

**AMERICAN CANCER SOCIETY  
RESEARCH SCHOLAR GRANTS POLICIES**

**Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research**

**Research Scholar Grants in Psychosocial, Behavioral and Cancer Control Research**

**Research Scholar Grants in Health Services and Health Policy Research**

January 2003

This revision supercedes all previous Research Scholar Grant Policies

**AMERICAN CANCER SOCIETY, INC.**

Extramural Grants Department

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**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.

## RESEARCH SCHOLAR GRANTS: POLICIES

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## Research Scholar Grants--Policies

### 1. THE EXTRAMURAL GRANTS PROGRAM OF THE AMERICAN CANCER SOCIETY

The American Cancer Society's Extramural Grants Program seeks to support and promote the best cancer-related research across a wide range of disciplines to meet critically important needs in the control of cancer.

Each year, the Society receives approximately 2,000 requests for research and health care professional training support. All proposals are subjected to multilevel peer review that identifies the most meritorious and innovative projects for funding. The Society offers extramural support in various areas.

#### Research Grants for Independent Investigators

- **Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research**—Support investigator-initiated research projects in basic, preclinical, clinical and epidemiologic research. Awards are for up to four years and for up to \$200,000 per year (direct costs), plus 20% allowable indirect costs. Grants may be renewed once for a four-year period. *Eligibility Criteria: Investigators in the first eight years of an independent research career or faculty appointment are eligible to apply.*
- **Research Scholar Grants in Psychosocial, Behavioral and Cancer Control Research**—Support investigator-initiated research projects in psychosocial, behavioral, and cancer control research, including epidemiologic approaches to psychosocial and behavioral research. Awards are for up to five years and for up to \$400,000 per year (direct costs), plus 20% allowable indirect costs. These grants may be renewed once for up to an additional five years. *Eligibility Criteria: Independent investigators at any stage of their research careers are eligible to apply. However, senior investigators are strongly encouraged to include as co-investigator a faculty member at an early stage of his/her career.*
- **Research Scholar Grants in Health Services and Health Policy Research**—Support investigator-initiated research projects in health services and health policy research. Awards are for up to four years and for up to \$200,000 per year (direct costs), plus 20% allowable indirect costs. These grants may be renewed once for a four-year period. *Eligibility Criteria: Independent investigators at any stage in their research career are eligible to apply. However, senior investigators are strongly encouraged to include as co-investigator a faculty member at an early stage of his/her career.*
- **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 \$60,000 (direct costs) plus 20% allowable indirect costs. There is no fixed application deadline; however, a letter of intent is required. *Eligibility Criteria: Independent investigators at any stage of their research careers are eligible to apply.*
- **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.

## **Mentored Training and Career Development Grants**

- **Postdoctoral Fellowships**—Support the training of researchers who have received a doctorate enabling them to qualify for an independent career in cancer research (including basic, preclinical, clinical, cancer control, psychosocial, behavioral, epidemiology, health services and health policy research). Awards are for one to three years with progressive stipends of \$37,000, \$39,000, and \$42,000 per year, plus a \$2,000 per year institutional allowance. Depending on availability of special endowment funds, the Society annually selects one or more of the top-ranked fellows to receive special 3-year Fellowships with an award of \$144,000.
- **Mentored Research Scholar Grants in Applied and Clinical Research**—Support mentored training of junior faculty within the first four years of their faculty appointment to become independent investigators in clinical, cancer control, epidemiologic, psychosocial, behavioral, health services, or health policy research. Awards are for up to five years and for up to \$135,000 per year (direct costs), plus 8% allowable indirect costs. These grants are not renewable.
- **Cancer Control Career Development Awards for Primary Care Physicians**—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 for four years in the total amount of \$300,000, based on an average of \$50,000 per resident training year.

## **Predoctoral Training**

- **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 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. The one-year awards are 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 studies in the fields of cancer nursing research, education, administration, or clinical practice. Awards are 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 \$10,000 annually for up to two years.

