POLICIES AND PROCEDURES
NEW JERSEY HEALTH FOUNDATION
RESEARCH GRANTS PROGRAM
for
Rutgers Biomedical and Health Sciences and
The Rutgers Cancer Institute of New Jersey
# CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I.</td>
<td>The Grant Request</td>
</tr>
<tr>
<td>A.</td>
<td>Applicants</td>
</tr>
<tr>
<td>B.</td>
<td>Amount of Grants</td>
</tr>
<tr>
<td>C.</td>
<td>Eligibility</td>
</tr>
<tr>
<td>D.</td>
<td>Review Process</td>
</tr>
<tr>
<td>E.</td>
<td>Criteria</td>
</tr>
<tr>
<td>F.</td>
<td>Application Forms, Submission and Deadlines</td>
</tr>
<tr>
<td>II.</td>
<td>Notice of Award</td>
</tr>
<tr>
<td>III.</td>
<td>Submission Deadlines</td>
</tr>
<tr>
<td>IV.</td>
<td>Grant Period and Payments</td>
</tr>
<tr>
<td>V.</td>
<td>Publicity</td>
</tr>
<tr>
<td>VI.</td>
<td>Acknowledgement of Support</td>
</tr>
<tr>
<td>VII.</td>
<td>Grant Administration</td>
</tr>
<tr>
<td>VIII.</td>
<td>Expenditures</td>
</tr>
<tr>
<td>A.</td>
<td>Salary</td>
</tr>
<tr>
<td>B.</td>
<td>Budget Categories</td>
</tr>
<tr>
<td>C.</td>
<td>Adherence to Budget</td>
</tr>
<tr>
<td>D.</td>
<td>Equipment</td>
</tr>
<tr>
<td>IX.</td>
<td>Grant Changes</td>
</tr>
<tr>
<td>A.</td>
<td>Budget Changes</td>
</tr>
<tr>
<td>B.</td>
<td>Changes in Grant Period</td>
</tr>
<tr>
<td>C.</td>
<td>Changes in Senior Personnel</td>
</tr>
<tr>
<td>X.</td>
<td>Receipt of Additional Funding from Other Sources</td>
</tr>
<tr>
<td>XI.</td>
<td>Repayment of Unused Funds</td>
</tr>
<tr>
<td>XII.</td>
<td>Grant Closeout</td>
</tr>
<tr>
<td>A.</td>
<td>Final Narrative Report</td>
</tr>
<tr>
<td>B.</td>
<td>Final Financial Report</td>
</tr>
<tr>
<td>XIII.</td>
<td>Patent Policy</td>
</tr>
</tbody>
</table>
I. THE GRANT REQUEST

A. Applicants

Full-time faculty members who meet the eligibility requirements may request funds to initiate a research project with the objective of securing external funds to continue the research.

B. Amount of Grant

NEW JERSEY HEALTH Foundation will consider grant applications up to $35,000 for either bridge or seed grants. Grants in excess of these amounts will be considered only with full justification and individual support by the appropriate Research Dean or similarly designated position. Applications providing matching funds will receive preferential consideration.

C. Eligibility

Proposals

- Full-time faculty appointment. Part-time and adjunct faculty are not eligible.
- Eligible organizations: Rutgers Biomedical and Health Sciences (including all legacy UMDNJ schools) and The Rutgers Cancer Institute of New Jersey
- Only applicants who have followed all school/organization policies and procedures prior to submission to NJHF will be considered. Preference will be given to applicants who receive matching grants to further support the project. A letter of confirmation of matching grant support should be submitted electronically with application.

D. Review Process

Applications will undergo two review processes. Ranking by the Research Deans and ranking by the NEW JERSEY HEALTH Foundation panel will be considered when developing a final score. Submissions that indicate the availability of matching funds will receive higher priority.

Submission to NEW JERSEY HEALTH Foundation does not guarantee grant funding.

