

CONNECTICUT BREAST HEALTH INITIATIVE, INC.

RESEARCH GRANT POLICY

Mission: "...to make a difference in the fight against breast cancer through education and research in Connecticut."

CTBHI awards grants for translational research, the process of applying ideas, insights, and discoveries generated through basic scientific inquiry into clinical applications for the treatment or prevention of breast cancer. CTBHI will determine grant awards based on likelihood that completion of exploratory or developmental research objectives will move towards effective therapies in the treatment or prevention of breast cancer.

PRE-GRANT STATEMENT GUIDELINES

CTBHI requires an initial Letter of Intent (LOI) as a precursor for a full grant application consideration. The LOI is used to determine if the proposed project is appropriate for funding by the CTBHI and permits a preliminary review of a project concept. If the project is judged appropriate, the principal investigator will be asked to submit the grant application provided by CTBHI. ***No grants will be awarded exceeding \$50,000.00.*** No funds will be allocated until the full grant review is completed. The LOI shall be no more than two (2) pages in length, prepared in MS-WORD format (Times New Roman font, Font size 12, single spaced).

SUBMISSION: Address the LOI to:

CTBHI

Chair, Grants Committee

185 Main St., New Britain, CT 06051.

GUIDELINES

1. The LOI is an abstract of the proposal.
2. The LOI must concisely explain *in non- technical language (to the extent possible)* the project and describe why the project should be funded by CTBHI.
3. Names/locations of the investigator(s) with a brief biographical sketch (not full curriculum vitae)
4. Amount of the grant.
5. Contact information.
6. Grants considered for award are restricted solely to not for profit educational, medical or research institutions.

FULL GRANTS POLICY

1. Intellectual Property Policy

CTBHI expects that if a discovery made in the course of a project funded by CTBHI produces revenue for a supported individual or institution, CTBHI will share ratably in such revenue, according to the value of the contribution to the discovery made by CTBHI's grant. If any action is taken to secure property rights in any discovery made in the course of CTBHI-funded research, CTBHI must be notified. If intellectual property is sold, licensed or otherwise transferred by a

supported individual or institution, CTBHI must be notified and its consent to such transfer obtained. Unless and until otherwise agreed in a specific case, CTBHI claims (and by acceptance of a grant the individual and institution accept this claim) a perpetual, fully paid, freely transferable, royalty-free, non-exclusive license to make, use and sell any discovery derived from research funded by CTBHI, whether or not patented.

2. Eligibility for Research Grants

1. Hold a terminal degree in the discipline of the research project from an accredited institution of higher learning;
2. Be a professional or faculty member at an accredited, not for profit educational, medical or research institution;
3. Assume both administrative and financial responsibility for the grant; and
4. Have access to institutional resources necessary to conduct the proposed research project.
5. Curriculum Vitae

Submit curriculum vitas of all investigators, advisors, co-investigators and post-doctoral fellows participating in the execution of the research to CTBHI with the grant application. When a project is underway, CTBHI must be informed immediately in writing of any change in personnel participating in the project, the reason(s) for such a change, and be provided the curriculum vitae or bio-sketch of any additional or replacement personnel.

3. Application Review

To ensure support of meritorious breast cancer research, applications are reviewed to assess their scientific merit and to evaluate their relevance to CTBHI's mission. CTBHI's Board of Directors has the sole authority to award research grants.

4. Duration of Grants

Research grant awards are made for a one year period. A grant may be renewable under appropriate circumstances solely in the judgment of CTBHI. Renewal requires submission of progress reports satisfactory to CTBHI justifying continued support. CTBHI may require interviews of the principal investigator and confirmation that appropriate institutional and regulatory approvals are current and on file at the institution and CTBHI.

5. Authorized Expenses

When CTBHI deems them justified by the research, the expenses identified below are permitted under the CTBHI research grants program:

1. A principal investigator's salaries shall not exceed 100% of effort, and funding by CTBHI shall not exceed the percentage effort stated in the budget.
2. Technicians', research assistants', post-doctoral fellows', and graduate student salaries, fringe benefits at levels appropriate to the institution;
3. Travel expenses justified in the budget.