## Professorships

- **Research Professorships**—Awarded to outstanding mid-career investigators who are making groundbreaking contributions to basic cancer research. Up to two 5-year awards are made annually. They can be renewed once. The award of \$80,000 per year can be budgeted at the recipient's discretion.
- **Clinical Research Professorships**—Awarded to outstanding mid-career investigators who are making groundbreaking contributions to clinical or epidemiologic cancer research, including cancer control; clinical trials directed toward new therapeutic approaches; psychosocial, behavioral, health services, and health policy research. Translational laboratory research with clinical applications is also appropriate. Up to two 5-year awards are made annually. They can be renewed once. The award of \$80,000 per year can be budgeted at the recipient's discretion.
- **Professors of Clinical Oncology**—Awarded to outstanding clinicians and educators who will enhance cancer education in medical, dental and other appropriate schools, and foster multidisciplinary cooperation among professionals caring for 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 Divisions.
- **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 annually.
- **American Cancer Society UICC International Fellowships for Beginning Investigators**—Provide one-year fellowships of up to \$40,000 funded by the American Cancer Society to foster 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 research or cancer control research. However, applications will be accepted from investigators proposing basic science projects. Application forms may be obtained from the UICC Fellowship Department at <http://fellows.uicc.org/>.

## Special Initiatives—Request for Applications (RFA)

- **Targeted Grants for Research Directed at Poor and Underserved Populations**—Provide support for research projects that focus on poor or underserved populations and address a variety of clinical, cancer control, behavioral, epidemiologic, health policy, health services, and basic science issues. Applications will be accepted via three mechanisms: Research Scholar Grants, Mentored Research Scholar Grants in Applied and Clinical Research, or a Postdoctoral Fellowship. *Eligibility Criteria: Independent investigators at any stage of their research careers may apply for the Research Scholar Grant; eligibility criteria for Mentored Research Scholar Grants in Applied and Clinical Research and Postdoctoral Fellowships are restricted as indicated in the description for these funding opportunities.*

## 2. DEFINITIONS OF RESEARCH AREAS

Incorporating recommendations of the Advisory Committee on Research and Medical Grants, the American Cancer Society uses the following definitions:

**Basic research:** Directed to understanding the events related to the development or prevention of cancer at the molecular, cellular, and organismic levels, as well as the discovery and development of new anticancer drugs or other anticancer therapies.

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

**Epidemiology research:** Investigates the circumstances under which cancer occurs in populations, including the epidemiology of human behavior and lifestyle factors, as well as molecular epidemiology and gene-environment interactions.

**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.

**Cancer control research:** Investigates how scientifically obtained information can be efficiently and effectively applied to defined groups of people or at the community level to reduce the burden of cancer.

**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.

**Health services research:** Examines the interface of the health care system with patients, with the goal of improving access and reducing barriers to optimal health care.

**Health policy research:** Examines the effects of public policy and laws on public health and access to care, and on reducing barriers to and disparities in health care.

## 3. AUTHORITY FOR MAKING GRANTS

Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research, Research Scholar Grants in Psychosocial, Behavioral and Cancer Control Research and Research Scholar Grants in Health Services and Health Policy Research are made by the Chief Executive Officer, on behalf of the Board of Directors of the American Cancer Society.

## 4. PEER REVIEW OF APPLICATIONS

The Society's Scientific Program Directors distribute the applications to the most appropriate Peer Review Committee and then assign each application to at least two committee members for initial scientific review. Each committee generally has between 15 and 25 members who are leaders in their areas of expertise plus 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.

These committees evaluate: (a) the scientific merit, originality, and feasibility of the application, (b) the qualifications, experience and productivity of the applicant, and all the members of the investigative team, (c) the facilities and resources available, and (d) the promise of the research as related to the control of

cancer or to the benefit to be gained by the person with cancer. At the Peer Review Committee meeting, the applications are discussed and a priority score is voted for each one. The evaluations of the committees are provided to the Council for Extramural Grants (the Council), a multidisciplinary panel of senior scientists, most of whom have previously served on a Peer Review Committee, plus two stakeholders. 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.

To disseminate information about the Society's Extramural Grants Program to our volunteers and to the public, grantees are expected to occasionally give brief presentations of their research to professional audiences or the general public.

## **6. TO WHOM RESEARCH SCHOLAR GRANTS ARE MADE**

Applicants must be, at the time of the application, U.S. citizens, non-citizen nationals or permanent residents of the U.S. Permanent residents must submit with the application notarized evidence indicating that they have an Alien Registration Receipt Card (I-551) or have 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. Non-citizen nationals are persons, who, although not citizens of the United States, owe permanent allegiance to the U.S. They are generally persons born in outlying possessions of the United States (e.g., America Samoa and Swains Island).

Research Scholar Grants are made to not-for-profit institutions located within the United States, its territories, and the Commonwealth of Puerto Rico. 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. Applications may be submitted by qualified academic institutions on behalf of Veteran Affairs Medical Centers provided that a Dean's Committee Memorandum of Affiliation is in effect between the two institutions.

