

THE S.L.E. LUPUS FOUNDATION, INC.

330 Seventh Avenue, Suite 1701

New York, NY 10001

212-685-4118

SUMMARY OF POLICIES GOVERNING GRANT APPLICATIONS

1. **Purpose:** Grants are made to support research that holds promise of providing a better understanding of lupus. Fellowships are awarded for postdoctoral clinical and research training in S.L.E. and related disorders, and Career Development awards are available to emerging, independent investigators committed to lupus research.
2. **Authority:** Grants are awarded by the S.L.E. Lupus Foundation upon recommendation of the Medical Advisory Board and approval of the S.L.E. Lupus Foundation's Board of Directors.
3. **Consideration in Funding:**
 - a) Career Development Awards in both clinical and basic research will be judged on the scientific merit and significance of the proposed research project, its relevance to lupus and the commitment and potential of the investigator to perform independent research relevant to lupus. For Fellowship Grants, quality of the training program is also to be considered. Grant applications on topics directly applicable to patient care are encouraged; judgment of these will be based on scientific criteria similar to those used for more basic research topics.
 - b) Awards are granted primarily for research conducted within the New York City region and Los Angeles County.
 - c) The appropriateness of the proposed budget.
 - d) The qualifications of the individuals who will supervise and execute the work.
 - e) Consideration will include distribution of awards among institutions.
 - f) When two or more proposals of equal merit are received, it will be at the sole discretion of the Board to determine the recipient(s) of the grant.
4. **Non-Approval:** Each application receives careful review; applications not funded will receive written critiques.
5. **Administration:** Administration of grants is a joint responsibility of the Medical Advisory Board and the S.L.E. Lupus Foundation's Board of Directors.
6. **Period:** Career Development Awards and Fellowships are for a term of up to three years, dependent upon satisfactory semi-annual progress reports.
7. **Payment:** Grants are paid in installments convenient to the Foundation and the grantee, generally the first half at the start of the grant program in October 2008 and the second half at mid-term upon receipt of an acceptable progress report.
8. **Overhead Allowance:** It is the Foundation's policy NOT to provide funds for payment of institutional overhead costs.

CAREER DEVELOPMENT AWARD

Purpose and Description:

To provide up to three years of funding to physicians and scientists working in research fields related to lupus who are embarking on independent research careers. The research proposal must relate to the field of systemic lupus erythematosus, and this should be stated in the application. Proposals will be evaluated based on the applicant's potential for a career in lupus research, the merit of the proposed research project and the quality of the research environment in which the study will be conducted.

Eligibility of Applicant:

At the time the award will initiate, the applicant:

- a) Must hold a faculty appointment and must not yet have attained the rank of associate professor or equivalent.
- b) Cannot previously have received an independent investigator award such as K01, R01, Arthritis Investigator Award or equivalent.
- c) Will not be more than seven years from the end of clinical training/start of research training or more than seven years from the receipt of a doctoral degree, whichever is longer. Accommodations are made for career interruption, but must be explained.

Terms of Award:

The total amount of the award is for up to \$50,000 per year for a maximum of three years. Funds may be used for any appropriate research cost including salary and fringe benefits of the investigator. A detailed budget indicating the planned use of the funds is required and subject to approval by the Foundation. There are no indirect costs included in this award. No portion of the award may be used to pay institutional overhead or other "indirect" costs.

For years one and two of the award, at least 75 percent of the recipient's full time professional effort must be devoted to the program and the remainder devoted to other research-related and/or teaching pursuits consistent with the objectives of the award. For year three, at least 50% of the recipient's time must be devoted to the awarded project.

The applicant must submit letters of support from three references, one of whom will act as a scientific sponsor. The curriculum vitae of the sponsor must also be included. Letters should include a description of the environment in which the proposed research will be performed, and a brief description of the applicant's project and how it relates to the overall research goals of the sponsor's laboratory. A brief statement affirming protected research time must be included. Letters of reference must be submitted directly to the S.L.E. Lupus Foundation, not to the grant applicant.

A progress report is required at the end of each six month period in order to receive remaining funding. The career development recipient must attend the S.L.E. Lupus Foundation's Annual Scientific Meeting.

