

THE AGOURON INSTITUTE
AMENDED 2002
GRANT POLICY STATEMENT 1999

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

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

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

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

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

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

GRANT ELIGIBILITY

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

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

An official of the grantee institution may acknowledge acceptance of an Agouron Institute grant by signing and returning a copy of the Research Grant Summary that accompanies the award letter.

GRANT DURATION AND PAYMENT

In general, the Institute does not fund long-term projects requiring continuing support. Grants will be awarded at any time during the year and will provide support for periods of from one to six years. They will be paid in yearly installments at the beginning of each grant year.

BUDGET

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

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

POSTDOCTORAL FELLOWSHIPS

No overhead funds are provided with postdoctoral fellowships funded by the Agouron Institute. The complete fellowship amount (living stipend and supply budget) is awarded to the fellow. Permitted uses of the supply budget are uses following the institutional practices of the fellow's institute. This may include purchase of supplies, computer equipment, travel for meetings and medical insurance. Fellowships funded by the Agouron Institute but administered by an existing fellowship funding agency will follow the rules of that agency.

USE OF HUMANS, ANIMALS, RECOMBINANT DNA

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

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

LIABILITY

The Agouron Institute is not responsible for any legal action arising from the research that it funds. The host institution releases the Agouron Institute from all claims or liability that may occur from the conduct of the research that it funds.

INTELLECTUAL PROPERTY

Intellectual property developed under a grant from the Agouron Institute will be treated in accordance with the policies and practices of the grantee institution. The Agouron Institute

does not require assignment to the Institute of rights in any invention or discovery developed through research supported by the Institute.

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

ANNUAL FINANCIAL REPORTS

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

ANNUAL SCIENTIFIC PROGRESS REPORTS

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

All grant recipients also are encouraged to attend an annual Agouron Institute meeting at which they will be asked to present brief research talks summarizing their activities funded by the Institute. The Agouron Institute grants will not be charged for the costs of attending these meetings. The grant recipients will be invited as guests of the Agouron Institute.

FINAL SCIENTIFIC PROGRESS REPORT

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

PUBLICATIONS

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

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

OWNERSHIP OF EQUIPMENT

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

CHANGE OF GRANTEE'S INSTITUTION

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

The following documents must be submitted to receive grant transfer approval: 1. A letter from an administrative official at the present grantee institution relinquishing the grant, 2. A final financial report that shows actual expenses, unliquidated obligations, and an estimated unexpended balance, and 3. A letter from an administrative official at the new institution accepting transfer of the grant.

A check for the unexpended funds from the present institution should be transmitted to the new institution upon notification from the Agouron Institute of grant transfer approval.