

THE AGOURON INSTITUTE

GRANT POLICY STATEMENT 2017*

In 1998 the Board of Directors of the Agouron Institute decided to make highly leveraged investments in basic research to continue their goal of making significant contributions in the fields of biology and chemistry. In this Grant program, there are two basic activities of the Institute:

- 1) The Institute conducts its own studies to evaluate a field of research and define specific resource needs.

Included among its activities are the hosting of meetings to which major scientists in the field are invited to discuss current research, technology and resource needs. The Institute issues reports on the status of fields of research to bring to the attention of federal funding agencies and private foundations resource gaps and how the strategic input of funds can accelerate the progress of science.

- 2) The Institute provides grants for the support of specifically solicited projects.

The Institute does not accept unsolicited grant applications. Upon completion of a study, the Institute will contact researchers it wishes to consider for grant support. At that time, a brief proposal with a budget will be requested. The Board of Directors of the Agouron Institute authorizes the issuance of all grants.

GRANTS awarded by the Agouron Institute are made to the institution that employs the investigator, rather than directly to the individual investigator. The host institution must be eligible to accept Agouron Institute funding as defined below.

GIFTS awarded by the Agouron Institute are made to individuals at eligible host institutions. The host institutions must be eligible to accept Agouron Institute funding as defined below and accept the gift on behalf of the gift recipient. These funds are usually provided for specific projects.

GRANTEE is defined as the individual or institutional recipient of an Agouron Institute grant or gift. The host institution is responsible for fulfilling the requirements of the award as outlined in the Grant Policy Statement 2015.

Reporting requirements as described below apply to grants and gifts issued by the Agouron Institute.

* Grant Policy 1999, Amended 2002, 2015, and 2017. Effective May 1, 2017.

GRANT/GIFT ELIGIBILITY

There are no citizenship or residency restrictions on investigators funded by the Agouron Institute. Only organizations that have permanent, tax-exempt status from the federal government (U.S. tax code 501(c)3) or equivalent public charity status in other countries are eligible to receive Agouron Institute grants or gifts. Such institutions include universities and colleges, medical and other professional schools, and other not-for-profit institutions.

INDIRECT COSTS FOR GRANTS/GIFTS

Agouron Institute grants are not intended to cover total costs of a research project but rather provide the necessary additional funds that might otherwise be difficult to obtain to facilitate the timely completion of the research work. The Agouron Institute will reimburse the indirect costs of grantee institutions up to 15% of direct costs of each project, with the exception of expenses for permanent equipment (exceeding \$5,000) for which indirect costs are not provided.

Agouron Institute funds not designated as indirect costs may not be used for indirect costs. The use of Agouron Institute grant/gift funds should be strictly dictated by the research expenses of the principal investigator to whom the funds were awarded.

GRANT/GIFT DURATION AND PAYMENT

In general, the Institute does not fund long-term research projects requiring continuing support. Grants/gifts can be awarded at any time during the year and will generally provide support for periods of one to three years.

An official of the grantee institution must acknowledge acceptance of an Agouron Institute grant/gift by signing and returning an electronic copy of the Research Grant/Gift Summary Form. Either designated check payee and address to send funds or complete wire transfer information should be provided. Funds will be issued in yearly installments at the beginning of each grant year. A no-cost extension may be requested if annual funds are not fully expended in one year.

BUDGET

Grants/gifts are intended to facilitate and expedite progress in a particular area of research including the timely dissemination of new findings. Funds may be used to support multiple aspects of a research project including personnel salaries, equipment, supplies, travel to scientific meetings and scientific publication costs.

The Institute recognizes the need for researchers, occasionally, to change budget items. Major changes involving more than 10% of the annual budget require Institute approval. All minor changes may be done without Institute approval but should be described in the annual financial report.

SMALL GRANTS/GIFTS IN AID

Small-Grants/Gifts-in-Aid (SGIA) are generally issued for partial meeting support or small projects. No indirect costs are provided with meeting grants and funds may not be used for indirect costs. Total funds must be used for the designated meeting. The Agouron Institute will reimburse indirect costs of grantee institutions up to 10% of direct costs of SGIA for small projects.

POSTDOCTORAL FELLOWSHIPS

Postdoctoral fellowships are issued directly to the host institution and do not provide indirect costs. The complete fellowship amount (stipend, research allowance and healthcare allowance) is awarded for the exclusive use of the fellow. The full stipend must be issued to the fellow. Permitted uses of the research allowance are uses following the institutional practices of the fellow's institute. This may include purchase of supplies, computer equipment, and travel for meetings. These funds may not be used for healthcare expenses. Use of the research allowance is dictated solely by the decisions of the fellow and not by the host institution or scientific sponsor.