FELLOWSHIP AWARD

Purpose and Description:

To provide funds for up to three years to young investigators who have completed subspecialty medical training or a doctoral degree. This award is intended to bridge the gap between traditional fellowship or doctoral training and career independence. Individuals interested in continued research training in preparation for an independent award are encouraged to apply. The research proposal must relate to the field of systemic lupus erythematosus, and this should be stated in the application. Proposals will be evaluated based on the applicant's potential for a full-time career in research, the quality of the training environment, and the scope of the project. Preference will be given to applicants interested in three years of funding.

Eligibility of Applicant:

At the time the award will initiate:

- a) **MD-Scientist Fellowship:** the MD applicant must have completed two years of medical subspecialty training (one year of which could be clinical) but not more than three years of research training.
- b) **PhD-Basic Science Fellowship:** the PhD applicant must have completed a doctoral program no more than three years prior to time award commences.

Terms of Award:

The **MD-Scientist Fellowship** funding is \$50,000 per year for a maximum of three years. The **PhD-Basic Science Fellowship** is \$40,000 for year one, \$45,000 for year two, and \$50,000 for year three. Funds are to be used for the applicant's salary. Funds which exceed the institutional salary support for the individual's level of training can be used for supplies. Monies cannot be budgeted for any other personnel such as research assistants. The work proposed must be primarily based in the greater New York area or Los Angeles County with the understanding that collaborative efforts may be sought elsewhere.

The applicant must obtain three letters of support. One must be from the mentor. It should include a description of the environment in which the proposed research will be performed, and a brief description of the applicant's project and how it relates to the overall research goals of the mentor's laboratory. The mentor must provide evidence of substantial commitment to lupus research. If the program director of the academic department is not included in the other two letters, then a brief statement from him/her affirming 80% protected research time is required. Letters of support must be sent directly to the S.L.E. Lupus Foundation.

A progress report is required at the end of each six month period in order to receive remaining funding. As a condition for acceptance, the fellow and mentor must attend the S.L.E. Lupus Foundation's Annual Scientific Meeting to present work and progress to the lupus academic community.

RULES GOVERNING GRANTS

1. **Applications:** Grant applications are evaluated by the Foundation's Medical Advisory Board, which makes recommendations to the Foundation's Board of Directors. The S.L.E. Lupus Foundation reserves the right to consult qualified third parties in particular cases. All applications awaiting action will be held in confidence by the Foundation.
2. **Terms of a Grant:** Unless otherwise specified in writing, Career Development Awards and Fellowships are given for terms of up to three years.
3. **Purpose of Funds:** Grants are not made to individuals, but only to institutions for the support of specific projects. They are not intended to subsidize normal institutional budgets or staff, nor to pay institutional overhead charges. **Fellowships and Career Development awards represent salary support for the investigator.** Funds may not be used to pay transportation to meetings, or journal subscriptions. Funds are not available for construction or renovation of buildings, or for the purchase of office equipment and furniture. Similarly, dues and membership in scientific societies will not be underwritten.
4. **Expenditures:** All charges must conform to the budget submitted by the grantee. The Foundation reserves the right to a refund on demand of all grant funds expended in an unauthorized manner.
5. **Accounting:** Financial commitments against all grants must be liquidated as soon as possible after the grant period has ended, and the grantee must submit a final accounting of all expenses and return all unexpended funds. The Foundation will not be responsible for any financial commitment against the grant. The grantee shall be responsible for any unauthorized expenditure or overexpenditures made from the grant.
6. **Materials:** All equipment or instruments purchased, prepared, manufactured, and paid for with funds from the grant for specific items named in the application shall, unless otherwise specified, become the property of the grantee's institution.
7. **Salaries:** Personnel compensated under a Foundation grant shall not be considered as employees of the Foundation, but as employees of the grantee institution.
8. **Other Financial Support:** An applicant for a grant must list all current and pending support, and provide abstracts of such support. If the applicant is awarded additional support during the term of a grant from the S.L.E. Lupus Foundation, the Foundation must be notified. Additional support must not duplicate grant support from the S.L.E. Lupus Foundation for the same project.
9. **Program Changes:** Change of the purpose or personnel for which a current grant was made will automatically terminate the grant unless written approval is obtained; return of funds on a pro-rated basis will be required.
10. **Reports:** Progress of work conducted under grants must be reported to the Foundation at the end of each six month period in order to receive remaining Grant funding. Failure to submit a report will result in termination of the grant. **A detailed report is required at the termination of the grant period.**
11. **Discoveries:** Any discovery made under a program supported by the Foundation must be reported promptly to the Foundation, and application for patent may not be made without the prior written consent of the Foundation. (See Patent and Intellectual Property Policy attached herewith.)