E. Review Criteria

NEW JERSEY HEALTH Foundation will provide Research Deans with electronic access to applications from their schools so that they can review using these criteria:
a. General:
   i. Does the research fall within the mission and goals of the School? Does the researcher have the necessary background and expertise to conduct the project?
   ii. Are necessary facilities available to the researcher for the proposed project?

b. Significance:
   i. Does this study address an important problem?
   ii. Is the project innovative and creative?
   iii. Can this grant be used as leverage to obtain further funding to advance the research?

c. Project Design:
   i. Are project activities well planned and do they realistically fall within an appropriate timetable and budget?

NEW JERSEY HEALTH Foundation Reviewers will consider these criteria:

a. General:
   i. Have the guidelines been followed and application correctly completed?

b. Significance:
   i. Does the proposal communicate the importance of the work and the enthusiasm of the proposer?
   ii. Will this grant be used as leverage to obtain further funding to advance the research? If not, why not?

c. Project Design:
   i. Are the objectives clearly defined and is the basic question to be answered clearly identified?

d. Budget:
   i. Is the amount requested reasonable and consistent with the total funding available?
   ii. If applicable, have all budget items requiring justification been specifically addressed?
   iii. Has the applicant received matching funds for this project?

F. Application Forms, Submission and Deadlines. Application forms can be found at www.njhf.org. Applications will be accepted electronically only. Deadline dates for submission of grant applications will be posted for each award cycle. Applications cannot be accepted after the deadline date but may be resubmitted for the next award cycle. All
applications are to be submitted directly to NEW JERSEY HEALTH Foundation after the applicant has followed all Rutgers standard approval protocols and procedures at his/her school.

Once submitted, applications will be reviewed by the appropriate Dean or Research Dean. (Deans will review applications specific to their own schools.) Upon completion of the Dean’s review, applications will be reviewed by the NJHF Grant Committee, which is appointed and chaired by a member of the NEW JERSEY HEALTH Foundation Board.

II. NOTICE OF AWARD

Grant recipients, Deans and Research Deans will be notified of acceptance or rejection of grants with details regarding grant payouts and reporting deadlines provided for accepted applications.

Upon receipt of notification, awardees will also receive a Letter of Agreement to sign prior to release of funds. A sample agreement is posted at www.njhf.org.

III. SUBMISSION DEADLINES

There will be two submission deadlines per year, which will be posted on the NJHF website. Applications cannot be accepted after the deadline date but may be resubmitted for the next award cycle.

IV. GRANT PERIOD and PAYMENTS

The funding period for each grant is one year. Grant awards will be made to the recipient’s institution and not to the applicant directly.

V. PUBLICITY

New Jersey Health Foundation reserves the right to publicize its grant awards, recipient names and research title.

VI. ACKNOWLEDGEMENT OF SUPPORT

All print, video, web site and audio materials related to the grant project or program (publications, conference presentations or patents filed) must identify and credit New Jersey Health Foundation for its support indicating “This research has been funded (or funded in part) by a grant from New Jersey Health Foundation”. Copies or descriptions of all materials (publications, conference presentations or patents filed) arising from New Jersey Health Foundation grants must be supplied to New Jersey Health Foundation electronically through the application portal by the grantee in accordance with
the recipient’s school or institute’s internal procedures. Please notify Dale Heffler at NJHF (dheffler@njhf.org) when posting material.

VII. GRANT ADMINISTRATION

The responsibility for the financial administration of grants is delegated to the school or unit of the University.

VIII. EXPENDITURES

Grants must be used to fund only direct program costs. They cannot be used to fund overhead, indirect or investment management fees.

A. Salary

Salary may not be requested for the principal investigator or other full-time faculty members.

B. Budget Categories

Emphasis should be given to items that specifically support project goals (as opposed to general items such as furniture, office supplies, personal computers, etc.). Travel fund requests will not be considered except in unusual circumstances in which case a specific request and justification must be made to NJHF.