An application for a grant must bear the signature of the official authorized to sign for the institution. Signatures of a department head and/or dean of a college are not sufficient. 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 Grantor's 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 the institution's 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 Human Research Protections, DHHS (OHRP). 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 RESEARCH SCHOLAR GRANTS

Research Scholar Grants are intended to provide the resources for investigator-initiated research in a variety of cancer-relevant areas. These grants typically cover the cost of items such as salaries, consumable supplies, special equipment and other miscellaneous items required to conduct the proposed research. Applicants must be independent, self-directed researchers for whom their institution must provide space and other resources customary for independent investigators. The application must convey the commitment of the institution to the applicant and the proposed research activities.

- **Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research** are intended to support independent, self-directed researchers in the first eight years of their independent research careers to support basic, preclinical, and clinical and epidemiology research projects.
- **Research Scholar Grants in Psychosocial, Behavioral, and Cancer Control Research** are available to independent investigators at any stage of their career to support research projects centered on the psychosocial and behavioral aspects of cancer. Senior principal investigators are strongly encouraged to include an individual at an early career stage as co-investigator.
- **Research Scholar Grants in Health Services and Health Policy Research** are available to independent investigators at any stage of their careers to support research projects centered on conducting health services and health policy research. Senior principal investigators are strongly encouraged to include an individual at an early career stage as co-investigator.

## 8. ELIGIBILITY RULES

Individuals applying for a new Research Scholar Grant must have an independent research or faculty position. Applicants for Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research must be within eight years of their first independent research or faculty appointment at the time of application, whereas applicants for Research Scholar Grants in Psychosocial, Behavioral and Cancer Control and Research Scholar Grants in Health Services and Health Policy Research are available to investigators at any stage of their career.

### **Targeted Research Scholar Grants for Research Directed at Poor and Underserved Populations—**

Provide support for research projects that focus on poor or underserved populations and address a variety of clinical, cancer control, behavioral, epidemiologic, health policy, health services, and basic science issues. The targeted program is open to investigators at any stage of their career. This includes applicants for the Targeted Research Scholar Grant in Basic, Preclinical, Clinical and Epidemiology Research.

**A. Independence.** Independent investigators must demonstrate intellectual independence and must have committed research facilities. Thus, the award will be made only for project-related work that is wholly directed by the applicant and is not intended to provide support for continuation of postdoctoral training. Further evidence of independence and institutional support may include at least partial institutional hard-money support and start-up/equipment money.

The following general guidelines are used by Peer Review Committees to determine eligibility:

- **Degree**—Ph.D., M.D., or an appropriate degree in field of specialty. In special situations, a lower degree combined with equivalent research experience may be acceptable.
- **Title/Appointment**—Assistant Professor (or higher), Research Assistant Professor, or comparable position (i.e., Assistant Member).

- **Training Experience**—Postdoctoral fellowships and residencies are not considered independent positions. However, no more than six years of postdoctoral training can be counted as non-independent research. Additional years of training will count toward the eight years of eligibility.
- **Space**—Committed independent research facilities.
- **Publications** —Corresponding authorship for publications in the investigator's main area of research interest.

**B. Eight-Year Limit.** The following guidelines should be used to determine eligibility for the Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research:

- **Year of Appointment**—The year of the appointment is considered as an entire calendar year and as the first year of the eight years of eligibility. Consult the following chart for clarification of eligibility:

<b>Year of First Independent Appointment</b>	<b>Eligible to Apply for Grant Through Calendar Year</b>
1996	2003
1997	2004
1998	2005
1999	2006
2000	2007
2001	2008
2002	2009
2003	2010

- **Training experience** —Postdoctoral fellowships and residencies are not considered independent positions. However, no more than six years of postdoctoral training can be counted as non-independent research. Additional years of training will count toward the eight years of eligibility.
- **Leave of Absence**—An appropriately documented leave of absence will not be counted in the eight years of eligibility.
- **Foreign Country Experience**—Faculty appointments in foreign countries will be considered independent positions.
- **Only One Principal Investigator.** The Society will recognize only one individual as the responsible investigator and, therefore, only one person should be indicated as principal investigator. The principal investigator is responsible and accountable for the overall conduct of the project. However, senior investigators applying as the principal investigator for Research Scholar Grants in Psychosocial, and Cancer Control Research and Research Scholar Grants in Health Services and Health Policy Research are strongly encouraged to include an individual at an early career stage as co-investigator.

