



**Awards and Grants Policies
Updated January 2018**

Failure to comply with Foundation award policies will hinder an awardee's eligibility to receive additional Foundation funding. Failure to comply by Foundation deadlines and award terms and conditions, reporting requirements, and proposed time/effort commitments may result in institutional penalties for future Foundation submissions.

Definitions

The term "**Foundation**" refers to the Rheumatology Research Foundation.

The term "**SAC**" refers to the Foundation's Scientific Advisory Council. The SAC is the governing body of the Foundation's Awards and Grants program and responsible for peer review and oversight of grant administration and policies.

The "**Conditions of Award**" is the document issued to and signed by all award recipients and their sponsoring institutions. It outlines the specific award terms and conditions.

"**Award application**" refers to the official Foundation document available as a PDF on the Web site which outlines the award terms and application instructions and requirements.

The term "**Grantee Institution**" as used in this policy shall mean the sponsoring institution by which the Awardee is employed or its assignee, which is responsible for administering the award, and is signatory for all matters relating to the award including use of human subjects, animals, recombinant nucleic acid, safety and this policy.

The term "**Awardee**" as used in this policy means the principal investigator or primary recipient identified in a Foundation award, grant or contract.

Pre-Award Policies

I. Award Eligibility

Each award application includes detailed eligibility criteria. Please read this section carefully prior to preparing an application and contact staff with any questions. In addition to the award specific eligibility criteria, the following eligibility requirements must be met by all award applicants:

- i. **Membership:** Unless otherwise noted in the application, applicants must be ACR or ARHP members at the time of application. This membership must be maintained during the award term.
- ii. **Citizenship:** Applicants must be citizens or non-citizen nationals* of the United States or in lawful possession of a permanent resident card; **or meet the criteria in the tables below**. Other Individuals on temporary (J1, H1) or student visas are not eligible.



*Non-citizen nationals are generally persons born in outlying possessions of the United States (e.g., Puerto Rico, American Samoa and Swains Island).

Student Award Applicants
<p>Must be currently enrolled in LCME or AOA COCA accredited medical schools or an undergraduate student who has been accepted into medical school or</p> <p>Must be enrolled in an accredited professional program OT, PT, PA, NP, Nursing, Social Work, Psychology, etc., or be an undergraduate student who has been accepted into an accredited professional program, or be in the process of completing fieldwork where appropriate.</p>
All Other Applicants
ACR members/ARHP members
<p style="text-align: center;">Must have completed or be currently enrolled in a US, ACGME accredited rheumatology or pediatric rheumatology fellowship training program and/or be ABIM/ABP eligible in rheumatology</p> <p style="text-align: center;">OR</p> <p style="text-align: center;">Must be enrolled or have graduated from an accredited professional program OT, PT, PA, NP, Nursing, Social Work, Psychology, etc., completed or be in the process of completing fieldwork, where appropriate, be in good standing in regard to any national registration/boards, and be in good standing in regard to any state license.</p>

- iii. Individuals who are personally related to the applicant cannot serve as a preceptor or mentor.
- iv. Individuals may not hold two active grants with the Foundation unless the grants are for two distinct purposes (ex. career development award and innovative research award).
- v. All projects must be completed within a US-based sponsoring institution.
- vi. **Resubmissions:** The Foundation does not allow formal resubmission of grant applications. This means formal responses to the previous year’s critiques will not be accepted. Applicants may apply as many times as they’d like, however all grant submissions will be reviewed as new applications.
- vii. **Administrative Review:** In an effort to assist applicants in submitting complete and correct applications for peer review, all applications undergo administrative review by Foundation staff. This means an applicant may be contacted for additional information or clarification after submitting your final application.



You will also be notified if for some reason your application was not submitted for final peer review. However, all applicants are ultimately responsible for the application as it was originally submitted.

II. Budgeting

- i. **Indirect Costs:** The Foundation award funds cannot be used to provide institutional support and no indirect costs or overhead will be provided. This provision excludes the Investigator Award and Innovative Research Awards, in which case up to 8% of funds annually may be applied to indirect costs.
- ii. **Salary.** The Foundation operates under the same salary cap restrictions as the NIH. For the purposes of the salary limitation, the terms "direct salary," "salary," and "institutional base salary" have the same meaning and are exclusive of fringe benefits and facilities and administrative (F&A) expenses, also referred to as indirect costs. An individual's total institutional base salary is the annual compensation that the applicant organization pays for an individual's appointment, whether that individual's time is spent on research, teaching, patient care, or other activities.

Adjustments to salary requirements for specific awards may be considered on a case by case basis for individuals with VA appointments.

