

## STIPULATIONS SUMMARY SHEET

AWARD TYPE	TERM	APPLICATION DEADLINE	PROGRESS REPORT DEADLINE	FINAL REPORT DEADLINE
<b>Research Award</b> <b>Junior Faculty Award</b> <b>Clinical Research Award</b>	1 to 3 years	<ul style="list-style-type: none"> <li>• July 15 for January 1</li> <li>• January 15 for July 1</li> </ul>	<ul style="list-style-type: none"> <li>• February 1 for January Awards</li> <li>• August 1 for July Awards</li> </ul>	60 days after end of grant funding term
<b>Career Development Award</b>	5 years	<ul style="list-style-type: none"> <li>• July 15 for January 1</li> <li>• January 15 for July 1</li> </ul>	<ul style="list-style-type: none"> <li>• February 1 for January Awards</li> <li>• August 1 for July Awards</li> </ul>	60 days after end of grant funding term
<b>Innovation Award</b>	1 to 2 years	<ul style="list-style-type: none"> <li>• July 15 for January 1</li> <li>• January 15 for July 1</li> </ul>	<ul style="list-style-type: none"> <li>• February 1 for January Awards</li> <li>• August 1 for July Awards</li> </ul>	60 days after end of grant funding term
<b>Clinical Scientist Training</b> <b>Clinical Scholars Program</b>	1 to 3 years	<ul style="list-style-type: none"> <li>• January 15 for July 1</li> </ul>	<ul style="list-style-type: none"> <li>• August 1</li> </ul>	60 days after end of grant funding term
<b>Mentor-Based Postdoctoral Fellowship</b>	4 years	<ul style="list-style-type: none"> <li>• January 15 for July 1</li> </ul>	<ul style="list-style-type: none"> <li>• August 1</li> </ul>	60 days after end of grant funding term
<b>Mentor-Based Minority Postdoctoral Fellowship</b>	3 years	<ul style="list-style-type: none"> <li>• January 15 for July 1</li> </ul>	<ul style="list-style-type: none"> <li>• August 1</li> </ul>	60 days after end of grant funding term
<b>Distinguished Clinical Scientist Award</b>	4 years	<ul style="list-style-type: none"> <li>• January 15 for July 1</li> </ul>	<ul style="list-style-type: none"> <li>• August 1</li> </ul>	60 days after end of grant funding term
<b>Targeted RFAs</b>	Varies	Announced on ADA's website upon availability	Varies – Refer to Award Letter	60 days after end of grant funding term

**The following are true for all American Diabetes Association (ADA) awards:**

- Award letters and Continued Funding letters are issued on a yearly basis. ADA commits to funding on a quarterly basis, unless otherwise noted.
- Awards are paid out in quarterly installments on the following dates: February 15, May 15, August 15, and November 15. All funds will be made payable to the Principal Investigator's institution, not to the Principal Investigator.
- Under no circumstances will the budget for an award be increased beyond the terms originally applied for and approved by the Association.
- Funding from other sources supporting the same project must be reported to the Association immediately. In cases of budget overlap, overlapping ADA funds must be returned to the Association as of the commencement date of the new award. An overlap of funds shall mean any funds which support the same research project as the ADA award.
- Award recipients **must** be members of the Association's Professional Section.
- All award recipients are required to devote a minimum of 75 percent of their time and effort to research (both related and unrelated to the ADA award) during the award period .
- The progress report form may be used to apply for carryover of funds. Unexpended funds from year 1 to year 2 are automatically carried over. However, justification still needs to be submitted in the allotted report space so that ADA can maintain accurate funding records. Carryover of funds in subsequent grant years is discouraged and determined on a case-by-case basis.
- An investigator who obtains funding for the project from another source must notify the ADA **immediately**; and any overlapping funds must be returned to the Association.
- Any alterations in the approved award budget greater than 25% of each budget category require prior written approval of the ADA and must adhere to category funding limits.
- Recipients may not transfer awards, in whole or in part, between institutions without prior written approval of the American Diabetes Association. Awards that are in the process of transferring (e.g. from one institution to another) will be placed on hold and will not receive further payment until all financial and administrative matters have been completed at each institution. Please contact Noah Rosenberg at [nrosenberg@diabetes.org](mailto:nrosenberg@diabetes.org) for more information about transfers.
- In the event of transfer, a final financial report should be submitted to ADA within 60 days by the prior institution to close out the account. The final financial report can be found on our website. Any and all adjustments must be incorporated into this final reconciliation and accounting. Any claims not brought within 60 days of the stated transfer date will be deemed waived by the ADA. If there is a balance to be paid to the prior institution, it will be deducted from the next scheduled payment to be paid to the new institution.
- In the event of relinquishment, payment for the quarter in which the relinquishment occurs will be pro-rated (by dividing the scheduled quarterly payment due by the number of days in the applicable quarter). The commitment for the remainder of award period is automatically null and void effective on the relinquishment date. The relinquished date stated in writing by the award recipient will be the end date honored.
- If funding has been obtained from another source, overlapping funds must be returned to ADA and any subsequent costs and expenses should be charged against the new funding source and not the ADA award. Please contact Noah Rosenberg at [nrosenberg@diabetes.org](mailto:nrosenberg@diabetes.org) for more information about relinquishments.
- Acknowledgment of support from the American Diabetes Association must be made when findings are reported or publicity is given to the research project.
- Copies of all publications resulting from Association-supported research must be sent to the American Diabetes Association.
- ADA reserves the right to reduce the current year's award by 5% if any required report is not received on or before their respective due date(s). The reduction(s), if any, shall be deducted from the next scheduled payment(s).

