

Lupus Research Institute, Inc.

330 Seventh Avenue, Suite 1701

New York, NY 10001

212-685-4118

January 9, 2011

Deadline for Letters of Intent: February 29, 2012

Deadline for Applications: April 2, 2012,

Funding to begin December 2012

SUMMARY OF POLICIES GOVERNING DISTINGUISHED INNOVATOR AWARD APPLICATIONS

Purpose: LRI Distinguished Innovator Awards provide outstanding scientists with substantial support for up to four years to conduct novel research into the fundamental causes of systemic lupus erythematosus and so provide new directions towards a cure or prevention. We welcome novel, hypothesis- or discovery-driven proposals in human and/or animal-model based lupus research. The research proposal must aim to uncover the fundamental causes of lupus and present a compelling vision of how the discovery would lay the groundwork for a potential cure or prevention, as opposed to suppressive treatments for lupus. Continuations of long-term research projects will not be considered. Applications will be judged primarily on the novelty and potential of the research proposal, and the strengths and track record of the investigator. Emphasis will be on the rationale for the hypothesis rather than the amount of preliminary data. Successful applicants will be outstanding investigators who have demonstrated creativity and productivity in their field of research. We encourage applications from investigators in diverse disciplines including, but not limited to, immunology, genetics, molecular-, cell- and systems biology.

1. **Authority:** Grants are awarded by the Lupus Research Institute, Inc., upon recommendation of the Distinguished Innovator Award Task Force and approval of the Lupus Research Institute's Board of Directors.
2. **Eligibility:** Applicants must hold an established position, at assistant professor (or equivalent) level or higher, at an academic or government institution. Researchers working outside of the US are encouraged to apply.
3. **Selection criteria:** Grant applications will be judged by the Distinguished Innovators Task Force assisted by an international panel of reviewers. Scoring will be based on the following criteria:
 - a) Novelty of research proposal
 - b) Scientific merit of research proposal
 - c) Relevance to fundamental causes of lupus
 - d) Potential to lead to lupus cure or prevention
 - e) Strengths and track record of investigator
 - f) Strength of approach

When two or more proposals of equal merit are received, it will be at the sole discretion of the Board of Directors to determine the recipient(s) of the grant.

4. **Administration:** Administration of grants is a joint responsibility of the Lupus Research Institute's Board of Directors and its Distinguished Innovators Task Force.
5. **Terms of the Award:** The total amount of the Distinguished Innovators Award is up to US \$250,000 per year for up to four years. Funds may be used for any appropriate research costs and up to 10% of the total annual budget (US \$25,000) may be allocated to salary of the principal investigator. No portion of the research grant may be used to pay institutional overhead or other indirect costs.

Progress reports are required at the end of each year and will be used to determine if the applicant should receive continued funding. A final report is due at the end of the grant period.

The award recipient is required to attend the Lupus Research Institute's Annual Scientific Conference each year, including the year following the end of the grant period.

6. **Payment:** Grants are paid in eight installments convenient to the Institute and the grantee, generally the first payment at the start of the grant program, and the remainder in six-month intervals.

RULES GOVERNING GRANTS

1. **Applications:** Grant applications are evaluated by the Institute's Scientific Task Force on Distinguished Innovator Awards, which makes recommendations to the Board of Directors. The Lupus Research Institute reserves the right to consult qualified third parties in particular cases. All applications awaiting action will be held in confidence.
2. **Terms of a Grant:** Unless otherwise specified in writing, Distinguished Innovator Awards are given for terms of up to four years.
3. **Purpose of Funds:** Grants are not made to individuals, but to institutions for the support of specific projects. They are not intended to subsidize normal institutional budgets or staff, nor to pay institutional overhead charges. Up to 10% of the annual award budget may be used to pay the salary of the principal investigator (not to exceed US \$25,000). Grant funds may be used to pay the salaries of technical assistants and the cost of equipment, supplies and materials necessary for carrying out the purpose of the grant. Funds are not available for transportation to meetings, journal subscriptions, construction or renovation of buildings, nor for the purchase of office equipment and furniture. Similarly, dues and membership in scientific societies will not be underwritten.
4. **Expenditures:** All charges must conform to the budget submitted by the grantee. The Institute reserves the right to a refund on demand of all grant funds expended in an unauthorized manner.
5. **Accounting:** Financial commitments against all grants must be liquidated as soon as possible after the grant period has ended, and the grantee must submit a final accounting of all expenses and return all unexpended funds. The Institute will not be responsible for any financial commitment against the grant. The grantee shall be responsible for any unauthorized expenditure or over-expenditure.
6. **Materials:** All equipment or instruments purchased, prepared, manufactured, and paid for with funds from the grant for specific items named in the application shall, unless otherwise specified, become the property of the grantee's institution.
7. **Salaries:** Personnel compensated under an Institute grant shall not be considered employees of the Institute, but as employees of the grantee institution.
8. **Other Financial Support:** If the applicant is awarded additional support during the term of a Lupus Research Institute grant, the Institute must be notified. Additional funding must not duplicate grant support from the Lupus Research Institute for the same project.
9. **Program Changes:** Change of the purpose or personnel for which a current grant was made, without the prior written approval of the Institute, will automatically terminate the grant; return of funds on a pro-rated basis will be required.
10. **Reports:** Progress reports are required at the end of each year and will be used to determine if the applicant should receive the next year of grant funding.