**C. Current American Cancer Society Grant Recipients.** You cannot be the principal investigator on more than one Research Scholar Grant unless the other grant is a *Targeted Research Scholar Grant* or a *Research Opportunity Grant*.

Investigators with current funding via an American Cancer Society Research Project Grant may submit an application for a Research Scholar Grant for support of a new and different project. However, the project may not represent an expansion or a natural progression of the work under the existing grant. If the application is funded, the existing Research Project Grant must be relinquished.

Investigators who are uncertain about their eligibility status should contact the Society's Extramural Grants Department (404-329-7558) and speak to a Scientific Program Director for clarification before proceeding with preparation of the application; be prepared to provide details on positions held.

## **9. TERM**

**General.** An application should propose a research program that is realistically achievable in *four years* for (a) Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research and (b) Research Scholar Grants in Health Services and Health Policy Research or *five years* for (c) Research Scholar Grants in Psychosocial, Behavioral and Cancer Control Research. Although it is advantageous to give indications of the broader scope of your research, reviewers may be unenthusiastic about applications that do not conform to the program's parameters of time and budget. The reviewers are aware of the Society's limited funds and have more confidence in a proposal that prioritizes and focuses on developing aims that can be achieved within the time frame and with the resources available.

**New grants.** New Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research and Research Scholar Grants in Health Services and Health Policy Research will be awarded for up to 4 years. Applicants for a Research Scholar Grant in Psychosocial, Behavioral, and Cancer Control Research may request approval for a maximum of 5 years funding. The Peer Review Committees will determine the length of the grant.

**Renewals by Recipients of Research Scholar Grants.** Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research and Research Scholar Grants in Health Services and Health Policy Research may be renewed once for up to 4 years. Research Scholar Grants in Psychosocial, Behavioral, and Cancer Control Research may be renewed once for up to 5 years. However, the length of a funded renewal is determined by the Peer Review Committee. In no case may beginning investigators be funded past the 14th year of their first independent research or faculty appointment. If an investigator desires to compete for a renewal grant and is eligible to do so, that investigator or institution is responsible for submitting to the Society a completed application by the appropriate deadline.

**Renewals by recipients of Research Project Grants.** Provided they meet eligibility requirements, current recipients of Research Project Grants may apply for continued support via a Research Scholar Grant. An applicant who has received one 3-year Research Project Grant may apply for a single 4-year renewal that should be structured as a Research Scholar Grant. If the applicant has received one 2-year renewal, then the limit is an additional two years. The only exception is for psychosocial, behavioral, and cancer control research projects for which applicants may request one 5-year renewal. The Peer Review Committee will determine the length of the renewal grant.

**Extension without additional funds.** The termination date of any grant may be extended for up to one year without additional funds upon written request from the principal investigator. This request must be received before the expiration date of the grant.

## **10. DEADLINES FOR SUBMITTING GRANT APPLICATIONS AND INFORMATION ON STATUS OF APPLICATION**

Applications for the three Research Scholar Grant programs must be submitted as paper copies in addition to submitting them electronically via proposalCENTRAL. proposalCENTRAL is a consortium of non-profit granting agencies, developed and hosted by RAMS. Access is available using links provided in the American Cancer Society web site [www.cancer.org](http://www.cancer.org) (see *Instructions*). You may contact RAMS at (800) 875-2562 or email, [support@ecgrant.com](mailto:support@ecgrant.com) to address any problems using the electronic version of the application.

<b>Deadline for Receipt of Applications</b>	<b>Peer Review Meeting</b>	<b>Council Meeting</b>	<b>Activation Date</b>
April 1 October 15	June January	September March	January 1 July 1

Applications (both the paper copies and the electronic version) 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. Paper copies of the applications must be received by the Society's close of business (5:00 PM Eastern time) on the specified deadline date. The electronic applications must be submitted by 8:00 PM Eastern time on the deadline date.

If the deadline date falls on a weekend or holiday, applications will be accepted up to 5:00 PM Eastern time the following business day (electronic version, 8:00 PM Eastern time). Within three weeks after receipt of the application, the applicant will receive an acknowledgement via email. Preliminary information regarding the status of an application will be emailed (copies of critiques will be mailed) in early August for applications submitted for the April 1 deadline and early March for applications submitted for the October 15 deadline.

No supplemental materials will be accepted after the deadline unless requested by staff for administrative purposes or when needed for the reviewers.

Applicants may call the Extramural Grants Department at anytime through the review cycle. The Program Director indicated on the acknowledgment email will guide your application through the entire process. For questions concerning the application's scientific review, our scientific staff can be most helpful to you after you have read the reviewer's critiques.