- Award recipient agrees to submit a complete final report after the award has officially ended, as stated in the original award letter and renewal notification issued the final year of the award. The final report, which includes the signed final financial report from the investigator's fiscal office, must be submitted within 60 days of the end date of the award. The final financial report should cover the entire period of the grant. All unexpended funds must be returned to the American Diabetes Association. Any and all adjustments must be incorporated into this final reconciliation and accounting. Any claims not brought within 6 months of the end date shall be deemed waived. The final report form is located on ADA's web site at [http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362)
- Required financial reports can be found on our website and are considered transaction records/history for an award. By submitting a signed report, the grant accountant and Principal Investigator are acknowledging the receipt and expense of committed funds for the reported grant term. If a payment was missed and is not discovered within 6 months of the end date, ADA will not be liable for the payment.
- When payment and/or administrative inquiries (such as requests for photos, progress or final reports, CV's, etc.) are made regarding any funded award, ADA expects a timely response. If the response is not received within 6 months, the award will automatically be terminated and a termination notice forwarded.
- Potential applicants already holding two different ADA Core awards are **NOT** eligible to apply unless one or both of these awards will expire by the start date of the new award(s) being applied for.
- Applicants may apply for a **maximum** of one Core Research/Development award and one Core Training Award per deadline date (January 15 and July 15).
- The Association's core research awards fall into two categories, as shown in the Table below.

<u>Core Research/Development Awards</u>	<u>Core Training Awards</u>
Basic Science Award	Clinical Scholars Award
Clinical/Translational Award	Clinical-Scientist Training Award
Innovation Award	Mentor-Based Postdoctoral Fellowship Award
Junior Faculty Award	Mentor-Based Minority Postdoctoral Fellowship Award
Career Development Award	ADA-Takeda Pharmaceuticals Beta Cell Postdoctoral Fellowship Award
Distinguished Clinical Scientist Award	ADA-Merck Clinical/Translational Postdoctoral Fellowship Award

- **Applicants cannot hold or apply for more than one ADA Targeted Award at a time.**
- **At most, awardees can hold 3 ADA awards: 1) one Core Research/Development award, 2) one Core Training award, and 3) one Targeted Award.**

*Other stipulations are specific to each particular award. See detailed outlines for more information.*

## RESEARCH AND CLINICAL RESEARCH AWARDS

- Awards are granted for a one to three-year period as specified in the award letter. Funding for each year is entirely contingent upon approval by the American Diabetes Association of the recipient's progress report and the availability of funds. This report must be submitted on the appropriate form located on ADA's web site at [http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362) by **February 1** for January 1 funding and by **August 1** for July 1 funding. A financial report prepared by the investigator's fiscal officer or grant administrator and signed by either the fiscal officer or grant administrator **and** the Principal Investigator must be submitted at the same time.
- Recipients must hold independent faculty positions or the equivalent at university-affiliated institutions or the equivalent within the United States or U.S. possessions, and be U.S. citizens or have (or have applied for) permanent resident status.
- Up to 20% of TOTAL (direct costs and indirect costs combined) per year may be used for the principal investigator's salary including fringe benefits for our Research and Clinical awards. The institution may supplement the salary to the level appropriate to the institution.
- Investigators may not spend more than 20% of direct costs per year on equipment purchases. Equipment purchased with Association research funds is for the use of the Principal Investigator and collaborators for research in diabetes. Title to equipment will be vested in the institution at which the Principal Investigator is conducting research. If an award is transferred to another institution, such equipment may be transferred to the new institution. Title to the equipment will then be vested in the new institution.
- Indirect costs are limited to 15% of the total direct costs. The total amount of the award, including indirect costs, may not exceed \$115,000 per year for Research Awards and \$200,000 per year for Clinical Research Awards.
- Direct cost funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, tuition, relocation costs, memberships and subscriptions. Book purchases are limited to \$500 per year, and travel expenses - to \$2,000 per year.
- Researchers who do not complete their experiments within the three years allotted will be required to return remaining funds to ADA. A no-cost extension may be considered upon written request to the Association prior to the stated end date. However, approval of such requests is the exception, not the norm.