11. Discoveries: Any discovery made under a program supported by the Institute must be reported promptly to the Institute, and application for patent may not be made without the prior written consent of the Institute. (See Patent and Intellectual Property Policy attached herewith.)
12. Publicity: The Lupus Research Institute has a strong interest in tracking the discoveries that result from its grant funding. Therefore, the grantee must advise the Institute in writing prior to publishing/publicizing, in any manner, discoveries made or developed under a grant. The communication should explain fully the nature of the information to be divulged, the time, the place, and the manner of its presentation. From time to time, grantees may be asked to give brief presentations of their research to professional and lay audiences.
13. Publication and Exhibits: The Institute should be notified immediately upon acceptance for publication of any article resulting from Institute-funded research. Any article or exhibit prepared by anyone associated with the work covered by a grant and dealing with the project should bear the credit line: "Supported in part/in entirety by a grant from the Lupus Research Institute, Inc." An electronic version of any publication bearing this credit line should be sent to the Institute for their files.
14. Transfer of Grant: Grants may not be transferred from one individual or institution to another individual or institution without the prior written approval of the Institute.
15. Deviation From Rules: Failure to abide by any rule governing grants will be considered sufficient reason to cancel the grant or refuse to consider any application a grantee has pending.
16. Change of Rules: The Institute reserves the right to change or amend its rules governing grants at any time. Unless implementation of the project for which the grant was given has already commenced, the grantee agrees to abide by such changes or terminate the grant at the time it goes into effect.
17. Human Subjects: If human subjects are to be used in the research, written, informed consent must be obtained, and the research protocol must be approved by the appropriate committee of the grantee institution concerned with human safeguards. The investigator bears full responsibility for obtaining such approval and, further, certifies by agreeing to these rules that the investigator and/or the institution will be fully responsible for any financial liability and legal expenses resulting from research supported by the Institute. This ruling will also pertain to animal research and the use of radioisotopes and biohazardous materials.
18. Animal Welfare: It is the responsibility of the applicant to assure proper care and treatment of all laboratory animals used in any Lupus Research Institute sponsored research. Any application involving laboratory animals must be reviewed and approved by the appropriate institutional review committee.
19. Cancellation: The Board of Directors, in consultation with the Distinguished Innovators Task Forces of the Institute, may, for cause, cancel a grant at any time upon 90 days notice, and require the return of any unused funds.
20. Governing Rules: By the act of applying for a grant, the applicant certifies that he/she has read and will abide by the accompanying rules governing Research Grants.

GENERAL INFORMATION AND INSTRUCTIONS FOR DISTINGUISHED INNOVATOR APPLICATIONS.

Letter of Intent

IMPORTANT: LETTER OF INTENT IS REQUIRED FOR ALL APPLICATIONS

Letters of Intent must be submitted electronically by **February 29, 2012, 5:00pm Eastern time** to **<http://proposalcentral.altum.com/>**.

The Letter of Intent should not exceed one page and should include the following information:

1. Applicant's name, institution, and position held.
2. Title
3. Summary of research proposal (not to exceed 200 words).

The purpose of the Letter of Intent is to allow LRI to plan the peer review process. Applications will not be triaged based on the Letter of Intent. All individuals submitting a Letters of Intent by the deadline are entitled to submit a full application.

Application

Applications must be submitted electronically by **April 2, 2011, 5:00pm Eastern time** to **<http://proposalcentral.altum.com/>**. In addition to the electronic submission, applicants are required to submit an original and one paper copy, which must arrive at the Institute office on or before April 2. The original paper copy must carry the signatures of both the applicant and the applicant's institution. There is no official application form except for the Human and Animal compliance pages.

