



GRANT APPLICATION PROCEDURES AND POLICIES

OVERVIEW

Stroke is among the most common and debilitating conditions in the world. It is the fourth-largest killer in North America and the number one killer in many other parts of the world, like China. Because it attacks the brain, the very core of human existence, creativity and accomplishment, the affliction carries special gravity and distress for humans, who are often robbed by it of their most precious faculties.

The Jeffrey Thomas Stroke Shield Foundation (JTSSF) is unique in that it only funds stroke research. From our perspective within clinical stroke treatment and research, we understand the importance of directing targeted research funds to the scientists and investigators who can move the best ideas in stroke research prevention and treatment forward. We believe that stroke is preventable, however, scientists who seek National Institutes of Health funding for cardiovascular disease and/or stroke research receive a disproportionately small amount of NIH dollars. The NIH invests only 4 percent of its budget on heart research and a mere 1 percent on stroke research.

JTSSF works to identify and fund a wide range of the most promising projects, from basic biological science to studies addressing social and behavioral aspects of stroke prevention. JTSSF is actively seeking to provide seed money grants for projects that are important, achievable, and innovative that will ultimately lead to stroke prevention and a better treatment and quality of life for stroke sufferers.

The JTSSF research grant program is the heart of our commitment to preventing stroke and improving stroke treatment. Our research grant program funds investigations that advance stroke research in three key areas:

- Prevention
- Treatment and Recovery
- Awareness

Applicants must submit a Letter of Intent to submit proposal. The Scientific Advisory Board (SAB) will review the proposal and notify the researcher of accepted LOI's to complete a Grant Application. A panel that includes, but is not limited to, the Scientific Advisory Board and the Board of Directors of the JTSSF will review Grant applications. Grants are generally made for one year; however, multiple year research can be considered.

Please read the complete Dr. Jeffrey Thomas Stroke Shield Foundation Grant Application Procedures for further information.

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ELIGIBILITY

Principal investigators who hold appointments/positions in accredited hospitals and clinics, healthcare institutions, academic medical centers, professional associations, member societies and other not-for-profit entities in the U.S. are welcome to apply.

REVIEW PROCESS AND CRITERIA

The Letter of Intent (LOI) stage is a required element of the application process. All LOI submissions will undergo a review and selection process. Only those projects deemed to be of suitable scientific merit will be invited to submit a full application. Letters of Intent are reviewed by JTSSF Scientific Advisory Board. In order to expedite the review process, we will be unable to provide written critiques for LOIs that are not invited for full application submission.

If invited to submit an application, applicants will receive additional instructions and information necessary for submission. Grant Applications will be evaluated by the JTSSF Scientific Advisory Board and approved by the JTSSF Board of Directors. Awards will be based on the outcome of this scientific review and an administrative review, which also considers overall funder priorities. Due to administrative limitations, all review decisions are final and no appeals process is available at this time.

LETTER OF INTENT AND APPLICATION INSTRUCTIONS

Letter of Intent (LOI) Stage

The first component of our grant process is to submit a Letter of Intent (LOI). The LOI should include (1) a title for the proposed project, (2) a description of the research, (3) an explanation of how the proposed project fits within the goals of JTSSF, (4) information on the project's methodology and significance, (5) the budget required to complete the research (no more than 15% of the proposed budget may cover indirect costs), and (6) proposed collaborators, if applicable.

Not counting the cover sheet, the letter of intent should be no longer than **three pages** in length (single-spaced, Times Roman 12-point font, 1 inch margins, in English). Only LOIs of this length and with a thorough description of the proposed research will be considered. Casual inquiries are not invited. The LOIs will be reviewed and evaluated by the Scientific Advisory Board that will select the most promising and appropriate of the proposed projects and invite the investigator to submit a grant application.

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Application Stage

Principal investigators invited to submit a grant application must follow the format and guidelines within the application to be considered. Further details on the application submission process will be communicated to PIs who advance to that stage.

SUBMISSION

All letter of intent and application materials must be postmarked no later than 5:00 pm Pacific Standard Time on the submission deadline dates.

**Dr. Jeffrey Thomas Stroke Shield Foundation
Attn: RESEARCH GRANT PROGRAM
3053 Fillmore Street, #268
San Francisco, CA 94123
650.830.6031**

**Or via email:
info@strokeshieldfoundation.org**

EVALUATION CRITERIA

Grants are made on the basis of merit and commitment to study research questions that advance JTSSF's mission. Other important criteria include:

- Scientific rationale - Proposed projects should address an area of critical unmet need for stroke patients.
- Overall experimental design – The hypothesis and/or objective should be clearly articulated and proposed methods should be appropriate and sufficient to achieve these goals. Details of key measures and success criteria should be described.
- Budget - The proposed budget should be reasonable and justified for the research proposed. Details of personnel (including non-paid collaborators), study reagents and supplies and all other costs should be clearly indicated and justified.
- Timeline - Timelines for completing each study should be clearly defined and include relevant milestones. Project goals must be achievable within the award period.
- Strength of the investigator and research environment - The investigative team should be appropriately trained and well suited to carrying out the proposed work.