12. Publicity: The grantee must advise the Foundation in writing prior to publicizing, in any manner, discoveries made or developed under a grant. The communication should explain fully the nature of the information to be divulged, the time, the place, and the manner of its presentation.
13. Publication and Exhibits: Any article or exhibit prepared by anyone associated with the work covered by a grant and dealing with the project should bear the credit line: "Supported in part/in entirety by a grant from the S.L.E. Lupus Foundation, Inc." Six copies of any publication bearing this credit line should be sent to the Foundation for their files.
14. Transfer of Grant: Grants may not be transferred from one individual or institution to another individual or institution without the prior written approval of the Foundation.
15. Deviation From Rules: Failure to abide by any rule governing grants will be considered sufficient reason to cancel the grant or refuse to consider any application a grantee has pending.
16. Change of Rules: The Foundation reserves the right to change or amend its rules governing grants at any time. Unless implementation of the project for which the grant was given has already commenced, the grantee agrees to abide by such changes or terminate the grant at the time it goes into effect.
17. Human Subjects: If human subjects are to be used in the research, written, informed consent must be obtained, and the research protocol must be approved by the appropriate committee of the grantee institution concerned with human safeguards. The investigator bears full responsibility for obtaining such approval and, further, certifies by agreeing to these rules that the investigator and/or the institution will be fully responsible for any financial liability and legal expenses resulting from research supported by the Foundation. This ruling will also pertain to animal research and the use of radioisotopes and biohazardous materials.
18. Cancellation: The Board of Directors, in consultation with the Medical Advisory Board of the Foundation, may, for cause, cancel a grant at any time upon 90 days notice, and require the return of any unused funds.
19. Governing Rules: By the act of applying for a grant, the applicant certifies that he/she has read and will abide by the accompanying rules governing Grants.

GENERAL INFORMATION AND INSTRUCTIONS FOR FELLOWSHIP OR CAREER DEVELOPMENT AWARD APPLICATIONS.

PLEASE NOTE: THE DEADLINE FOR ALL APPLICATIONS IS JUNE 20, 2008.

Applications must be submitted electronically to lhack@lupusny.org as a PDF file. In addition to the electronic submission, applicants are required to submit an original and two paper copies. The original paper copy must carry the signatures of both the applicant and the applicant's institution. There is no official application form except for the Human and Animal compliance pages.

Applications should be typed, single-spaced, with a font size of **12-point** or larger. Applications submitted with smaller fonts will be returned to the applicant. The information below is required. Each section must be completed. If not applicable, please indicate this. Incomplete applications will not be reviewed. Review of applications is facilitated if the outline given below is followed as closely as possible. **Supplementary material will not be accepted after the submission deadline.**

1. Write the words **Fellowship or Career Development Award** to indicate the nature of this application.
2. Name and address of institution, including department, phone number, fax number, email address, division, if any, and location of the laboratory where research is to be conducted.
3. Names and titles of principal and co-investigators, or of fellowship supervisor and applicant. Curricula vitae and a selective bibliography of each should be appended to the application. CV should, as a minimum, include: degrees held (with dates and schools), home address, daytime telephone number, awards and honors, membership in professional organizations, board eligibility or certification and positions held, including, in addition, any relevant research experience not otherwise listed.
4. Brief title of proposed research project.
5. Amount requested – Career Development Awards are limited to \$50,000 annually for up to three years; MD-Scientist Fellowship grants are limited to \$50,000 annually for up to three years; PhD-Basic Science Fellowships are limited to \$40,000 for the first year, \$45,000 for the second year and \$50,000 for the third year.
6. Proposed period of award (beginning and termination dates). Note: all awards begin in October 2008.
7. Brief/Abstract summary of the proposed research and its potential significance for lupus in lay language geared to a twelfth grade reading level, 50-100 words, suitable for use in publications.
8. Proposed budget: Proposed budget and sources of funding for each year, listed as follows:

	Requested from Foundation	Paid from other funds	TOTAL
Personnel, technical, Principal Investigator (Give names)	\$ _____	\$ _____	\$ _____
Fringe benefits	_____	_____	_____
Equipment	_____	_____	_____
Consumable supplies	_____	_____	_____
Total	\$ _____	\$ _____	\$ _____

Each item of equipment costing more than \$1000.00 should be listed separately. Supplies should be listed by major types, such as glassware, chemicals, animals, etc. Please note that Foundation policy does not provide funds for institutional overhead, or for major pieces of laboratory equipment.