## CAREER DEVELOPMENT AND JUNIOR FACULTY AWARDS

- The Career Development Award is given for five years; the Junior Faculty Award – for up to three years and both awards are non-renewable. Funding for each year is entirely contingent upon approval by the American Diabetes Association of the recipient's progress report and the availability of funds. This report must be submitted on the appropriate form located on ADA's web site at [http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362) by **February 1** for January 1 funding and by **August 1** for July 1 funding. A financial report prepared by the investigator's fiscal officer or grant administrator and signed by either the fiscal officer or grant administrator **and** the Principal Investigator must be submitted at the same time.
- Recipients must hold independent faculty positions or the equivalent at university-affiliated institutions or the equivalent within the United States or U.S. possessions and be U.S. citizens or have (or have applied for) permanent resident status.
- The salary support for the Principal Investigator is not limited in terms of salary and fringe benefits. For the Career Development Award, direct costs may not exceed \$175,000 for years 1-2 and \$150,000 for years 3-5. For the Junior Faculty Award, direct costs may not exceed \$120,000 per year. Indirect costs are limited to 15% of the total direct costs.
- The Principal Investigator of a Junior Faculty Award is eligible for up to an additional \$10,000 per year toward repayment of the principal on loans for a doctoral degree (MD, PhD or DPM). These funds are paid directly to the lending institution after the Progress Report has been approved.
- Investigators may not spend more than 20% of direct costs per year on equipment purchases. In addition, the Career Development Award provides up to an additional \$25,000 per year for the first two years for equipment and supplies. Equipment purchased with Association research funds is for the use of the Principal Investigator and collaborators for research in diabetes. Title to equipment will be vested in the institution at which the Principal Investigator is conducting research. If an award is transferred to another institution, such equipment may be transferred to the new institution. Title to the equipment will then be vested in the new institution.
- Researchers who do not complete their experiments within the three or five years allotted will be required to return remaining funds to ADA. A no-cost extension may be considered upon written request to the Association prior to the stated end date. However, approval of such requests is the exception, not the norm.
- Funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, tuition, relocation costs, memberships and subscriptions. Book purchases are limited to \$500 per year, and travel expenses - to \$2,000 per year.
- Recipients must inform Association of their professional status, research support, and publications **yearly for five years** following completion of the award, so that the Association can measure the effectiveness of this program.

## INNOVATION AWARD

- Grants are awarded for a one or two-year period as specified in the award letter. Funding for each year is entirely contingent upon approval by the American Diabetes Association of the recipient's progress report and the availability of funds. This report must be submitted on the appropriate form located on ADA's web site at [http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362) by **August 1** for July funding and **February 1** for January funding. A financial report prepared by the investigator's fiscal officer or grant administrator and signed by either the fiscal officer or grant administrator **and** the Principal Investigator must be submitted at the same time.
- Recipients must hold independent faculty positions or the equivalent at university-affiliated institutions or the equivalent within the United States or U.S. possessions and be U.S. citizens or have (or have applied for) permanent resident status.
- No-cost extensions are **NOT** granted for Innovation Awards. Researchers who do not complete their experiments within the allotted time will be required to return remaining funds to ADA.
- The Principal Investigator's salary and fringe benefits are limited to \$10,000 per year. The institution may supplement the salary to the level appropriate to the institution. On the regular Innovation Award, the total amount of the award may not exceed \$50,000 per year. On the Innovation Geriatric Award, the total amount of the award may not exceed \$75,000.
- Funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, tuition, relocation costs, memberships and subscriptions, and travel. Book purchases are limited to \$500 per year, travel – to \$1,000 per year. **NO** Indirect costs are granted for Innovation Awards.
- Investigators may not spend more than 20% of the total award amount per year on equipment purchases. Equipment purchased with Association research funds is for the use of the Principal Investigator and collaborators for research in diabetes. Title to equipment will be vested in the institution at which the Principal Investigator is conducting research. If an award is transferred to another institution, such equipment may be transferred to the new institution. Title to the equipment will then be vested in the new institution.

