

INSTITUTIONAL RESEARCH GRANTS

POLICIES

NOTICE

ALL independent investigators are eligible to apply as principal investigators for **INSTITUTIONAL RESEARCH GRANTS**. At any time, only one Institutional Research Grant may be in effect in an institution, and individual junior investigators must apply to their own institution's Institutional Research Grant committee for funding.

Effective August 2001

This revision supercedes all previous Policies for the Institutional Research Grant

AMERICAN CANCER SOCIETY, INC.

Extramural Grants Department

1599 Clifton Road, N.E.

Atlanta, Georgia 30329-4251

Voice: (404) 329-7558

Fax: (404) 321-4669

Website: <http://www.cancer.org>

Email: grants@cancer.org

MISSION

The American Cancer Society is the nationwide, community-based, voluntary health organization dedicated to eliminating cancer as a major health problem by preventing cancer, saving lives and diminishing suffering from cancer through research, education, advocacy, and service.

INSTITUTIONAL RESEARCH GRANTS: POLICIES

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1. THE EXTRAMURAL GRANTS PROGRAM

The American Cancer Society's Extramural Grants program seeks to support and promote the best cancer-related research across a wide range of health disciplines to meet societal needs of critical importance in the control of cancer. The program supports basic, preclinical, clinical (including cancer control, psychosocial-behavioral, and health services), epidemiologic, and health policy and outcomes research training.

Each year, the Society receives approximately 2,000 requests for research and health care professional training support. All proposals are subject to multilevel peer review to identify the most meritorious and innovative to be funded. The Society offers extramural support in various areas.

Research Grants for Independent Investigators

Research Scholar Grants for Beginning Investigators—Support basic, preclinical, clinical, and epidemiologic research projects. These grants are for investigators in the first eight years of their independent research careers. Initial awards are made for up to four years and for up to \$250,000 per year, including 25% indirect costs. These grants may be renewed once for a four-year period.

Research Scholar Grants in Psychosocial and Behavioral Research for Beginning and Senior Investigators—Support research projects centered on the psychosocial and behavioral aspects of cancer. These grants are for independent investigators at any stage in their career. Senior investigators are strongly encouraged to include an individual at an early career stage as co-principal investigator. Initial awards are made for up to five years and for up to \$500,000 per year, including 25% indirect costs. These grants may be renewed once for up to a five-year period.

Research Scholar Grants in Health Services and Health Policy and Outcomes Research for Beginning and Senior Investigators—Support research projects centered on health services and health policy and outcomes research. These grants are for independent investigators at any stage in their career. Senior investigators are strongly encouraged to include an individual at an early career stage as co-principal investigator. Initial awards are made for up to four years and for up to \$250,000 per year, including 25% indirect costs. These grants may be renewed once for a four-year period.

Research Opportunity Grants—Provide rapid, one-time funding for novel ideas or for targeting urgent problems with immediate human benefit. Awards are made for one year for up to \$75,000, including 25% indirect costs. There is no fixed deadline; however, a letter of intent is required.

Institutional Research Grants—Awarded to institutions as block grants to provide seed money for independent junior investigators to initiate research projects. Grants are made for one to three years, and average \$120,000 per year.

Training and Career Development Grants

Postdoctoral Fellowships—Support training of researchers who have received their doctorate to enable them to qualify for an independent career in cancer research (including basic, preclinical, clinical, psychosocial, behavioral, and epidemiologic research). Awards are made for one to three years with progressive stipends of \$35,000, \$37,000, and \$40,000 per year, plus a \$2,000 per year institutional allowance. Using special endowment funds, the Society annually selects several of the top-ranked fellows to receive special 3-year Fellowships with an award amount of \$138,000.

Clinical Research Training Grants for Junior Faculty—Support the training of junior faculty within the first four years of their independent faculty appointment to conduct mentored clinical, epidemiological, psychosocial, behavioral, or health policy and outcomes research. Awards are made for up to three years for up to \$150,000 per year, including 25% indirect costs. These grants may be renewed once for a two-year period.

