effect. In such cases, the MOD will allow the institution a budget item for INDIRECT COSTS limited to 10% of the TOTAL DIRECT COSTS.

E. Grant Budget Items That Are Not Acceptable

1. Construction, alteration, maintenance or rental of buildings or building space.
2. Computer equipment, office equipment and furniture.
3. Dues for membership in scientific societies.
4. Office supplies including mail/postage costs; copying costs; telephone, fax, or modem line costs.
5. Tuition.
6. Publication/Manuscript costs.
7. Books and Journals.
8. Waste disposal.
9. Glassware washing.
10. IRB or IACUC fees.
11. Computer Facility Access Fee.
12. Insurance Fees, including General Automotive and Employee Liability.

F. HUMAN SUBJECTS

If human subjects are used in the proposed study, an annual certification form must be provided to the MOD indicating that the Institutional Review Board has approved the proposed study.

G. CONSENT FORM

A sample of the form approved by the grantee institution for the purpose of obtaining informed consent must be submitted with the application.

H. ANIMAL STUDIES

If animals are used in the proposed study, an annual certification form must be provided to the MOD indicating that appropriate precautions have been taken to assure that proper treatment, care and humane conditions have been provided.

## GRANT ADMINISTRATION

A. Conformity with Budget

Transfer of funds into and out of an approved line item is permitted up to 20 percent of the approved category amount. Such transfers may not increase either Category A, SALARIED PERSONNEL, or Category E, TRAVEL. **ANY** purchase of permanent equipment not authorized in the original budget must have prior approval. Requests for any other budget revisions must be requested in writing to the Director, Grants Administration.

The MOD reserves the right to a refund, on demand, of all grant funds that have been expended in unauthorized ways. The grantee institution is responsible for any unauthorized or excessive expenditures made.

B. FINANCIAL ACCOUNTING OF GRANT

An 18-month interim accounting report will be required for grants that are three years in duration. An interim accounting report is not required for grants that are less than three years in duration. The grantee institution is also required to submit to the MOD a detailed final accounting report of expenditures, on forms furnished by the MOD, due 90 days after the termination date of the grant.

All unexpended funds must be returned to the MOD along with the final accounting report.

When a grantee has more than one grant from the MOD, excessive expenditures in one grant may not be offset by unused funds in another.

Payments to the institution for ensuing grants will be contingent upon receipt of any outstanding final accounting reports and unexpended funds as applicable.

The MOD reserves the right to audit the institution's financial records pertaining to the grant.

C. PAYMENT

Payments to the grantee institution are made in six-month increments beginning with the start date of the grant. The MOD will withhold a payment pending receipt of the certificates of approval for use of human subjects and/or animals in research, if applicable, for the payment periods of the grant and submission and acceptance of outstanding accounting reports and progress reports.

D. PROGRESS REPORTS UNDER GRANT

An 18-month interim progress report will be required for grants that are three years in duration. An interim progress report is not required for grants that are less than three years in duration.

If the Principal Investigator chooses to apply for competitive renewal, the progress report will become an essential part of the application. When the grant terminates, a final progress report must be submitted.

The progress report is confidential and available only to the MOD and the relevant advisory committee.

E. TRANSFER OF GRANT

On written request by the principal investigator, transfer of a grant to another institution will be considered by the MOD. The written request should include the new position, department, institution, facilities available, and effective date.

F. EXTENSION OF GRANT PERIOD

An extension, without supplemental funds, of the termination date of a grant will be considered by the MOD on written request by the Principal Investigator. It must be requested at least three months prior to the termination date of the grant.

G. RESPONSIBILITIES OF PRINCIPAL INVESTIGATOR

If the principal investigator is unable to complete the research approved because of illness, departure from the institution, or other major cause, this matter must be brought immediately to the attention of the Senior Vice President for Research and Global Programs.

H. PERSONNEL

Personnel compensated in whole or in part with funds from a grant of the MOD shall not be considered employees or agents of the MOD.

I. PATENTS AND DISCOVERIES UNDER GRANT

For over fifty years, the MOD has funded biomedical research through its research grantees, demonstrating a strong tradition of supporting science in the public interest to encourage the wide dissemination of scientific knowledge.

The MOD will continue to support research grantees and institutions and will not interfere in any way with the fundamental decision concerning what, if any, patent applications may be made by a grantee for its discoveries. Accordingly, this

MOD's Policy on Patents applies only in situations where the decision to seek letters of patent has already been made by a grantee whose research was funded in whole or in part by the MOD.

All inventions made with the support in whole or in part by this grant must be reported at the earliest practical time to the MOD. The grantee agrees to notify the MOD immediately of the decision to apply for letters of patent or other legal protection for intellectual property. The MOD agrees to keep all information regarding such applications confidential.

The MOD reserves the right to share in any proceeds from an invention or discovery developed under this grant. This right shall include the sharing of licensing fees and royalties. Should the MOD choose to assert this right, the MOD's expectation is to share in any license fees and royalties (net of costs) from the patent on a pro rata basis. The numerator of the sharing formula shall consist of the fees and royalties, less the grantee's expenses and disbursements of patenting and such other costs, taxes, or expenditures as may be necessary or required by law. The denominator shall consist of the proportionate contributions of the MOD and other funding organizations and grantors that choose to assert their respective rights, as well as direct and indirect support, provided to the grantee. All reasonable administrative and overhead expenses of the grantee institution shall be factored into the calculation of indirect support.

Because the MOD funds scientific research in order to further its mission, any patent and royalty revenue received by the MOD will be reinvested into its research program.

Grantees who have derived substantial income from their inventions or works (regardless of whether such income has directly resulted from a MOD grant) have seen fit to make a gift to the MOD in recognition of the contribution made by the availability of MOD grants. It is the hope that this practice will continue, and even become more widespread, but the matter will be left to the judgment and good will of individual grantees.

J. OWNERSHIP OF PURCHASED MATERIALS

All apparatus and materials purchased and all scientific equipment and instruments paid for with grant funds of the MOD shall be the property of the grantee institution.

K. PUBLICATIONS OF GRANTEE

Each grantee is obligated to furnish the MOD with one reprint or copy of any published report of research sponsored in part or in full by the MOD. Any such publication should carry a credit line reading, "Supported in Part by Research Grant No. \_\_ from the March of Dimes Foundation."

L. PUBLICITY ON WORK UNDER GRANT

The grantee institution will cooperate with the MOD in announcement through the news media of grants awarded, subject to the Principal Investigator's approval of the content of any news release prepared by the MOD.

The grantee institution, the principal investigator and personnel working under the grant will cooperate with the MOD in the written, photographic, filmed, broadcast or other forms of materials prepared to publicize work under the grant.

M. EXHIBITS BY GRANTEE

Any exhibit prepared for a scientific or professional meeting or assembled by anyone associated with the work covered by a grant shall be presented or described to the MOD prior to its use. Notification will be made in writing if the exhibit is to display credit, "Supported in Part by Research Grant No. \_\_ from the March of Dimes Foundation." This credit does not imply the endorsement of the MOD for any of the procedures or results of the project.

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