## **11. RESUBMISSION**

*Applications that are not funded may be resubmitted, however, only 2 resubmissions are allowed.* Resubmitted applications will be reviewed in the same detail and compete on an equal basis with all other new applications and competing renewals. (see Research Scholar Grant *INSTRUCTIONS*, page 3 for additional detail).

## **12. BUDGET**

Research Scholar Grants in Basic, Preclinical, Clinical and Epidemiology Research and Research Scholar Grants in Health Services and Health Policy Research are awarded for up to \$200,000 per year (direct costs), plus 20% allowable indirect costs. ***However, applicants requesting over \$150,000 per year must provide special justification.*** Research Scholar Grants in Psychosocial, Behavioral, and Cancer Control Research are made for up to \$400,000 per year (direct costs), plus 20% allowable indirect costs. Research Scholar Grants are intended to fit a variety of needs in scientific investigations related to cancer. A grant is generally made to cover the cost of such items as salaries and benefits for professional and technical personnel, special equipment, supplies, and other miscellaneous items required to conduct the proposed research. Personnel may receive salary support up to a maximum that equals the National Cancer Institute salary cap, prorated according to their percent effort on the project.

Budgets submitted must be realistic estimates of the funds required for the proposed research. Because of its limited resources, the Society and its Peer Review Committees expect applicants to exercise considerable budgetary restraint.

### 13. INSTITUTIONAL EXPENDITURES

American Cancer Society research grants are not designed to cover the total cost of the research proposed or the investigator's entire compensation. The institution is expected to provide the required physical facilities and administrative services normally available in an institution. The Society's research grants do **not** provide funds for such items as:

- Secretarial/administrative salaries
- Tuition
- Foreign travel; special consideration will be given for attendance at scientific meetings held in Canada
- Books and periodicals
- Membership dues
- Office and laboratory furniture
- Office equipment and supplies
- Rental of office or laboratory space
- Recruiting (staff) and relocation expenses
- Non-medical services to patients
- Per diem charges for hospital beds
- Construction, renovation, or maintenance of buildings/laboratories

### 14. 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 contact information page of the application or the grant acceptance form. Acknowledgment of payment is not required.

### 15. EXPENDITURES

It is the intent of the Society to be flexible in response to the changing needs of a research program. The principal investigator may make minor alterations within the approved budget except where such expenditures conflict with the policies of the Society. Major changes require written approval from the Society.

### 16. FINANCIAL RECORDS AND REPORTS

A report of expenditures must be submitted within 90 days following the expiration date of the grant as indicated in the award letter (at the end of four or five years for new and renewal grants). Annual financial reports are not required. Forms will be provided by the Society or may be downloaded from the web site ([www.cancer.org/research](http://www.cancer.org/research)) **Select Funding Opportunities followed by Grant Reporting Forms**. Signatures of the principal investigator and the institution's financial officer are required. **Any unexpended funds must be returned to the Society, as carryover to a succeeding grant period is not permitted.** Any change in term such as a no-cost extension will alter the date that the report is due.

Reports are to be submitted in a timely manner. In the event this is not possible, a written request to extend the reporting deadline must be made. Otherwise, noncompliance may result in the withholding of payment on all grants in effect at the recipient institution, or grants that may be awarded in the future, until reports are received. Institutions must maintain separate accounts for each grant, with substantiating invoices available for audit by representatives of the American Cancer Society. The Society is not responsible for expenditures made prior to the start date of the grant, for commitments against a grant not paid within 60 days following the expiration date, or any expenditures that exceed the total amount of the award. (See also Section 20 of these POLICIES).

## 17. ANNUAL PROGRESS AND FINAL REPORTS

- A. Both non-technical and scientific progress reports are to be submitted each year within six weeks of the first and subsequent anniversaries of the start date of the grant, and final reports are due within six weeks after the grant has terminated. **Reporting forms and samples of non-technical and scientific progress reports are available at [www.cancer.org/research](http://www.cancer.org/research). Select Funding Opportunities followed by Grant Reporting Forms.**
- B. The final report should cover the entire grant period for the initial award. Final reports for renewal grants only need to cover the period of the renewal. In the event a grant has been extended without additional funds, the final report is not due until the official termination date of the grant.
- C. No reminders will be sent regarding the annual reports unless the grantee is being funded through a special donation to the Society. Reminders for final reports will be sent by mail. Send reports via email to the Director of Research Promotion and Communication, Donella Wilson, PhD. Reprints may be mailed to her at the address indicated.