Cancer Control Career Development Awards for Primary Care Physician—Support primary care physicians with a rank of instructor to assistant professor who are pursuing an academic career with an emphasis on cancer control research teaching and practice. Awards are made for three years with progressive stipends of \$50,000, \$55,000, and \$60,000 per year.

Physician Training Awards in Preventive Medicine—Awarded to institutions to support physician training in accredited preventive medicine residency programs that provide cancer prevention and control research and practice opportunities. Awards are made for four years in the total amount of \$300,000 based on an average of \$50,000 per resident training year.

Doctoral Training Grants in Clinical Oncology Social Work—Awarded to doctoral candidates to conduct research related to the psychosocial needs of persons with cancer and their families. Awards are made for up to three years with annual funding of \$20,000 (trainee stipend of \$15,000, and \$5,000 for faculty/administrative support).

Master's Training Grants in Clinical Oncology Social Work—Awarded to institutions to support the training of second-year master's-degree students to provide psychosocial services to persons with cancer and their families. One-year awards are made for \$12,000 (trainee stipend of \$10,000, and \$2,000 for faculty/administrative support).

Doctoral Degree Scholarships in Cancer Nursing—Awarded to graduate students pursuing doctoral study in the following cancer nursing fields: research, education, administration, or clinical practice. Awards are made for up to four years with a stipend of \$15,000 per year.

Master's Degree Scholarships in Cancer Nursing—Awarded to graduate students pursuing master's degrees in cancer nursing. Awards are made for up to two years in the annual amount of \$10,000.

Professorships

Research Professorships—Awarded to outstanding mid-career investigators who are making significant contributions to basic cancer research. Up to two awards are made annually for a 5-year term, which can be renewed once. The award amount of \$80,000 per year can be budgeted at the awardee's discretion.

Clinical Research Professorships—Awarded to outstanding mid-career investigators who are making significant contributions to clinical or epidemiologic cancer research, including cancer control; clinical trials directed toward new therapeutic approaches; psychosocial, behavioral, health services, and health policy and outcomes research. Translational laboratory research with clinical applications is also appropriate. Up to two awards are made annually for a 5-year term, which can be renewed once. The award amount of \$80,000 per year can be budgeted at the awardee's discretion.

Professors of Clinical Oncology—Awarded to outstanding clinicians and educators in the field of cancer who will enhance cancer education in medical, dental and other appropriate schools, and foster multidisciplinary cooperation in the care of persons with cancer. Awards are made for three to five years with a maximum of \$40,000 per year. Applicants must be sponsored and funded by their local American Cancer Society Division.

Professors of Oncology Nursing—Awarded to outstanding clinicians, educators, and researchers in oncology nursing who will enhance the cancer curriculum in graduate and undergraduate programs. The awards are made for three to five years with a maximum stipend of \$35,000 per year. Applicants must be sponsored and funded by their local American Cancer Society Division.

International Programs

Audrey Meyer Mars International Fellowships in Clinical Oncology—Provide one year of advanced training in clinical oncology at participating US cancer centers to qualified physicians and surgeons from other countries, particularly countries where advanced training is not readily available. This program is limited to non-US citizens and provides up to \$45,000 annual funding.

American Cancer Society UICC International Fellowships for Beginning Investigators—One-year fellowships funded by the American Cancer Society with the objective of fostering a bi-directional flow of knowledge, experience, expertise, and innovation between countries. Funding preference will be given to applicants who propose to conduct preclinical, clinical, epidemiology, psychosocial, behavioral, health services, health policy and outcomes or cancer control research. However, applications will be accepted from investigators that propose basic science projects. Application forms may be obtained from the UICC Fellowship Department at <http://fellows.uicc.org/>.

Special Initiatives

Targeted Grants for Research Directed at Poor and Underserved Populations—Provide support for research projects proposed by investigators at various stages of their

research careers. Applications will be accepted via three mechanisms: Research Scholar Grants, Clinical Research Training Grants for Junior Faculty, and Postdoctoral Fellowships.