The information below is required. Each section must be completed. If not applicable, please indicate this.

Incomplete applications will not be reviewed. Review of applications is facilitated if the outline given below is followed as closely as possible. Supplementary material will not be accepted after the submission deadline.

1. Name and address of institution, including department, phone number, fax number, email address, division, if any, and location of the laboratory where research is to be conducted.
2. Name and title of principal investigator. A curriculum vitae and selective bibliography should be appended to the application, and should, as a minimum, include: degrees held (with dates and schools), daytime telephone number, awards and honors, membership in professional organizations, board eligibility or certification, and positions held, including, in addition, any relevant research experience not otherwise listed. National Institutes of Health biosketches are acceptable.
3. Brief title of proposed research project (<120 characters, including spaces).
4. Proposed period of award (beginning and termination dates). Note: all awards begin by December 2012.
5. Brief summary of the proposed research and its potential significance for the fundamental causes of lupus, written in lay language geared to a twelfth grade reading level and suitable for use in publications (50-100 words).
6. Technical summary of the proposed research, written in scientific terms (up to 200 words).
7. Proposed budget: Proposed budget in US \$ for each year, listed as follows:

Request from Institute for:

	Year 1	Year 2	Year 3	Year 4
Personnel, technical (Give names or titles)	\$	\$	\$	\$
Equipment	\$	\$	\$	\$
Consumable supplies	\$	\$	\$	\$
Total	\$	\$	\$	\$

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

8. Indicate **other current and pending grant applications**, their specific aims, amounts and **extent of overlap**, if any. If overlap does exist, a statement regarding intended disposition of funds in the event of dual granting is required, signed by an official of the applicant's institution. Ordinarily this would constitute return of funds to all but one granting agency, however, monies granted could be appropriately modified.
9. Research Plan: A description of the proposed research should include the following:
(Note: Research Plan, parts a-e, **may not exceed six pages**. Research Plan may not contain an appendix section).
 - a) Background and specific goals of proposal being submitted.
 - b) Experimental design and methods.
 - c) Significance of the proposed work: explanation of the novel nature of the work, and its relevance to the fundamental causes of lupus.
 - d) Impact of the proposed work: explanation of how the work has the potential to lead to a cure or prevention, as opposed to suppressive treatments, for lupus.
 - e) Literature citations should be listed and are **not** included in page limits for the Research Plan.
10. Please indicate to whom checks should be drawn and where they should be sent if grant is approved. Note: **ALL** checks are made out to the Institution and must be sent to the appropriate finance office.
11. Include at the end of the application the following statement:

“I have read and accept the current rules governing grants of the Lupus Research Institute, Inc.”

followed by the signature of the principal investigator, co-investigator(s), along with name, title and date. For **ALL** applications, the name and signature of the Dean of the Institution or equivalent is required on this statement. A letter of agreement from Co-Investigator(s), Collaborator(s) or Consultant(s) must be submitted along with research applications
12. All applicants must complete waiver forms attached herewith pertaining to use of Human or Animal subjects, if applicable to the applicant's project.

HUMAN SUBJECTS

COMPLIANCE WITH GOVERNMENT REQUIREMENTS

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

The _____ agrees that if
(Institution)

a research grant is awarded by the Lupus Research Institute, Inc. to

(Applicant or Principal Investigator)

for the project

(Project Title)

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

The _____ agrees to
(Institution)

indemnify and hold the Lupus Research Institute, Inc. harmless from any claims arising from such activities, and acknowledges that the Lupus Research Institute, Inc. does not and will not assume responsibility for the subjects involved.

APPROVAL BY THE DEAN OR HEAD OF
INSTITUTION ON BEHALF OF INSTITUTION

(Signature)

(Above Name Typed)

Title

Attest (Institutional Seal)

ANIMAL SUBJECTS

COMPLIANCE WITH GOVERNMENT REQUIREMENTS

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

The _____ agrees that if
(Institution)

a research grant is awarded by the Lupus Research Institute, Inc. to

(Applicant or Principal Investigator)

for the project

(Project Title)

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

The _____ agrees to
(Institution)

indemnify and hold the Lupus Research Institute, Inc. harmless from any claims arising from such activities, and acknowledges that the Lupus Research Institute, Inc. does not and will not assume responsibility for the subjects involved.

APPROVAL BY THE DEAN OR HEAD OF
INSTITUTION ON BEHALF OF INSTITUTION

(Signature)

(Above Name Typed)

Title

Attest (Institutional Seal)

PATENT AND INTELLECTUAL PROPERTY POLICY

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