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- D. The scientific report should consist of:
- One or two pages stating (1) the objective/hypothesis of the project; (2) the progress made toward the specific aims of the original application or an explanation for deviating from the stated aims; and (3) the relevance of the results to the prevention, diagnosis or treatment of cancer.
  - A bibliography of papers acknowledging the Society's support, with publications supported by other sources listed on a separate page.
  - Reprints of publications, along with preprints of articles in press. Do not include manuscripts submitted for publication. Reprints sent with a previous annual report do not need to be emailed at the time of the final report; however, they should still be listed in the bibliography.
  - A list of patents granted or applied for, and a brief description of any interactions with the local American Cancer Society, such as speaking at Society events or participating in a Relay for Life team.
- E. The non-technical report should be a summary (½ to one page long) of progress in language that a donor or volunteer with no scientific background could understand. It should include: (1) a statement of the relevance of the project to the overall cancer problem or specific type of cancer(s); (2) a brief statement of the method(s) you used or are using; (3) one or two main results that your research achieved; and (4) what the outcome of the project was or will be, if it is successful.
- F. Information submitted as part of a non-technical or scientific progress report may be made available to the general public; therefore, do not include proprietary/confidential information.

## 18. PUBLICATIONS AND OTHER RESEARCH COMMUNICATIONS

Publications resulting from research supported by the American Cancer Society must contain the following acknowledgment: "Supported by Research Scholar Grant #..... from the American Cancer Society." The Society's support should also be acknowledged by the grantee and by the institution in all public communication of work resulting from this grant, including scientific abstracts (where permitted), posters at scientific meetings, press releases or other media communications, and Internet-based communications.

## **19. OWNERSHIP OF EQUIPMENT**

Equipment purchased under American Cancer Society grants is for the use of the principal investigator and collaborators. Title of such equipment shall be vested in the institution at which the principal investigator is conducting the research. In the event the American Cancer Society authorizes the transfer of a grant to another institution, equipment necessary for continuation of the research project that was purchased with the grant funds may be transferred to the new institution. Title to such equipment shall be vested in the new institution.

## **20. CANCELLATION OF GRANT**

In the event a grant is canceled, the institution is allowed only the prorated amount of the award. The Society cannot assume responsibility for expenditures in excess of the prorated amount. A Request for Cancellation form is located at the end of these POLICIES. Please submit this form to the Society at least 30 days prior to the requested date of cancellation or immediately upon notification of funding for the project from another agency.

## **21. CHANGE OF INSTITUTION**

Recipients of a Research Scholar Grant may transfer their grant from one institution to another only after receiving written approval from the Society. Grant recipients must request a transfer as soon as they are notified that they will be changing institutions. Prior to a transfer, the American Cancer Society must receive the following:

- the request for transfer in writing, indicating the anticipated transfer date
- a statement from an administrative official at the original institution relinquishing the grant
- the Report of Expenditures from the original institution together with a check for any unexpended funds; financial reporting forms will be provided by the Society's business office or may be downloaded from the web site: [www.cancer.org/research](http://www.cancer.org/research). **Select Funding Opportunities followed by Grant Reporting Forms.**
- Research Scholar Grant transfer forms (title page, contact information page, and assurances and certification page of the Research Scholar Grant application form) completed by the appropriate individuals at the new institution, indicating acceptance of the grant. Forms will be provided by the Society's business office or may be downloaded from the web site (**Grant Reporting Forms**).

Payments to the new institution will not be initiated until a final accounting and a check for any unexpended funds have been received from the original institution and the transfer has been approved by the Society. This final financial report must be submitted within 60 days of the date the transfer was requested. A Request for Change of Institution form is located at the end of POLICIES.

## **22. INTELLECTUAL PROPERTY RIGHTS**

As a Not-for-profit organization supported by public contributions, the Society believes it has the responsibility to adopt policies and practices that enhance the likelihood that potentially beneficial discoveries and inventions will be exploited to the benefit of humankind. It is the desire of the Society that such inventions be administered in such a manner that they are brought into the public use at the earliest possible time. The Society recognizes that often this may be best accomplished through patenting and/or licensing of such inventions. Accordingly, the Society has adopted the following patent policy that is binding on all Grantees and Not-for-profit Grantee Institutions (hereinafter "Grantee"). Acceptance of a grant from the Society constitutes acceptance of the terms and conditions of this Policy, which shall be governed by the laws of the State of Georgia. It is a goal of the Society that the terms and conditions of this policy not conflict with the established patent policy of Grantee.