Research projects must focus on poor or underserved populations, but may address a variety of behavioral, epidemiologic, policy, health delivery, and clinical, and basic science issues. Interdisciplinary collaborations are encouraged. The Society has targeted up to 10% of the research budget to this high-priority need

2. DEFINITIONS OF RESEARCH AREAS

Upon recommendation of the Advisory Committee on Research and Medical Grants (Blue Ribbon Committee, 1994-1995) the American Cancer Society uses the following definitions:

Basic research: Seeks to answer fundamental questions about the development and the nature of cancer.

Clinical research: Utilizes human subjects or materials and has direct application to the prevention, diagnosis, or treatment of cancer in the individual or group of individuals under study, or the rehabilitation (including quality of life issues) of the patient. Clinical research also includes:

- **Cancer control research:** Investigates how scientifically obtained information on prevention, early detection, early diagnosis, state of the art treatment, or rehabilitation can be efficiently and effectively applied to defined groups of people or at the community level to reduce the burden of cancer.
- **Health services research:** Also called research on access to care, this research deals with the ways by which people interface with health care delivery systems. It investigates the barriers to health care and the differing, and often changing, needs of patients due to changes in the health care system.
- **Psychosocial and behavioral cancer research:** Directed at understanding and improving the motivational factors in cancer prevention and screening, and the social and emotional impact of cancer and its treatment on individuals, their families, and their caregivers.

Preclinical (clinically relevant) research: Aims primarily at providing results which are intended to be applicable to the prevention, diagnosis or treatment of human cancer or to the rehabilitation of the cancer patient but are not yet ready for use in humans.

Epidemiologic research: Investigates the circumstances under which cancer occurs in populations.

Health policy and outcomes research: Investigates the creation and effects of laws and public policies that affect people who are making health decisions related to cancer control. Measures the effects of intervention and public and professional information and education; documents optimal patient care outcomes.

3. AUTHORITY FOR MAKING GRANTS

Institutional Research Grants are made by the Chief Executive Officer, on behalf of the Board of Directors, of the American Cancer Society.

4. PEER REVIEW OF APPLICATIONS

Applications are reviewed by the Peer Review Committee (PRC) on Institutional Research Grants. This committee is made up of approximately 10 members, including one or two "stakeholders." A stakeholder is an individual with or without formal training as a scientist or health professional who has a strong personal interest in advancing the effort to control and prevent cancer through research and training. This interest could stem from an intimate experience with the disease such as through survivorship, a family cancer experience, or through being a caregiver. Scientific members of the PRC on Institutional Research Grants generally have had experience with the Society's IRG Program.

At the committee meeting, the applications are discussed and a priority score is voted for each one. Members of the committee must leave the room if the application from their own institution is being evaluated. New applications are evaluated in terms of the potential for cancer research at an institution as judged by a description of the proposed program, the number of prospective junior faculty members (or professional equivalents) who would be recipients of the awards, and the number of faculty members in cancer-related fields.

Renewal applications are evaluated on the basis of: (a) accomplishments such as publications, awards, and national competitive grants obtained as a result of preliminary investigation supported by the IRG during the past grant period(s); (b) evidence of interaction between the institution and the individual awardees with the local Division or Unit of the American Cancer Society, and (c) documented need of continued support. The relevance of the research supported by individual allocations to cancer is an important factor in the evaluation of renewal requests for continued support.

Resubmitted applications will be reviewed in the same detail and compete on an equal basis with all other new applications and competing renewals.

The evaluations of the committees are provided to the Council for Extramural Grants (the Council) a multidisciplinary panel of senior scientists and two stakeholders, most of whom have previously served on a Peer Review Committee. After considering the priority scores of the applications, the amount of available funds and the Society's objectives, the Council determines which grants will be funded. No member of a Peer Review Committee or of the Council may serve concurrently on the Board of Directors or the National Assembly of the American Cancer Society.

5. SOURCE OF FUNDS

Funds of the American Cancer Society are obtained principally from public donations collected by more than two million volunteers. The amount available for grants each year is contingent upon the previous year's collections.

To disseminate information about the Society's Extramural Grants Program to our volunteers and to the public, grantees will be expected to give brief presentations of their

research to professional or lay audiences. The IRG program is a particularly fruitful mechanism for promoting interaction between beginning cancer investigators and volunteers in the local Divisions and Units of the Society.