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- Institutional support - Mentors must be faculty at the instructor level or higher. Public and private institutions such as hospitals, universities, colleges, and laboratories may submit applications. The Grant will be awarded to the institution from which the applicant has an affiliation, not to the individual.

FUNDING INFORMATION

Grants will be awarded each year in varying amounts ranging from \$10,000 to \$25,000 each. Funds may be used for start up projects or supplementary funding. Salaries, including graduate student or postdoctoral fellows, may be requested at the principal investigator's discretion.

Total costs specified are inclusive of both direct costs and indirect costs. JTSSF policy is that no more than 15% of the proposed budget may cover indirect costs. Budgets must be appropriate and justifiable for the work described. No equipment-only grants will be considered. Each item and its cost must be clearly detailed in the budget and justified within the project description. In the event of a collaboration between multiple institutions, indirect costs are only paid once – either to the principal investigator's (PI) institution as a percent of total direct costs, or in the case of multiple PIs, to each PI's institution as a percent of each institution's total direct costs.

For projects (e.g., clinical trials) where the true cost may exceed the overall program budget limitations, JTSSF is open to creative strategies for leveraging other funding sources applicants may have. For example, applicants may request JTSSF funding to supplement an existing project in order to maximize data collected. Applicants should provide clear and detailed justification for how supplemental funding would enhance a project with respect to the ability to make critical decisions about study results.

Applicants should propose time-dependent milestones to ensure completion of study objectives. Continuation of funding will be dependent upon successful completion of these milestones.

Examples of key milestones include: IRB/IACUC approval, regulatory approvals, subject recruitment/assessment progress and completion points, patient assessment points, "go- no go" decision points, development of necessary research reagents and tools, and critical interim/final analysis timing. In cases where ethical/regulatory approval is required to perform work, such approvals may be required before initial payments are made, or in the cases of clinical trials within six months of award start date. Failure to meet these deadlines may result in termination of the award.

JTSSF grants are conditioned on your meeting certain milestones and deliverables

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including submission of expense and progress reports and participation in JTSSF sponsored assessment meetings. Multi-year support is not automatic for any JTSSF award and is contingent upon the grantee's submitted progress reports being favorably reviewed by an appointed JTSSF Scientific Advisory Board. This assessment is predicated on JTSSF's review of progress to date, its determination of the quality of the scientific research performed, and its continued high relevance to stroke prevention and JTSSF priorities.

A statement from the Principal Investigator's business/grants office attesting to the receipt and use of the funds (required by the IRS) must be submitted at the end of the fiscal year.

Funding Limitations

The Foundation does not generally provide support for:

- Grants to individuals or loans
- Organizations in support of activities to influence legislation

The Foundation does not assume an obligation for permanent support of any activity. However, it will consider grants for two to three years when the goals of a project require further financial support.

CONFIDENTIALITY

JTSSF treats all Letters of Intent, Applications, research projects and associated research information (collectively, the "Confidential Information") in confidence using no less than reasonable care in protecting such Confidential Information from disclosure to third parties who do not participate in the grant review process and JTSSF assessments. All Confidential Information will be used by JTSSF and its grant reviewers only internally for the purposes of reviews and assessments, and will be shared only in accordance with its sharing policy stated herein. Notwithstanding JTSSF's and its reviewers' obligations regarding such Confidential Information, such obligations cover any information retained in their unaided memories and may not be used without the permission of the disclosing party. Notwithstanding the foregoing, the obligations governing the disclosure and use of Confidential Information do not apply with respect to Confidential Information that it can be demonstrated:

1. was generally known to the public prior to the effective date of this RFP; or
2. becomes generally known to the public through no unlawful or unauthorized act of omission by any recipient of Confidential Information, or in violation of this RFP;
or
3. was independently developed by any recipient prior to the effective date of this RFP;

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or

4. was disclosed to a recipient by a third party who has the right to make such disclosure.

If any recipient of Confidential Information is requested to produce any of the Confidential Information pursuant to a legal or governmental proceeding, such recipient shall give the applicant or other owner of such Confidential Information (the "Discloser") as much prior notice of such requirement as is reasonably practicable under the circumstances and shall use its reasonable efforts to assist the Discloser of such Confidential Information in objecting to such request. If a recipient is compelled to disclose any of the Confidential Information pursuant to such legal or governmental proceeding, such recipient shall use its reasonable efforts to assist Discloser in obtaining confidential treatment for such Confidential Information, will disclose only that portion of the Confidential Information which is responsive to the order, and will provide the Discloser with any copies of Confidential Information so disclosed; provided that such Confidential Information shall remain confidential until it falls into one of the categories specified in this Section entitled "CONFIDENTIALITY."