## CLINICIAN SCIENTIST TRAINING AWARD

- Grants are awarded for a one to three-year period as specified in the award letter. Funding for each year is entirely contingent upon approval by the American Diabetes Association of the recipient's progress report and the availability of funds. This report must be submitted on the appropriate form located on ADA's web site at [http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362) by **August 1**. A financial report prepared by the investigator's fiscal officer or grant administrator and signed by either the fiscal officer or grant administrator **and** the Principal Investigator must be submitted at the same time.
- The student's sponsor must hold a faculty position with an accredited medical school or a not-for-profit research institution in the United States and must be a United States citizen or have (or have applied for) permanent resident status. There are no citizenship requirements for the student.
- Researchers who do not complete their experiments within the one to three years allotted will be required to return remaining funds to ADA. A no-cost extension may be considered upon written request to the Association prior to the stated end date. However, approval of such requests is the exception, not the norm.
- Funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, relocation costs, memberships and subscriptions. Book purchases are limited to \$500 per year.
- The total amount of the award may not exceed \$30,000 per year, with a maximum of \$20,000 allocated to the student's support. The remaining \$10,000 may be used for lab materials, supplies, and travel to diabetes-related scientific meetings (limit of \$1,000)

## CLINICAL SCHOLAR AWARD

- Grants are awarded for a one-year period. Funding is contingent upon availability of funds.
- Researchers who do not complete their experiments within the one year allotted will be required to return remaining funds to ADA. A no-cost extension may be considered upon written request to the Association prior to the stated end date. However, approval of such requests is the exception, not the norm.
- The student's sponsor must hold a faculty position with an accredited medical school or a not-for-profit research institution in the United States and must be a United States citizen or have (or have applied for) permanent resident status. There are no citizenship requirements for the student.
- Funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, relocation costs, memberships and subscriptions. Book purchases are limited to \$500 per year.
- The total amount of the award may not exceed \$30,000, with \$20,000 allocated to the student's support. The remaining \$10,000 may be used for lab materials, supplies, and travel (a limit of \$500).

## MENTOR-BASED POSTDOCTORAL AWARD<sup>2</sup>

- Grants are awarded for a four-year period (up to three years in case of the Mentor-Based Minority Postdoctoral Fellowship Award. Funding for each year is entirely contingent upon approval by the American Diabetes Association of the recipient's progress report and the availability of funds, as well as on the recipient providing the name and CV of the fellow for that year. The progress report must be submitted on the appropriate form located on ADA's web site at [http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362) by **August 1**. A financial report prepared by the investigator's fiscal officer or grant administrator and signed by either the fiscal officer or grant administrator **and** the Principal Investigator must be submitted at the same time.
- The Mentor must hold a faculty position with an accredited medical school or a not-for-profit research institution in the United States and must be a United States citizen or have (or have applied for) permanent resident status. There are no citizenship requirements for the postdoctoral fellow trained by the student.
- Researchers who do not complete their experiments within the term of the award will be required to return remaining funds to ADA. A no-cost extension may be considered upon written request to the Association prior to the stated end date. However, approval of such requests is the exception, not the norm.
- The salary of the fellow is to be determined by the applicant investigator, but the total amount of the award will not exceed \$45,000 per year. Laboratory supply costs are restricted to a maximum of \$3,000 per year.
- Funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, tuition, relocation costs, memberships and subscriptions. Book purchases are limited to \$500 per year, and travel for the fellow – to \$1,000 per year.