6. TO WHOM GRANTS ARE MADE

Institutions, or a properly constituted group of institutions (consortia) located within the United States, its territories, or the Commonwealth of Puerto Rico, are eligible to receive IRGs. Unsolicited grant applications will not be accepted from, nor will grants be made for, the support of research conducted at for-profit institutions, federal government agencies (including the National Laboratories), or organizations supported entirely by the federal government. Grants are not made to individual investigators. Accordingly, an application must bear the signature of an official authorized to sign for the institution.

Applicants must be, at the time of the application, citizens or non-citizen nationals of the United States or its possessions and territories, or must have been lawfully admitted to the United States for permanent residence at the time of application. Permanent residents application, notarized evidence indicating that the candidate is in possession of an Alien Registration Receipt Card or has been approved for the issuance of such card as evidenced by an official passport stamp of the United States Immigration Service and that the form number of the card is I-551.

Personnel compensated in whole or in part with funds from the American Cancer Society are not considered employees of the Society. Institutions shall be responsible for issuing the appropriate IRS tax filings for all individuals receiving compensation from American Cancer Society funds hereunder, and shall be responsible for withholding and paying all required federal and state payroll taxes with regard to such compensation.

The American Cancer Society does not assume responsibility for the conduct of the investigation or the acts of the investigator, since both are under the direction and control of the grantee institution and subject to its medical and scientific policies. Grantee institutions must safeguard the rights and welfare of individuals who participate as subjects in research activities by reviewing proposed activities through an Institutional Review Board (IRB) as specified by the National Institutes of Health (NIH) Office for Protection from Research Risks (OPRR). Furthermore, grantee institutions must adhere to current U.S. Department of Health and Human Services guidelines regarding financial conflict of interest, recombinant DNA, research misconduct, and vertebrate animals.

7. DESCRIPTION OF INSTITUTIONAL RESEARCH GRANTS

An Institutional Research Grant (IRG) is a block award to an institution that enables it to give one or more "seed money" grants of up to \$20,000 each for one year to beginning investigators who have no national competitive research grant support, with the goal of attracting them into cancer research.

The purpose of the IRG is to support the initiation of promising new projects by junior faculty members (or their equivalents), so they can obtain preliminary results that will enable them to compete successfully for national research grants. IRGs are intended to support independent, self-directed investigators early in their careers, for whom the institution must provide research facilities or space customary for an independent investigator. Applicants

for the individual awards should be within eight years of their first independent research or faculty appointment. Support of senior investigators, postdoctoral fellows, or junior investigators who have received prior support from the IRG is not permitted.

Recipients of IRG sub-awards must be, at the time of the application, citizens or non-citizen nationals of the United States or its possessions and territories, or must have been lawfully admitted to the United States for permanent residence at the time of application. Permanent residents must submit, with the sub-award application, notarized evidence indicating that the candidate is in possession of an Alien Registration Receipt Card or has been approved for the issuance of such card as evidenced by an official passport stamp of the United States Immigration Service and that the form number of the card is I-551.

Since an IRG is awarded to an institution as a whole, funds should be available to support proposals from all health sciences schools, colleges, and departments. It is also possible for several institutions within a city, state or other geographical region to form a consortium to apply for an IRG. This assures access to the program by institutions that do not have a sufficiently large pool of beginning investigators on their own. Institutions that have IRGs are encouraged to reach out to smaller biomedical research institutions in their region to form such a consortium. Institutions are encouraged to partner with other institutions that are in the same geographical area that would not on their own have a sufficiently large pool of junior faculty to apply for an IRG.

A. LOCAL INSTITUTIONAL RESEARCH GRANT COMMITTEE

The American Cancer Society believes that the established faculty at the institution are in the best position to determine who should be the individual recipients of the seed money awards. Accordingly, the institution, or group of institutions, must establish a local IRG Review Committee, made up of representatives from the institution's schools and departments of medical, behavioral, biological, and physical sciences. The sole purpose of this Committee should be to receive and review applications from eligible junior faculty for individual seed grant awards from the American Cancer Society IRG. The use of the Committee to allocate funds from other sources is not permitted.