A. All notices required pursuant to this policy shall be in writing, and in this policy, the following terms shall have the meaning set forth below.

- i. "Invention" shall mean any discovery, material, method, process, product, program, software or use, whether or not patented or patentable or copyrighted or copyrightable.
- ii. "Funded Invention" shall mean any invention made in the course of research or other work funded in whole or in part by a Society grant.
- iii. "Public Disclosure" shall mean any publication, presentation, offer for sale or any activity that would affect the patentability of the invention under 35 U.S.C. § 102 or 103.
- iv. "Net Income" shall mean gross income received by Grantee in respect of a Funded Invention less unreimbursed directly assignable out-of-pocket expenses resulting from patenting and licensing that Funded Invention.

B. Grantee shall notify the Society of each Funded Invention made by Grantee within thirty (30) days after the earlier of (1) reduction to practice of the Funded Invention, or (2) disclosure of the Funded Invention to Grantee's Technology Transfer Office or the equivalent thereof. Grantee shall promptly determine whether it desires to seek patent or other statutory protection for all Funded Inventions promptly after each Funded Invention is made and shall promptly inform the Society of all decisions to seek or not seek such protection. The Society shall have the right to seek patent or other statutory protection, at the Society's expense, for any Funded Invention in any country where Grantee has decided not to seek protection or has failed to file an application for such protection within six (6) months after disclosure of the Funded Invention to the Society, and, upon the Society's request, Grantee shall assign to the Society all patent and other rights in the Funded Inventions in such countries and shall cooperate with the Society in prosecuting, obtaining, maintaining and enforcing such patent and other rights and applications therefore at the Society's expense.

C. Grantee shall promptly notify the Society of the filing and issuance or grant of any application for a patent or other statutory rights for a Funded Invention and shall keep the Society reasonably informed of the status and progress of all such applications. Grantee shall pay all costs and expenses incident to all applications for patents or other statutory rights and all patents and other statutory rights that issue thereon owned by Grantee. Grantee shall also notify the Society:

- i. at least sixty (60) days in advance of any intended publication or other public disclosure of any Funded Invention;
- ii. at least sixty (60) days in advance of Grantee's intention to abandon any application for a patent or other statutory right for a Funded Invention or not to take action required to maintain any such application or any patent or other statutory right in a Funded Invention, in which event, at the request of the Society, Grantee shall assign to the Society ownership of the application or patent and shall cooperate with the Society in prosecuting, obtaining, maintaining and enforcing such patent and other rights and applications therefore at the Society's expense.

D. Each of the Society and Grantee shall promptly inform the other of any suspected infringement of any patent covering a Funded Invention and of any misappropriation, misuse, theft or breach of confidence relating to other proprietary rights in a Funded Invention. If Grantee commences an action to enforce any such rights in a Funded Invention and thereafter elects to abandon the same, it shall give the Society notice of its intention to do so at least sixty (60) days in advance. If Grantee fails to bring an action to enforce such patent or other rights or otherwise to procure termination of the infringing activities within six (6) months after such notice, the Society shall have the right, but not the obligation, to bring such an action in court or to take other appropriate action to end the infringing activity, at the Society's expense, and Grantee shall cooperate with the Society, at the Society's expense, including, if necessary, permitting Grantee to be named as a party in such litigation.

E. Grantee shall notify the Society within thirty (30) days of grant of a license, lease, or other revenue generating agreement involving a Funded Invention. In the event that Grantee fails to license a Funded Invention within two (2) years from the disclosure of the Funded Invention to the Society, at the request of the Society, Grantee shall assign to the Society ownership of all rights in the Funded Invention so that the Society may pursue licensing.

F. Grantee shall not license, lease, or sell any rights in a Funded Invention to, or enter into any revenue generating agreement concerning a Funded Invention with, any party whose activities or objectives conflict with the goals of the Society. In particular, but without limitation, Grantee shall not license a Funded Invention to "Tobacco Company". "Tobacco Company" means any company that manufactures tobacco products and is commonly considered to be part of the tobacco industry, including subsidiaries and parent companies, as well as philanthropic foundations and other organizations closely linked with the tobacco industry.