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<sup>2</sup> Includes Mentor-based Postdoctoral Fellowship and Mentor-based Minority Postdoctoral Fellowship Revised 1/3/2005

## DISTINGUISHED CLINICAL SCIENTIST AWARD

- Award recipients may hold a Distinguished Clinical Scientist Award and a maximum of two other ADA awards at the same time (for a total of three ADA awards).
- Grants are awarded for a four-year period. Funding for each year is entirely contingent upon approval by the American Diabetes Association of the recipient's progress report and the availability of funds. The progress report must be submitted on the appropriate form located on ADA's web site at [http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362) by **August 1**. A financial report prepared by the investigator's fiscal officer or grant administrator and signed by either the fiscal officer or grant administrator **and** the Principal Investigator must be submitted at the same time.
- Recipients must hold independent faculty positions or the equivalent at university-affiliated institutions or the equivalent within the United States or U.S. possessions, and be U.S. citizens or have (or have applied for) permanent resident status.
- Researchers who do not complete their experiments within the four years allotted will be required to return remaining funds to ADA. A no-cost extension may be considered upon written request to the Association prior to the stated end date. However, approval of such requests is the exception, not the norm.
- Funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, tuition, relocation costs, memberships and subscriptions.

## TARGETED RFAs

- Awards are granted for a two to four-year period as specified in the award letter. Funding for each year is entirely contingent upon approval by the American Diabetes Association of the recipient's progress report and the availability of funds. This report must be submitted on the appropriate form located on ADA's web site [at http://professional.diabetes.org/Diabetes\\_Research.aspx?typ=18&cid=77362](http://professional.diabetes.org/Diabetes_Research.aspx?typ=18&cid=77362). A financial report prepared by the investigator's fiscal officer or grant administrator and signed by either the fiscal officer or grant administrator **and** the Principal Investigator must be submitted at the same time.
- Recipients must hold independent faculty positions or the equivalent at university-affiliated institutions or the equivalent within the United States or U.S. possessions, and be U.S. citizens or have (or have applied for) permanent resident status.
- Direct cost funds may **NOT** be used for rent for office or lab space, computer hardware or telephone service support, custodial or administrative support, tuition, relocation costs, memberships and subscriptions
- Researchers who do not complete their experiments within the time allotted will be required to return remaining funds to ADA. A no-cost extension may be considered upon written request to the Association prior to the stated end date. However, approval of such requests is the exception, not the norm.

## POLICY STATEMENT

**Name of policy:**

**Patent Policy**

**Originally Passed:** March 1985

**Revised:** March 2003

- 1) All inventions made with the support, in whole or in part, of American Diabetes Association research training grant funds must be reported in a timely fashion to the American Diabetes Association.
- 2) Unless otherwise indicated or requested by the grantee institution, title to any invention shall reside in the grantee institution.
- 3) Income generated from commercially licensing the invention derived from American Diabetes Association funding shall be shared with the Association. The American Diabetes Association's share shall be determined by mutual agreement between the grantee institution and the Association after a license has been executed for the Association-funded invention. The American Diabetes Association's share shall be determined on a case-by-case basis and will be proportional to the level of support provided by the Association to the research that resulted in the Association-funded invention and will begin when net income on any license exceeds \$100,000. Net income is defined to be gross income less expenses and administrative costs, and less mandatory distributions to the state and inventors.

The methods and timing for such payments shall be mutually agreed upon by the American Diabetes Association and the grantee institution, but such payments to the American Diabetes Association shall be made not less often than annually.

- 4) The grantee institution shall agree, to the extent legally available to so do so, that if it or its licensee has not made a proactive attempt to take effective steps within three years after a U.S. patent issues on an invention supported by the American Diabetes Association funds and administered by the institution, to bring that invention to the point of practical application, or has not made such invention available for licensing, the American Diabetes Association shall have the right to assume assignment of the patent, to cancel any existing licenses, and to grant new licenses.
- 5) If a grantee institution has no established patent policy or procedure for administering inventions, the American Diabetes Association shall have the right to determine the disposition of invention rights.
- 6) If any invention is made with the joint support of the American Diabetes Association and other organizations, it is expected that all organizations will defer to the policies of the grantee institution. Royalty distribution shall be in accordance with the provision of this

policy, with shares distributed to sponsoring agencies in proportion to their initial contribution. Should an exception be taken to this provision, the grantee institution, the American Diabetes Association, and other sponsoring agencies will confer to arrive at a mutually satisfactory disposition of invention rights.

# American Diabetes Association

## Research Programs Scientific & Medical Division

1701 N. Beauregard Street

Alexandria, VA 22311

Fax: (703) 549-1715

[www.diabetes.org/research](http://www.diabetes.org/research)

Magda Galindo

Senior Manager, Research Programs

(703) 549-1500, ext. 2362

[mgalindo@diabetes.org](mailto:mgalindo@diabetes.org)

Noah Rosenberg

Associate Finance Manager, Research Programs

(703) 549-1500, ext. 2260

[nrosenberg@diabetes.org](mailto:nrosenberg@diabetes.org)