The following procedure for application review is recommended:

- (1) At least one call for applications and one formal meeting of the local IRG Committee should occur each year, more often for larger institutions/grants. There should be widespread awareness throughout the institution of the availability of funds for all interested individuals (versus than limiting such information to department heads).
- (2) Individual applicants submit written proposals for funding, preferably using the forms and biographical information sheets provided with the application. The IRG Committee chair assigns each request to two or more committee members for review. Written evaluation of the projects should be supplied to the individual applicants after the funding decisions have been made.
- (3) Committee members rank applications via an NIH-type priority score.

Members from the same department as the applicant should abstain from voting and leave the room while the application is being discussed. The local IRG Committee sets a "payline" according to the quality of the science and the amount of money available.

- (4) Following the meeting, the IRG Committee chair communicates the results of the review to all applicants. Awardees should be informed that publications resulting from research supported by the American Cancer Society should contain an acknowledgment, such as "Supported by Grant #IRG _____ from the American Cancer Society

The committee members, who should serve on a rotating basis, should include both senior and junior nationally funded faculty. The chair of the local IRG Committee, who will also serve as the principal investigator of the grant, should be, with rare exceptions, from the ranks of the senior faculty. Neither the principal investigator nor any members of the local IRG Committee may receive funds from the IRG. To foster communication about the IRG Program to volunteers in the Society's Units and Divisions, institutions are urged to invite one or two Division representatives to serve as members of the local IRG Committee. (Please note: Division staff may not vote on allocating funding to projects as this would constitute a conflict of interest.) In addition, the principal investigator should assume responsibility for contacting the appropriate American Cancer Society Division/Unit Staff to develop the plan for Division-institution interaction.

B. BASIS AND AMOUNT OF AWARD

The total amount of money awarded to an institution is based on the size of the applicant pool, defined as the number of junior investigators (usually assistant professor or equivalent) who are eligible to apply for independent national competitive research grants, but who do not currently hold such a grant.

The amount of the maximum individual allocation under the IRG is \$20,000 for one year only. This amount will be prorated for awards of less than one year. Institutions, at their own discretion, may choose to award less than the maximum, or may supplement the award from other institutional funds.

C. SPECIAL INTEREST AWARDS

An institution may include in its application a module requesting up to \$20,000 per year to support research by junior faculty in areas of special interest to the Society. These areas currently include psychosocial and behavioral research, health policy or services research, cancer in the poor and underserved, and childhood cancer. The merits of this request should receive separate consideration by the local IRG Committee. Depending on the number of special interest applications received by the institution, the principal investigator may wish to appoint a subcommittee to review these applications, with one member of the subcommittee reporting to the parent local IRG Committee.

The National PRC will review a request for a special interest module separately from the other portion of the application, and funds awarded for the module may not

be used for any other purpose. Institutions that do not wish to apply for this special module may consider applications from junior faculty in these areas in the overall competition for individual IRG allocations.

D. STUDENT STIPEND

A stipend of \$2,500 will be allowed each year for one outstanding medical or graduate student in the professional health sciences to pursue cancer-related research while still enrolled in a formal degree program. The purpose of the student stipend is to expose future clinical health professionals to the possibilities of a cancer research career. Therefore, students enrolled in research-oriented degree programs are not eligible. In order for the Society to evaluate the success of this program, we ask that the institution make every effort to follow the student's progress until his/her career path is established. In many instances, this will be longer than five years.

8. TERM OF THE AWARD

New grants are awarded for a three year period. Grants may be competitively renewed. Renewal awards may be from one to three years, depending on the merit of the application. The length of a funded renewal is determined by the Peer Review Committee.

Extension Without Additional Funds. If an institution's renewal application is not successful, then, and only then, can an extension in time be granted. This extension may be for up to one year without additional funds upon written request from the principal investigator. The request must be received before the expiration date of the grant.

9. APPLICATION DEADLINES

American Cancer Society grant application forms are available for downloading from our Website (www.cancer.org). We suggest that applicants contact their Grants Office to find out the best method of receiving grant applications. You may call the Society at 404-329-7558 to obtain the name of your institutional contact person or to address any problems using the electronic version of the application.