1. a. For Career Development Award: Identify source of “other funds” in item #8 above. Indicate all current funding of all investigators named in the grant application. This should include funds from government, foundations and industry. The abstract of each grant application should be included as well as the title of the grant and the amount of support and support period. (If a fellow is the P.I. on this application, the funding of the head of the laboratory should be given.) In addition, list other support, committed or pending, for this and for related projects during the period indicated in item #6.
 - b. Indicate other pending grant applications, amounts and extent of overlap, if any. If overlap does exist, a statement regarding intended disposition of funds in the event of dual granting is required, signed by an official of the applicant’s institution. Ordinarily this will be return of funds to all but one granting agency, however, monies granted could be modified appropriately.
10. Research Plan: A description of the proposed research should include the following (maximum of six pages):
- a) Background and specific goals of proposal being submitted.
 - b) Methods of procedure.
 - c) Significance of the proposed work and its relevance to S.L.E.
 - d) Indicate as accurately as possible the estimated time required for the proposed studies, giving the approximate sequence of experiments. If the time required is likely to exceed the grant period, indicate your present plans for completion of the project, whether by you or others. Specifically what funding sources are committed or will be sought, and what personnel changes, if any, will occur?
 - e) Facilities available for this project, including laboratory space and major equipment. For Fellowship applications, indicate the clinical facilities available for training purposes and give a brief outline of the program including the percentage of time allotted to clinical training and to research.
 - f) An Appendix section of the application may contain only two (2) additional pages of references, tables, charts, and/or figures. One completed manuscript (either submitted or in press) may also be included.
11. For the Career Development Award please submit letters from three references, one of whom will act as a scientific sponsor, as well as curriculum vitae of the sponsor. For the Fellowship Award please submit three letters of reference, one of which must be from the mentor. It should include a description of the environment in which the proposed research will be performed, and a brief description of the applicant’s project and how it relates to the overall research goals of the mentor’s laboratory. The mentor must provide evidence of substantial commitment to lupus research. If the program director of the academic department is not included in the other two letters, then a brief statement from him/her affirming 80% protected research time is required. Letters of reference should be submitted directly to the S.L.E. Lupus Foundation, not to the grant applicant.
12. Please indicate to whom checks should be drawn and where they should be sent if grant is approved. Note: **ALL** checks are made out to the Institution and must be sent to the appropriate finance office.
13. Include at the end of the application the following statement:

“I have read and accept the current rules governing grants of the S.L.E. Lupus Foundation, Inc.”

followed by the signature of the principal investigator, co-investigator, or fellowship applicant, along with name, title and date. For **ALL** applications, the name and signature of the Institutional Officer is required on this statement. A letter of agreement from Co-Investigator, Collaborator or Consultant must be submitted along with research applications. For fellowship applications, the signature of the proposed supervisor should also appear below the “I have read...” statement.

14. All applicants must complete waiver forms attached herewith pertaining to use of Human or Animal subjects, if applicable to the applicant's project.
15. Applications for Fellowship and Career Development support should address the following questions:
 - a) If a grant is awarded, will the grantee's income be supplemented? If so, indicate the amount and source of such supplementation.
 - b) Is another application for support pending? If so, where?
 - c) Describe briefly (one-half page) the applicant's professional plans for the future.

HUMAN SUBJECTS

COMPLIANCE WITH GOVERNMENT REQUIREMENTS

The following statements are signed by an individual authorized to act for the institution and to assume on behalf of the institution the obligations imposed by the following:

The _____ agrees if
(Institution)

a research grant is awarded by the S.L.E. Lupus Foundation, Inc. to

(Applicant or Principal Investigator)

for the project

(Project Title)

and if human subjects are used in any of the activities supported by such award, that it will comply with all applicable U.S. Department of Health and Human Services regulations with respect to the rights and welfare of such subjects.

The _____ agrees to
(Institution)

indemnify and hold the S.L.E. Lupus Foundation, Inc. harmless from any claims arising from such activities, and acknowledges that the said Foundation does not and will not assume responsibility for the subjects involved.