6. Unauthorized Expenses

The following expenses are not permitted under the CTBHI research grants program:

1. Salary or fringe benefits for collaborating investigators, co-investigators or consultants;
2. Salaries, travel and/or housing related to sabbatical leaves; rental space of facilities in support of the project's aims.
3. Salaries for administrative, secretarial and/or clerical staff
4. Life and Disability insurance fees.
5. Purchase or rental of office equipment, e.g. furniture, filing cabinets, and copy machines.

6. Expenses normally covered by the indirect cost of the Principal Investigator's institution;
7. Fees for tuition, registration or other fees relating to academic studies.
8. Membership dues, subscriptions, books or journals.
9. Expenses for or related to moving from one institution to another.
10. Equipment and supply expenses are not funded unless they are critical to a project and are specifically identified and approved in an award letter.
11. Laboratory animals unless fully justified for translational research purposes.
12. Indirect costs are not funded.

8. Support From Other Sources

1. Alternate Funding

A Principal Investigator may not apply for, use or accept CTBHI funds for a research project or part of a project already supported for the same purpose either by CTBHI or by funds from another public or private source. Accordingly, full disclosure of all funds for research support available to the Principal Investigator from private, governmental and institutional sources, including CTBHI, is required. Such disclosure must be made in the research grant application. If funds from other sources become available to the applicant during the review or tenure of a CTBHI grant then, the Principal Investigator must so inform CTBHI in writing. CTBHI will then make a decision about the allocation of its research award.

9. Budget Revisions

CTBHI requires the submission of a revised budget when the grant awarded is less than originally requested. The revised budget must reallocate the amount awarded for items requested in the original budget – except for any items specifically described in the award letter that must be deleted from the budget. A revised budget must be completed and saved in the applicant's file within four (4) weeks of the date of the Notice of Award posted in the applicant's account. Subsequent to budget approval the Principal Investigator must submit a written request to CTBHI for authorization to reallocate funds.

10. Unexpended Funds

If funds are not completely expended at the end of a support year, they must be returned to the CTBHI, unless CTBHI approves extension of additional time. If a second or third year of funding of support still exists, a carry forward of funds may be requested.

11. No-Cost Extensions

Under exceptional circumstances, a project may be extended for a period not to exceed six months beyond the grant's original expiration date. The Principal Investigator must request such an extension in writing stating the funds remaining and a detailed justification for the extension satisfactory to CTBHI. The request must be made no later than 30 days before the termination date of the award. The originally approved budget remains in effect throughout the extension period, inclusive of all category maximums. No-cost extensions will not be effective until there is written approval from CTBHI.

12. Cancellation of Grant

If for any reason the recipient must relinquish the award, the Principal Investigator shall promptly notify CTBHI in writing. The notification should state the effective date of cancellation of the grant. Unexpended grant funds plus unexpended accrued interest, if any, must be returned to CTBHI accompanied by a final Report of Expenditures within 30 days of the cancellation date.

13. Cancellation of Grant by CTBHI

CTBHI reserves the right to cancel a grant if:

1. an institution receiving grant funds in support of an individual ceases to be in compliance with all laws and regulations relating to the research funded by CTBHI; or
2. loses or becomes in jeopardy of losing its exemption from federal taxes under appropriate sections of the Internal Revenue Code of 1986 as amended; or
3. loses its accreditation by the applicable accrediting body; or
4. violates and on notice fails to correct a violation of CTBHI's Research Grants Policy or an applicable award letter; or
5. within ninety (90) days from the scheduled funding start date or the established deadline date for receipt of required reports, CTBHI has not received the required supporting documentation as defined by CTBHI's Research Grants Policy; or
6. availability of CTBHI resources are limited to the extent that continuation of funding of research grants must necessarily be placed on temporary or indefinite hold; and
7. for any other violation, by either or both of an individual or institution of the guidelines governing the research grants program defined by CTBHI's Research Grants Policy.

14. Audit

CTBHI reserves the right, at its option and expense, to conduct audits of the project.

15. Report of Progress

Progress reports must be submitted six months after the contract is signed. A final report must be submitted no later than thirty days following the grant termination date. CTBHI may require additional progress reports at any time during an award period as a condition of continuing the award.

16. Publications, Scientific Presentations and News Releases

CTBHI expects timely publication of the results of all research projects it supports and requires that every such publication or presentation - whether in peer-reviewed journals, meeting abstract formats, platforms, and poster presentations or in review articles or similar publications - must acknowledge support from the Connecticut Breast Health Initiative. Copies of published papers shall be provided to CTBHI.

Effective December 2015