Deadline for Receipt of Applications	October 1
Deadline for Supplemental Material	December 15
Preliminary Notification (post-Peer Review Committee Meeting)	March
Final Notice (after Council Meeting)	May
Activation Date	July 1

The application must be received on or before the deadline to allow adequate time for processing and review by the Peer Review Committees and the Council. The deadline will be strictly enforced and a late application will be returned to the investigator. If the deadline falls on a weekend or holiday, applications will be accepted up to 5:00 p.m. the following

business day. Preliminary information regarding the status of an application will be mailed early March for applications submitted for the October deadline.

Supplemental materials will be accepted after the October 1 deadline through December 15. However, these items should be limited to updated information about past awardees, i.e., additional grants received, articles published, or information about the recent activities of the institution's IRG committee.

Questions about completing the IRG application form should be directed to the Program Director, Virginia (Ginger) Krawiec, MPA, at 404-329-7612, e-mail: <Ginger.Krawiec@cancer.org>

10. ANNUAL REPORTS

Each year of the award, but no later than June 30, the principal investigator must submit a report of the annual IRG project allocations. This report shall consist of the following:

- The name of each awardee with degree(s)
- The title of the project, term and the amount awarded

This report should be sent to the Program Director along with copies of the Research Promotion Forms for each awardee (IRG Application page 24: Application for An Individual Allocation, page 4). This information will be added to the database record for your grant and provided to the local ACS Division to facilitate understanding of the program and interaction with the recipients. Submission of this information early in the grant year is strongly encouraged.

11. ALLOCATION AND EXPENDITURE OF FUNDS

Funds must be allocated to the individual awardees by the local IRG Committee before the expiration date indicated in the award letter, and should be expended by them within one year of such allocation. Once the award was made to the individual, the Society considered the funds expended. The institution can decide internally to extend the term of the individual's sub-award.

There cannot be more than one IRG in effect at any one time. If the entire award is not allocated within the term of a grant, the unallocated funds cannot be carried forward to a renewal or to any other grant. However, if an IRG is not renewed, the expiration date of the grant may be extended for up to one year without additional funds. The principal investigator must submit such a request for extension in writing prior to the expiration date.

12. EXPENDITURES ALLOWED

- Research supplies and animal maintenance
- Technical assistance
- Domestic travel when necessary to carry out the proposed research program
- Publication costs, including reprints
- Costs of computer time
- Special fees (pathology, photography, etc.)
- Stipends for graduate students and postdoctoral assistants if their role is to promote and sustain the project presented by the junior faculty member
- Equipment costing less than \$2,000. Special justification is necessary for items

exceeding this amount, and permission must be obtained from the Society's Extramural Grants Department for the purchase of such equipment

- Registration fees at scientific meetings

13. EXPENDITURES NOT ALLOWED

- Secretarial/administrative personnel
- Salary of principal investigator (IRG Chairman or individual awardee)
- Tuition
- Foreign travel; special consideration will be given for attendance at scientific meetings held in Canada
- Honoraria and travel expenses for visiting lecturers
- Per Diem charges for hospital beds
- Non-medical services to patients
- Construction or building maintenance
- Major alterations
- Purchasing and binding of periodicals and books
- Office and laboratory furniture
- Office equipment and supplies
- Rental of office or laboratory space
- Recruiting and relocation expenses
- Dues and membership fees in scientific societies

14. INDIRECT COSTS

American Cancer Society grants are not designed to cover the total cost of an IRG Program. The institution is expected to provide the required physical facilities and administrative services. So that more money will be available to the junior investigator, indirect costs are not allowed on Institutional Research Grants.

15. PAYMENTS

Payments on grants will be made at the end of each month to the institution and mailed to the address indicated at the bottom of the cover page of the application. Acknowledgment of payment is not required.

16. FINANCIAL RECORDS AND REPORTS

The IRG account must be kept separate from all other research grant accounts. For ongoing grants, each renewal constitutes a separate grant. This account, with substantiating invoices and payrolls, should be available at all times for audit by representatives of the Accounting Department of the Society. It is not necessary to set up separate accounts for each individual awardee, although the institution may do so to facilitate its own bookkeeping.