C. Adherence to Budget

Expenditures of grant funds must adhere to the specific categories and items in the approved grant budget. See requirement for budget changes below.

D. Equipment

Equipment provided through NEW JERSEY HEALTH Foundation funding, although designated for primary use by the grantee, must be made available to faculty and students throughout the recipient’s school or institute. All equipment purchased through NEW JERSEY HEALTH Foundation grants becomes the property of the recipient’s school or institute.

IX. GRANT CHANGES

A. Budget Changes

Funds may not be re-budgeted without the written approval of NEW JERSEY HEALTH Foundation. Requests must also have the prior approval of the Research Dean or similarly designated individual.

B. Changes in Grant Period

1. Effective Date

The start date of a grant may not be changed without written consent of NEW JERSEY HEALTH Foundation. Requests must also have the approval of the Research Dean or similarly designated individual and must provide an explanation for the delay of the start of the project.

4
2. **Expiration Date.** If additional time is required beyond the established expiration date to assure completion of a project, a request for an extension must be submitted at least 30 days prior to the expiration date and be approved by the Research Dean or similarly designated individual and then approved by NEW JERSEY HEALTH Foundation. Such requests must be submitted electronically and must include a progress report to date, an explanation for the delay of the completion of the project, plans to complete the project, and an interim financial report. The number of grant extensions a principal investigator or author may request is limited to one (1) one-year extension.

B. **Changes in Senior Personnel.** Changes in principal or co-principal investigators or authors identified in the original grant request may not be made without the prior written approval of the Research Dean or similarly designated individual. A copy of this change must be submitted to New Jersey Health Foundation electronically.

X. **RECEIPT OF ADDITIONAL FUNDING FROM OTHER SOURCES**

The principal investigator or author should notify NEW JERSEY HEALTH Foundation when funding that provides support for the project or for any budget item funded by the New Jersey Health Foundation grant is received from another source.

XI. **REPAYMENT OF UNUSED FUNDS**

Any portion of grant funds unexpended and not committed at the completion of the project or at the end of the grant period, including any authorized extension thereof, must be returned to NEW JERSEY HEALTH Foundation immediately upon submission of the final financial report.

XII. **GRANT CLOSEOUT**

Researchers will receive 80% of their allocation at the start of the project and the remaining 20% after a summary updating NJHF on the success and/or failure of their project has been received. In this summary, to be submitted through the application portal, include:

A. **Final Narrative Report**

The written report will give details of activities, conclusions drawn, estimation of the degree to which project goals were achieved, and a statement as to whether the grant has helped to secure additional support funds. A copy of any publication resulting from the NEW JERSEY HEALTH Foundation grant should be submitted with the final narrative report or when available.
B. Final Financial Report

This report must be submitted with the signature of the Controller or his/her designee. It is understood that grant reports are made available to the NEW JERSEY HEALTH Foundation staff, Board of Directors and auditor. All other interested persons requesting such reports will need permission from the grantee and NEW JERSEY HEALTH Foundation.

XIII. PATENT POLICY

All research funded by NEW JERSEY HEALTH Foundation must be conducted in full compliance with school/institute policies regarding patents, copyrights and materials transfer. Therefore, any research grant is awarded on the conditions that:

- The grant will only be used for performing original research as long as the grantee remains an employee or appointee of the school/institute; and
- Such grantee agrees to comply fully with all the policies of the school/institute and with the conditions of his/her employment or appointment that are in force at the time the grant is made.
- NJHF wishes to evaluate the Intellectual Property to determine its interest in investing in any start-up company which would acquire a license from Rutgers University for the aforementioned Intellectual Property under patent rights. NJHF has the right of first refusal, for a period of ninety days after acceptance of the final narrative report, to license the above-referenced Intellectual Property into a start-up company in which NJHF’s affiliate, Foundation Venture Capital Group, may invest or sub-license it through a technology holding company to a third party.