Post-Award Policies

I. Awardee Requests

- i. **Award Deferral:** Award recipients requesting to defer the start date of an award must submit a formal request in writing addressed to the SAC outlining the reason for deferral and listing all other support during this time. Requests must include a specific start date and may be granted or denied at the discretion of the SAC. The maximum period for deferral is 1 year from the original award start date.
- ii. **Concurrent Funding:** The Awardee assumes an obligation to expend award funds for the purposes set forth in the original grant application and to affirm that there is no duplicate funding for these purposes. The Awardee must promptly notify the Foundation of the receipt of any additional award(s) which may potentially have scientific or budgetary overlap with their Foundation award. Overlap will be assessed by the SAC. If concurrent funding is deemed allowable by the Council, the awardee may be required to rebudget their Foundation award.
- iii. **Transfer of Award:** Awards may not be transferred between individuals. Transfers between sponsoring institutions will be considered on a case-by-case basis. Requests should be made using the Award Transfer Request Checklist and submitted to the Foundation along with the required supporting documentation. Requests will be reviewed and granted or denied at the discretion of the SAC.



- iv. **Re-budgeting:** In general, awardees are allowed a certain degree of latitude to rebudget within and between budget categories to meet unanticipated needs and to make other types of post-award changes. Some changes may be made at the grantee's discretion so long as the changes are less than 25% within each category. If the revisions exceed 25%, a request must be submitted to the Foundation for approval before expenses are re-allocated.
- v. **No-cost extensions:** A no-cost extension gives the investigator extra time to complete the scope and objectives of the project without additional funds being provided by the Foundation. Although requests may not be made for the sole purpose of spending remaining funds, you may request to expend remaining funds during the no-cost extension period. Requests for no-cost extension must be submitted in writing at least 30 days prior to the end of the award term and may be granted at the discretion of the Foundation. Awards with carryover of 20% or less of the original award amount are eligible and extensions may not exceed 12 months. Requests for extensions for awards with greater than 20% carryover will only be considered under extenuating circumstances and will be approved or denied at the discretion of the SAC.
- vi. **Carry-over:** The Foundation does not restrict the amount of yearly carryover on multi-year awards; however restrictions apply for carryover on those awards with extended terms. A carryover is not allowed on single year awards unless an extension has been granted.
- vii. **Termination of employment:** Should the award recipient's employment with the Grantee Institution be terminated at any time during the award term, the recipient must notify the Foundation within 30 days of termination. The award will be suspended pending review of a formal request to transfer the award to a new sponsoring institution. If the recipient fails to notify the Foundation within 30 days, the award may be terminated at the discretion of the Foundation

II. Reporting

- i. **Progress Reports:** Awardees of multi-year awards must provide the Foundation with annual progress reports identifying their progress towards the aims and benchmarks of their original proposals. Templates and instructions will be provided to all awardees at least 30 days prior to the due date.
- ii. **Publications:** It is expected that the results of research supported by the Foundation shall be published as quickly as possible in the open literature, consistent with the high standards of scientific excellence and rigor. The responsibility for publication of results lies exclusively with the Awardee and their collaborators, and may be published without prior review of the Foundation. Any publication arising in whole or in part from a research grant funded by the Foundation must acknowledge funding support by the Foundation. Please use the following language in conjunction with our logo (logo and guidelines available upon request): *Funding for this project was provided by the Rheumatology Research Foundation.*



The Foundation's support should also be acknowledged by the awardee and the grantee institution in all public communication of work resulting from the grant including, but not limited to, scientific abstracts (where permitted), posters at scientific meetings, press releases or other media communications, and internet-based communications.

- iii. **Financial Reports:** For multi-year awards, a financial report at the end of each fiscal year is required to ensure compliance with budget requirements. Reports are due September 1 of each year (fiscal year closes June 30).
- iv. **Final Reports:** All awardees (with the exception of Fellowship Training Awards) must provide the Foundation with a final report describing completion of application deliverables. In addition, the final report must contain a final financial reconciliation by cost category indicating how funds were allocated and whether any unexpended funds remain. Templates and instructions will be provided to all awardees at least 60 days prior to the due date.
- v. **Unexpended funds:** All unexpended funds must be returned to the Foundation at the close of the award. Recipients must submit a final report at the end of award term outlining how award monies were spent, including a financial closeout statement to be completed and signed by the Office of Grants & Contracts/Sponsored Projects. Unexpended funds must be returned to the Foundation within 30 days of submitting the financial closeout statement.
- vi. **Program Metrics:** In an effort to assist the Foundation in tracking program outcomes, awardees will be asked to complete an online survey annually for up to five years post-award. By acknowledging acceptance of any Foundation award, the recipient agrees to participate in all efforts to track outcomes associated with their award.

