

# **POLICIES FOR RESEARCH GRANTS**

## **RESEARCH AND GLOBAL PROGRAMS**



## **GENERAL INFORMATION**

### Overview

Research should be consonant with the March of Dimes' mission: **March of Dimes leads the fight for the health of all moms and babies.**

March of Dimes supports research that will advance our basic understanding of, or lead to improved treatment of any serious medical condition that afflicts pregnancies or newborns. Applications focused on preterm birth and birth defects are prioritized. Areas of investigation should have the potential to be leveraged from discovery to functional studies leading to clinical translation. The eventual goal to cure or greatly mitigate conditions that adversely impact the health of expecting women and babies is desired.

Grants are made by the Board of Trustees of MOD acting on the recommendations of the President, Senior Vice President for Research and Global Programs, and the Research Advisory Committees.

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

### Prohibition of Discrimination

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

### Eligibility for Grants

Grants are awarded to qualified institutions, including non-profit and for-profit organizations, to support MOD mission relevant research. Individuals are not eligible to receive grant funds.

## **USE OF GRANT FUNDS**

All grants must abide an approved budget. Program content is approved for a two-year period for Basil O'Connor Starter Scholar Research Awards or a three- year

period for general March of Dimes Research grants.

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.

#### Acceptable Direct Cost Items

1. Salary support for technical help (PI and faculty support is limited to 10% of the total budget amount)
2. Minimal but essential permanent equipment 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

Once awarded, 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 of Research Programs.

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.

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.

#### Indirect Costs

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

## Budget Items 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. Maintenance/Service Contracts
9. Waste disposal
10. Glassware washing
11. IRB or IACUC fees
12. Computer Facility Access Fee
13. Insurance Fees, including General Automotive and Employee Liability
14. Visa permit fees
15. Technology or infrastructure fees as charged per person

## 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.

## **PAYMENTS**

Payments to the grantee institution are made in six-month increments beginning with the start date of the grant. All payments are pending receipt of the certificates of approval for use of human subjects and/or animals in research, if applicable, for the payment period of the grant and submission and acceptance of outstanding accounting report and progress report and availability of funds.

### Transfer of Grant

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

### Extension of Grant

A no-cost extension 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.

### Renewal of Grant

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 the Request For Proposals.

## **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. The Principal Investigator is expected to remain in good standing at his/her institution.

## HUMAN SUBJECTS

1. Human subjects studied in the course of research conducted under a grant are under no circumstances the responsibility of MOD.
2. Human subjects receiving antenatal diagnostic service, such as amniocentesis, in a program supported by 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 MOD shall be volunteers in any survey, study or procedure.
4. If human subjects are used in the proposed study, an annual certification form must be provided to MOD indicating that the Institutional Review Board has approved the proposed study.
5. A sample of the form approved by the grantee institution for the purpose of obtaining informed consent must be submitted.

## ANIMAL STUDIES

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

## **REPORTING**

MOD will contact grantee institutions and Principal Investigators by email throughout the grant term with requests for reports. Failure to submit required reports or respond to these requests by the dates provided may result in grant termination and disqualify future applications of Principal Investigator and/or grantee institution from consideration.

## FINANCIAL ACCOUNTING OF GRANT

An 18-month interim accounting report is required for all grants that are three years in duration. The grantee institution is also required to submit a detailed final accounting report of expenditures to MOD, on forms furnished by the MOD, due 90 days after the termination date of the grant.

All unexpended funds must be returned to MOD at the time of the final accounting report. Eligibility of the institution for ensuing grants will be contingent upon receipt of any unexpended funds as applicable.

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

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

## PROGRESS REPORTS UNDER GRANT

An 18-month interim progress report is required for grants that are three years in duration. A final progress report is due for all grants 90 days after the termination date of the grant. Information will be emailed by MOD.

If the Principal Investigator chooses to apply for competitive renewal, the progress report will become an essential part of the application.

Progress reports are confidential and available only to MOD and the relevant research advisory committee.

## PUBLICATIONS OF GRANTEE

For any work resulting from your grant, a copy of the abstract must be submitted to MOD at the time of submission for publication. In addition, once accepted, an electronic copy of any published report must be submitted to the MOD.

## **PATENTS AND DISCOVERIES UNDER GRANT**

For over fifty years, MOD has funded biomedical research through its research grants, 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 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 to the MOD when the grantee applies 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. Grantee agrees to promptly report, on a periodic basis (and no less frequently than every six months) all receipts of licensing fees and royalties (prior to distributing any revenue, licensing, or other shares to other parties). Should the MOD choose to assert this right, it shall notify grantee institution's Technology Licensing Office in writing, and the MOD's expectation is to share in any license fees and royalties (net of costs) from the patent on a pro rata basis but shall not exceed an aggregate amount equal to five (5) times the amount of the funding provided by MOD hereunder. In the event that the MOD chooses to assert its right to the aforementioned share in licensing fees and royalties, such share (as defined hereunder) shall first be paid to the MOD prior to payments made to third parties (including, but not limited to, co-owners and inventors of the invention). The numerator of the sharing formula shall consist of the fees and royalties, less the grantee institution'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 supported, in whole or in part, the invention, 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.

## **RECOGNITION OF SUPPORT**

### **PUBLICATIONS OF GRANTEE**

For any work resulting from your grant, a copy of the abstract must be submitted to MOD at the time of submission for publication. In addition, once accepted, an electronic copy of any published report must be submitted to the MOD. Any such publication should carry a credit line reading, "Supported in Part by Research Grant No. \_\_ from March of Dimes."

### **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 fully with the MOD in the written, photographic, filmed, broadcast or other forms of materials prepared to publicize work under the grant.

The grantee will notify MOD of any media publicity related to research under the grant.

### **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 March of Dimes." This credit does not imply the endorsement of the MOD for any of the procedures or results of the project.

## **AMENDMENT OF POLICIES**

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.

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