For the Society's purposes, funds are considered expended once they have been allocated from the IRG to the individual investigator, who then has a full year in which to spend the monies allocated. Since many allocations are not made until late in the award cycle, the final report of expenditures is not due until 15 months after the expiration date stated in the award letter.

Report of expenditure forms will be mailed to the responsible financial officer of the institution within one year after the expiration date of the grant. The report is to conform with the instructions printed thereon, be signed by the responsible financial officer of the institution and the principal investigator, and returned with a refund of any unexpended balance.

The Society is not responsible for the over expenditure of grant funds or for expenditures made before the starting date of a grant.

17. CANCELLATION

In the event of cancellation of an IRG, all unexpended funds shall be returned to the Society.

18. CHANGE OF PRINCIPAL INVESTIGATOR

The American Cancer Society must authorize any request for a change of principal investigator. Such a request must be submitted in writing and signed by an authorized official of the institution. Biographical information on the new principal investigator must be sent to the Program Director for IRGs before the request can be approved.

19. PATENTS

As a not-for-profit organization supported by public contributions, the Society believes it has the responsibility to adopt necessary safeguards to make reasonably certain that potentially beneficial discoveries are developed regardless of their commercial profitability. The Society's patent policy is designed to insure that such discoveries are brought to practical application, while at the same time, providing the grantee institutions responsible for them with sufficient flexibility regarding the funding of research and the patenting and development of any discoveries made there under. Please note the following:

- A. A written report to the Society of the progress of all research will be submitted, pursuant to Section 10 of "POLICIES ON INSTITUTIONAL RESEARCH GRANTS."
- B. Copies of any patent application, invention disclosure and other pertinent materials should be filed with the Society at the time the patenting process is commenced.
- C. The Society will defer to the established patent policy of the not-for-profit grantee institution, provided:
 - That such established policy is consistent with the purposes and obligations of the Society.
 - That the patent application and the patent, if subsequently granted, will not be sold or assigned without written approval of the Society.
 - That the grantee will not grant an exclusive license under such patent to any for-profit person or organization for a period to exceed ten (10) years without written permission of the Society.
 - The patent application will not be abandoned without notifying the Society and permitting it to take title and pursue the patent at its own expense.
 - If, after a reasonable period, which in no case shall be less than two years, the not-for-profit institution, its grantee or licensee, has not brought the patented invention to practical application, the Society shall have the right:
 - (a) To require justification on the part of the patent holder for this failure or alternatively,

- (b) To require the not-for-profit institution, its assignee or licensee to grant a non-exclusive, partially exclusive or exclusive license to a responsible applicant, upon reasonable terms, and if such a request is refused, the Society reserves the right to grant such a license itself.
- D. If the grantee institution has no established patent policy, the Society shall have the right to determine disposition of patent rights, subject to paragraph E below. The Society may, in such a situation, submit the invention to a qualified organization for patenting and licensing such as the Research Corporation, or to any other responsible applicant.
- E. If the patent policies of the grantee institution, or any organizations that provided joint support for the invention, conflict with the Society's:
- Those organizations, the institution, the investors and the Society will confer to arrive at a mutually acceptable resolution in conformity with the Society's policy of bringing appropriate inventions to practical application as expeditiously as possible.
 - While it is not the Society's intent to derive financial remuneration from an invention, it may, nonetheless, elect to participate in net royalty income, should one or more of the other funding agencies wish to retain royalty rights. In that case, the Society's portion of that income shall be reasonably related to its proportion of support for the invention. "Net royalty income" shall be the difference between gross royalties received from the invention less direct out-of-pocket patenting costs. The Society shall give notice of its intent to receive such income not later than one year after notice of patenting of the invention is reported to it.
- F. It is the Society's wish that any royalty income earned by the not-for-profit institution, after payment of expenses incidental to the administration of the subject invention, will be used for the continued support of scientific research. However, the Society, in the last analysis, will defer to the patent policy of the institution.