CONFLICTS OF INTEREST

Principal investigators and their paid collaborators submitting applications to the RFP will be excluded from serving on the SAB that reviews their grant. However, non-applicants who are invited to serve on the SAB may still have a conflict of interest that arises during the grant review process. A SAB member is judged to have a conflict of interest if (1) he or she is a collaborator, sub-contractor, and/or consultant with an investigator that has a grant application before the SAB, (2) the application is from the reviewer's own institution regardless of whether or not reviewer has had any involvement in preparing the application, (3) the member, his/her immediate family, or close professional associate(s) has a financial or vested interest in the outcome of the proposed research (even if no significant involvement is apparent in the proposal being considered), or (4) the SAB member has been involved in discussions regarding the application, is a provider of services, cell lines, reagents, or other materials, or writer of a letter of reference for the applicant.

When a conflict of interest is deemed to be present, the SAB member will be ineligible to review the proposal and will be asked to leave the room when the proposal is discussed during the review process, including when it is scored; nor will the results of the review be made known to the conflicted reviewer until after the entire review process is complete. SAB members are also urged to avoid any actions that might give the appearance that a conflict of interest exists, even though he or she believes there

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may not be an actual conflict of interest.

REQUIREMENTS OF GRANTEES

Grantees are expected to meet scheduled milestones and deliver deliverables on time, and failure to meet milestones, furnish scheduled deliverables, including any reports, or to comply with the terms of the grant may serve as one or more bases for termination of funding by JTSSF. Additionally, progress reports must be favorably reviewed by an JTSSF-appointed Assessment Committee if funding is to continue. The assessment meeting will occur at the completion of the award. Travel expenses should be included in the application budget.

Progress Reports. Progress reports are due every six months or at other times as deemed necessary by JTSSF for project evaluation. Progress report forms will be provided by JTSSF approximately two months before they are due. A comprehensive final report is mandatory upon timely completion of the project.

Assessment Meeting. Principal investigators on funded grants may be required to attend assessment meetings in-person or via tele-conference (at the discretion of JTSSF), at the midpoint and completion of their project at which they will report on the progress of their projects, exchange information with other investigators, explore possible collaborative efforts among grantees, and identify resources that would enhance the productivity of the grantees or the field-at-large.

Financial Accountability. Grantees are expected to account for the moneys expended under any JTSSF grant; any moneys spent either not in accordance with the approved research project or prior to pre-approval of any material change in your project are both (i) recoverable by, and subject to restitution by you, to JTSSF and (ii) may be cause for immediate termination of funding by JTSSF.

SPECIAL REQUIREMENTS

Liability

JTSSF's role in grants awarded through JTSSF funding opportunities is that of a funder; JTSSF cannot be considered the sponsor of funded projects. As such, JTSSF will not assume any liability associated with funded projects. Applicants who are ultimately awarded in these programs will be required to sign an award agreement that releases JTSSF from liability.

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Sharing Policy

As JTSSF is a public charity, research conducted with funds from JTSSF (the "Research") must be conducted in the public interest. JTSSF acknowledges that any discoveries and related regulatory approvals made by researchers through the Research are the property of those conducting and responsible for the Research and that unless otherwise agreed to by the parties, such researchers have the first opportunity to exploit the Research commercially or otherwise. Notwithstanding, each Applicant awarded a grant acknowledges that JTSSF will publish on its website, newsletter, annual report or any other JTSSF publication the Applicant's name, institution, project description, expected outcome, and any other information regarding the research project. Each Applicant acknowledges that JTSSF has the right, after reasonable consultation, which will not be unreasonably denied, conditioned or delayed, to release a summary of findings of the Research within 3 months from the date of the grant program expiration.

Notwithstanding the foregoing, JTSSF requires that all tools or reagents (i) funded by and (ii) that result from awarded projects (collectively, the "Results") be made readily available to the community including JTSSF for research purposes. You will be required to agree that you will cooperate and collaborate with JTSSF and other researchers and share access to Results on fair and reasonable terms and conditions within 3 months of grant expiration. By submitting your application, you and your institution are confirming that you are not aware of any requirements that would prohibit, delay, or restrict your ability to share your Results from this initiative, including requirements of third-party collaborators or companies with which you are affiliated.

Intellectual Property Agreements among Collaborators

Although JTSSF does not specify when intellectual property (IP) negotiations must take place among researchers funded under this program, JTSSF does require that collaborators agree on any material IP issues prior to submission of final applications.

Clinical Trial Registration

JTSSF requires that any clinical trial awarded under any of its funding programs be registered with a public registry.

Publication

Results of the Research will be published as rapidly as possible in the open scientific literature, consistent with high standards of scientific excellence and rigor, and include

acknowledgement of the funding provided by The Dr. Jeffrey Thomas Stroke Shield Foundation.

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Supplemental Funding

While we encourage awardees to seek additional funds to further their work once the term of the initial award has expired, JTSSF has no guaranteed policy for continuation of grants. JTSSF may, at its discretion, seek to further support clearly successful projects. Awardees are also eligible to apply for funding under another JTSSF RFP.

INQUIRIES

JTSSF welcomes the opportunity to clarify any issues or questions from potential applicants regarding any JTSSF funding program. To avoid submission complications, JTSSF encourages questions well in advance of the submission deadlines. Please direct inquiries regarding programmatic, fiscal and administrative issues to info@strokeshieldfoundation.org.