G. (i) The Society waives the receipt of income until the Net Income from the Funded Invention exceeds \$500,000.

(ii) Once the Net Income from a Funded Invention exceeds \$500,000, Grantee shall pay the Society annually a percentage of the Net Income from the Funded Invention that is proportionate to the Society's proportion of the financial support for the research that resulted in the Invention. Such royalty payment shall be accompanied by an appropriate statement of account detailing the amount and showing the calculation of Net Income received by Grantee during the preceding year. The Society shall have the right to audit the Grantee's books and records annually, in order to verify the Net Income derived annually from any Funded Invention.

(iii) The percentage of Net Income due the Society from a Funded Invention shall be determined by the parties within 30 days of the date the Society is notified by the Grantee pursuant to Section E above of the grant of a license, lease or other revenue generating agreement involving the Funded Invention.

If the parties are unable to agree on the percentage of Net Income payable to the Society the dispute (the "Dispute") shall be resolved as follows:

One of the parties shall request (the "Negotiation Request") that each of the parties appoint a designated executive management representative to meet for the purpose of endeavoring to resolve such Dispute. The designated executive representatives, who shall not have been directly involved in the initial negotiations, shall discuss the Dispute and negotiate in good faith in an effort to seek a resolution. During the course of such negotiation, all reasonable requests made by one party to the other for information will be honored so that each of the parties may be fully advised regarding the Dispute. If the designated executive representatives are unable to resolve the Dispute within 30 days after the Negotiation Request, the parties shall mediate the Dispute with a mutually acceptable mediator within the 30 day period beginning 31 days after the Negotiation Request. If the Dispute is not resolved by mediation within 60 days after the Negotiation Request, either party may initiate arbitration by delivering an arbitration demand to the other party, and the Dispute shall be settled by arbitration to be held in Atlanta, Georgia, in accordance with the Commercial Arbitration Rules of the American Arbitration Association ("AAA"), except that

(i) there shall be one arbitrator mutually agreed upon by both parties within 30 days after initiation of arbitration and if the parties are unable to agree upon an arbitrator, the arbitrator shall be appointed by AAA;

(ii) neither party may submit more than 20 interrogatories, including subparts;

- (iii) neither party shall be entitled to take more than two depositions and no deposition shall last more than two hours;
- (iv) all discovery shall be concluded within 90 days of serving the arbitration demand; and
- (v) each party shall bear its own costs and expenses and attorney's fees and an equal share of the arbitrator fees and any administrative fees of the arbitrator.

The award of the arbitrator shall be binding, and judgment upon the award rendered by the arbitrator may be entered in any court having jurisdiction thereof.

## REQUEST FOR CANCELLATION

### RESEARCH SCHOLAR GRANTS

Please submit this form to the Society at least 30 days prior to the requested date of cancellation or immediately upon notification of funding for the project from another agency.

Grant # \_\_\_\_\_

Name of Principal Investigator: \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

Institution \_\_\_\_\_

Department \_\_\_\_\_

Requested Date of Cancellation: \_\_\_\_\_

Reason for Cancellation: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Please mail or fax this completed form to:

**Business Office**

Extramural Grants Department  
American Cancer Society  
1599 Clifton Road, NE  
Atlanta, GA 30329

Telephone: 404-329-7534; 404-329-7658  
Fax: 404-321-4669

The American Cancer Society will send an official acceptance of cancellation.

## REQUEST FOR CHANGE OF INSTITUTION

### RESEARCH SCHOLAR GRANTS

Please submit this form as soon as you are notified that you will be changing institutions:

Grant # \_\_\_\_\_

Name of Principal Investigator: \_\_\_\_\_

Signature

Date

Present Institution: \_\_\_\_\_

New Institution: \_\_\_\_\_

Anticipated Transfer Date: \_\_\_\_\_

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#### DOCUMENTS REQUIRED TO COMPLETE TRANSFER:

- a. completed *Request For Change of Institution* form
- b. statement from an administrative official at the present institution relinquishing this grant
- c. final Report of Expenditures together with a check for unexpended funds from the present institution; forms will be provided by the Society's business office
- d. title page, contact information page, and assurances and certification page of the Research Scholar Grant application form completed by the appropriate individuals at the new institution indicating acceptance of the grant

All these documents must be received and approved by the American Cancer Society before the grant can be transferred. An official letter will be sent to you as soon as all transactions concerning this transfer have been completed. **To initiate this process, please mail or fax this completed *Request for Change of Institution* form to:**

#### **Business Office**

Extramural Grants Department  
American Cancer Society  
1599 Clifton Road, NE  
Atlanta, GA 30329-4251

Telephone: 404-329-7534; 404-329-7658  
Fax: 404-321-4669