APPROVAL BY THE INSTITUTIONAL OFFICER ON BEHALF OF INSTITUTION

(Signature)

(Above Name Typed)

Title

Attest (Institutional Seal)

ANIMAL SUBJECTS

COMPLIANCE WITH GOVERNMENT REQUIREMENTS

The following statements are signed by an individual authorized to act for the institution and to assume on behalf of the institution the obligations imposed by the following:

The _____ agrees if
(Institution)

a research grant is awarded by the S.L.E. Lupus Foundation, Inc. to

(Applicant or Principal Investigator)

for the project

(Project Title)

and if animal subjects are used in any of the activities supported by such award, that it will comply with all applicable U.S. Department of Health and Human Services regulations with respect to the rights and welfare of such subjects.

The _____ agrees to
(Institution)

indemnify and hold the S.L.E. Lupus Foundation, Inc. harmless from any claims arising from such activities, and acknowledges that the said Foundation does not and will not assume responsibility for the subjects involved.

APPROVAL BY THE INSTITUTIONAL OFFICER ON BEHALF OF INSTITUTION

(Signature)

(Above Name Typed)

Title

Attest (Institutional Seal)

PATENT AND INTELLECTUAL PROPERTY POLICY

- 1) All inventions or intellectual property made with support in whole or in part by research or training grants or awards from the S.L.E. Lupus Foundation, Inc., must be reported at the earliest practical time to the Grants Division of the S.L.E. Lupus Foundation. The grantee institution or individual awardee agrees to notify the Foundation immediately of the decision to apply for letters patent or other legal protection for intellectual property, and to consider seriously and in good faith, any comments or objections the S.L.E. Lupus Foundation may have concerning such applications. The Foundation agrees to keep all information confidential and to not release any information relating to such inventions, intellectual property or applications. All patenting expenses shall be borne by the grantee institution or individual awardee.
- 2) Title to any invention or intellectual property shall reside in the grantee institution to the extent that such title is claimed by the institution under its patent policy or procedure and paragraphs 3 through 8 shall apply. If a grantee institution has no established patent policy or procedure for administering inventions or intellectual property, or if the institutional patent policy or procedure does not claim rights for the institution or individual inventor, then the S.L.E. Lupus Foundation shall have the right to determine the disposition of invention or intellectual property rights and paragraphs 3 through 6 shall not apply.
- 3) Distribution of income derived from an invention or intellectual property which might include equity disposition shall be according to the policies of the grantee institution, although the S.L.E. Lupus Foundation would expect to participate in income derived from the invention or intellectual property to the extent and at a rate of remuneration determined by mutual agreement between the grantee institution and the S.L.E. Lupus Foundation no later than six months after first receipt of income. Such agreement shall be guided by the principle that the Foundation's proportion of sharing in the income shall be reasonably related to the Foundation's proportion of support for the invention or intellectual property.
- 4) If any invention or intellectual property is made with the joint support of the S.L.E. Lupus Foundation and other organizations, it is expected that income distribution shall be in accordance with the provisions of this policy. Should an exception be taken to this provision, the grantee institution, the S.L.E. Lupus Foundation, and other sponsoring agencies will confer to reach a mutually satisfactory disposition of invention or intellectual property rights.
- 5) No patent, patent application, or other type of protection shall be abandoned without first notifying the Grants Division of the S.L.E. Lupus Foundation. At such time, the grantee institution and individual awardee shall give the S.L.E. Lupus Foundation the opportunity to take title to the invention or other intellectual property.
- 6) The grantee institution shall agree that when it licenses any invention or intellectual property it will obligate the licensee as follows: The licensee agrees to exert its best efforts to commercialize or cause to be commercialized the invention or intellectual property as rapidly as practical, consistent with sound and reasonable business practices and judgment. In the event that the licensee has failed to commercialize the invention or property, the grantee institution within a number of years determined to be reasonable for the invention or intellectual property, the grantee institution upon conferring with the Foundation shall have the right to convert an exclusive license to a non-exclusive license or to terminate a non-exclusive license. If the licensee or grantee institution has an ongoing and active research, development, manufacturing, marketing or licensing program as appropriately directed toward the production and sale of the invention or intellectual property, the same would be deemed to be sufficient evidence that the licensee or grantee institution has commercialized the invention or intellectual property.
- 7) The S.L.E. Lupus Foundation, Inc. reserves the right to public acknowledgment for inventions or intellectual property resulting from support by the Foundation; however, the S.L.E. Lupus Foundation, Inc. name and logo may not be used in association with an invention or intellectual property without prior approval of the Foundation.
- 8) The S.L.E. Lupus Foundation, Inc. may have use of inventions or intellectual properties without payment of royalties or fees, but solely for use with the Foundation for intramural purposes and not for any of its grantee institutions or individual awardees.