Annual healthcare allowance (for medical, dental and vision coverage) is provided to cover the personal monthly healthcare costs for the fellow and his/her family. Unexpended funds must be returned to the Agouron Institute at the end of the fellowship period.

Fellowships funded by the Agouron Institute but administered by an existing fellowship funding agency will follow the rules of that agency.

USE OF HUMANS, ANIMALS, RECOMBINANT DNA

The Agouron Institute requires that all investigations involving the use of human subjects, human tissue, laboratory animals, and recombinant DNA follow the guidelines as prescribed by the host institution and its appropriate committees on clinical investigations, animal care and use, and biohazards.

The Institute endorses the NIH guidelines for the study of human subjects and biohazards, and the NRC guidelines for care and use of laboratory animals.

GUIDELINES FOR HUMAN GENOME ANALYSES

As a condition of grants in support of whole genome or whole exome sequencing, the Agouron Institute requires from applicants or proposed vendors written confirmation of: (1) the price to be charged for sequence data per genome during the term of the project; (2) the form of the data files to be provided (e.g. BAM, VCF) and the proposed method of transmitting them; (3) any charges for short or long-term storage of, or access to the data by project participants; and (4) the availability of infrastructure that assures timely access to and effective use of project data by project participants and enables timely sharing of project data with other authorized parties in a manner consistent with current NIH Genomic Data Sharing Policy.

LIABILITY

The Agouron Institute is not responsible for any legal action arising from the grants, gifts and fellowships that it funds. The host institution, grantee, or fellow releases the Agouron Institute from all claims or liability that may occur from the conduct of the host institution, grantee or fellow that it funds.

INTELLECTUAL PROPERTY

Intellectual property developed under a grant from the Agouron Institute will be treated in accordance with the policies and practices of the grantee institution. The Agouron Institute does not require assignment to the Institute of rights in any invention or discovery developed through research supported by the Institute.

Inventions made during the course of a project funded by the Institute should be reported to the Institute in the Annual and Final Scientific Progress Reports.

ANNUAL FINANCIAL REPORTS

An annual summary of grant/gift expenditures must be submitted within 60 days after the expiration date of each year of the grant as indicated in the award letter. Signature of the institution's financial officer is required.

ANNUAL SCIENTIFIC PROGRESS REPORTS

Grantees must submit a two-page scientific progress report within 30 days before the expiration date of each year of the grant as indicated in the award letter. This report is due before the subsequent year grant payment will be issued to the host institution. Copies of scientific publications resulting from Agouron Institute funding should be provided.

FINAL SCIENTIFIC PROGRESS REPORT

A three-page final report including a list of resulting publications, a copy of each publication and a description of any patentable inventions or discoveries must be submitted within 60 days after termination of the grant.

PUBLICATIONS

Publications resulting from research supported by the Agouron Institute must include the following acknowledgment: “Supported by Research Grant #... from the Agouron Institute.”

Postdoctoral fellows supported 100% by Agouron Institute grant funds are requested to acknowledge the Agouron Institute in their publications and may list themselves as “Agouron Institute Fellows”.

OWNERSHIP OF EQUIPMENT

Equipment purchased with Agouron Institute grants is primarily for the use of the principal investigator and collaborators. The host grantee institute will hold title to the equipment. In the event the principal investigator transfers to another institution, any equipment purchased with Agouron Institute funds that is required for the continuation of the research project may be transferred to the new institution. The new institution will hold title to the transferred equipment.

Equipment purchased with Agouron Institute gifts may be intended for use by multiple laboratories at the host institution. The host institution will hold title to the equipment. In the event the principal investigator transfers to another institution, the Agouron Institute will make a decision on the disposition of the specific equipment.

CHANGE OF GRANTEE’S INSTITUTION

Agouron Institute grants/gifts may be transferred from one institution to another only with written approval from the Institute.

The following documents must be submitted to receive grant/gift transfer approval: 1. A letter from an administrative official at the present grantee institution relinquishing the

grant/gift, 2. A final financial report that shows actual expenses, unliquidated obligations, and an estimated unexpended balance, and 3. A letter from an administrative official at the new institution accepting transfer of the grant/gift.

A check for the unexpended funds from the present institution should be returned to the Agouron Institute. The funds will be re-issued to the grantee's new host institution.