Additional Policies

- I. **Awardee Assurance:** Research performed under Foundation grants is the sole responsibility of the Awardee and the Grantee Institution. The Awardee and the Grantee Institution are responsible for ensuring that all research activities are conducted in a safe, responsible, and ethical manner.
- II. **Cancellation:** Any grant may be terminated or cancelled by the Foundation upon written notice to the Awardee and the responsible Administrative Official at the Grantee Institution if in the sole discretion of the Foundation: (1) the Awardee is unable to carry out the research for any reason, (2) the Awardee or any member of his or her research team is found in an institutional investigation to have committed scientific misconduct or fraud, (3) the Awardee has failed to comply with any of the terms and conditions of this award, (4) the Foundation concludes that the Awardee has received overlap funding for the award or that the funds are not being used for the purposes originally outlined in the research protocol or (5) the IRB approval for the project has been rescinded.



- III. **IRS Provision:** Personnel compensated in whole or in part with funds from the Foundation are not considered employees of the Foundation. Grantee Institutions shall be responsible for issuing the appropriate IRS tax filings for all individuals receiving compensation from Foundation's funds hereunder, and shall be responsible for withholding and paying all required federal and state payroll taxes with regard to such compensation.
- IV. **Equipment:** Title to all equipment purchased with Foundation funds shall vest in the Grantee Institution provided that, for the duration of the research grant and for the period not to exceed sixty days from the termination date of the grant, the Foundation may, at its option, direct the Grantee Institution to transfer title to a new Grantee Institution.
- V. **Scientific Conduct and IRB Approval:** The Foundation 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.
- VI. All research involving human subjects and recombinant DNA techniques must show documented compliance with NIH guidelines, the same as provided by the Grantee Institution's clinical and research review board. In addition, all activities supported by a Foundation research award must comply with all applicable U.S. Department of Health and Human Services regulations with respect to the rights and welfare of human subjects.
- VII. The Grantee Institution acknowledges that the Foundation does not direct, supervise or control the activities supported by this grant and will not be liable or otherwise responsible for such activities. Therefore, the Foundation is not responsible for any malpractice suit arising from any activity supported by the award.
- VIII. All informed consent documents must explicitly state that no compensation for medical care or payment for lost wages, transportation, etc., will be available from the American College of Rheumatology or the Rheumatology Research Foundation if a participant is injured as a result of their participation in the study.
- IX. **Ethical Standards:** All research involving human subjects, laboratory animals, and recombinant DNA techniques must show documented compliance with NIH guidelines, the same as provided by the Grantee Institution's clinical and research review board. Awardees must assure compliance with regulations promulgated by the US Department of Agriculture under amendments of the Animal Welfare Act, public law 99-198. In addition, all activities supported by a Foundation research award must comply with all applicable U.S. Department of Health and Human Services regulations with respect to the rights and welfare of human subjects.
- X. **Resource Sharing:** Investigators accepting support from the Foundation are required to comply with Foundation resource sharing policies. When resources have been developed with Foundation funds and the associated research findings published or provided to the Foundation, they must be made readily available for the use of the larger scientific community. This includes biological or other scientific specimens, as well as educational products, obtained or developed during the course of the project. The Foundation expects investigators to respond favorably to reasonable requests from other qualified investigators to access remaining samples, and to include appropriate language in consent forms and IRB protocols that will allow



future sharing of remaining biologic specimens and other materials. Investigators that inappropriately decline sample sharing requests from qualified individuals that are not duplicative, wasteful, or overly burdensome may be excluded from future funding opportunities. Should there be costs associated with sharing of materials, it is expected that investigators requesting those materials will bear the expenses of retrieval and transport. It is expected that educational products developed with Foundation support will be made available to American College of Rheumatology members on the ACR website. In addition, investigators may be required to provide a summary each year in their progress report regarding arrangements for appropriate sharing of resources, including data generated, tools developed, and samples and biospecimens collected. Continued funding may depend on satisfactory plans for resource sharing.

- XI. Patent and Intellectual Property:** The Grantee Institution or its assignee and Awardee will notify the Foundation at the earliest practical time of any Foundation Supported Intellectual Property and will further notify the Foundation whether the Grantee Institution or its assignee intends to pursue patent application or copyright protection of the Foundation Supported Intellectual Property. Please note the entire Patent and Intellectual Property policy in the Conditions of Award document when applicable.

- XII. Policy Revisions:** The Foundation may revise the Policies at any time and shall notify current awardees and post the revised Policies on the Foundation website. In the event of any conflict between the Conditions of Award and the Policies, the terms of the Conditions of Award shall prevail.