

DKMS Stiftung Leben Spenden

John Hansen Research Grant

FUNDING GUIDELINES

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1 Foreword

1. The DKMS Stiftung Leben Spenden, hereinafter referred to as “DKMS SLS”) is a non-profit organization founded in 1991 to raise awareness about the need of unrelated donors for patients diagnosed with disorders with an indication for allogeneic hematopoietic cell transplantation.

In 2015, the DKMS SLS established the Mechtild Harf Research Grant to fund scientific projects in the field of blood cancer and allogeneic hematopoietic cell transplantation. In 2019, the name of the Grant was changed to honor Dr. John A. Hansen, an outstanding oncologist and immune-geneticist, who made major advances towards improving the success and efficacy of stem cell transplants in blood cancer patients. Dr. John A. Hansen was a long-standing board member of the DKMS SLS, where he supported the development and the expansion of DKMS to other countries with a deep commitment and passion.

2 General Conditions

- 2.1 The John Hansen Research Grant is aimed at supporting promising young scientists to advance scientific understanding in the field of blood cancer with a focus on hematopoietic cell transplantation and cell therapy for hematological diseases. DKMS SLS does not provide funding for any other research areas. For this purpose, the selected scientist (hereafter called “grant recipient”) is awarded with the grant. Therefore, the fund will be transferred to the institution for which the grant recipient works (hereafter called “host institution”). The grant is to be used exclusively for the selected scientific project of the grant recipient.
- 2.2 Even if all the conditions for funding in these Guidelines are met, there is no legal entitlement to funding. The decision on funding falls to the respective DKMS SLS committees alone. The relevant committee may justify its decision to decline funding, although it is not under obligation to do so.
- 2.3 Each annual funding period begins on July 1st and ends on June 30th of the following year. The entire funding period has a maximum duration of three (3) years.
- 2.4 The DKMS SLS must be immediately informed when circumstances relevant to the granting of funds are foreseen, including but not limited to:
 - i. Changes of contact information of the grant recipient or his/her/its host institution.
 - ii. Changes in the project financial plans (scope, quantity, etc.).
 - iii. Changes in the project design or any other information contained in the initial approved application.
 - iv. Changes in the conditions for the realization of a project (e.g. partners, project location, timelines, primary supervisor).
 - v. Changes which affect the legal status of the host institution (e.g. change in legal status, changes to the articles of association or the shareholder agreement).
 - vi. Insolvency or settlement proceedings filed or initiated against the host institution, or if other official approvals for the project are withdrawn, changed in terms of content or cease to exist.

- vii. Donations, grants and other financial support received by the grant recipient or the host institution for the awarded project from other sponsoring institutions or persons while receiving funding from the DKMS SLS.
- 2.5 The DKMS SLS reserves the right to cancel the funding, either wholly or in part, in light of substantial changes in circumstances, for example related to the scope of the research project. DKMS SLS reserves the right to review these changes.
- 2.6 When applicable, it is the responsibility of the grant recipient to ensure the necessary involvement of the ethics committee and compliance with legal provisions as well as for obtaining the necessary official permits and approvals.
- 2.7 The DKMS SLS cannot assume any liability for damages sustained by the grant recipient or third parties as a result of the execution of the funded project.
- 2.8 To the extent that a permitted change of host institution as defined in clauses 11.1 and 11.2 of these Guidelines occurs prior to the expiration of the Funding Period, the host institution agrees to comply with the conditions in clauses 11.3, 11.4 and 11.5.

3 Eligibility

- 3.1 Applicants from all countries are welcome to apply. Applicants awarded in previous years cannot apply a second time.
- 3.2 Funding through the John Hansen Research Grant is dependent on the eligibility of the applicant: Applicant must have received a doctoral degree (PhD, MD, or equivalent achievements) in a field pertinent to the grant within the last 10 years from the grant call start date. Applicants whose careers have been interrupted after receiving a doctoral degree, may request an extension of the degree requirement insofar as the interruption occurred for example to one of the following reasons: family care responsibilities, applicant's disability or illness, active duty community service. Such request for extension shall be initiated within the scope of the application phase by completing the Extension Request Form which will be provided on demand (grant@dkms.org). Upon request, the reasons leading to such a request must be substantiated by appropriate documentation. The requirement for extension will be considered on a case-by-case basis.
- 3.3 Applicants must appoint a supervisor in his/her/its application. The supervisor should ideally be a senior scientist in the applicant's host institution with experience in the research proposal topic, who can provide guidance and support for an adequate project progress.
- 3.4 The host institution where the applicant and the supervisor are affiliated must be a corporation governed by public law and meet the requirements for funding by DKMS SLS as imposed on DKMS SLS by the German tax authorities, i.e.:
 - i. As an organization, a corporation differs from the totality of their members and has its own sphere of capital, separated from its members. Particularly in economic activities, a corporation has to act independently from its members and generate its own income.
 - ii. The income therefore has to be allocated to the corporation and not to the totality of its members.
 - iii. The corporation may also keep profits and losses of business activities.
 - iv. The corporation exists independently from its existing or transferred members.
 - v. The corporation has to be managed by appointed officers, who act for the corporation and not for the totality of its members (key term: foreign organs).

- vi. Corporation members/shareholders shall only have a right to the corporate assets in cases of liquidation and similar corporate transactions.
 - vii. In principle, there is no liability for the members of the corporation; neither do they eventually have to provide variation margins.
 - viii. The legal definition of a legal person under public law is as follows: Legal persons under public law include regional authorities of the federation, member states and municipalities, chambers of industry and commerce, as well as chambers of tax consultants, German public law institutions, e.g. universities or schools and state foundations. Generally, legal persons under public law carry out regulatory tasks.
- 3.5 The host institution must provide the DKMS SLS with any document required to prove the above-mentioned requirements (e.g. excerpts of statutes, bylaws, etc.). These must be submitted in English or German. The DKMS SLS does not pay translation fees.

4 Application

- 4.1 The Application Instructions and these Guidelines are published each year on the John Hansen Research Grant website at the beginning of the application period.
- 4.2 For application information on the applicant together with a description of the research project and a budget plan must be submitted to the DKMS SLS in accordance with the Application Instructions.
- 4.3 A “Declaration of Agreement” (at the end of these Guidelines) accepting the conditions set out in these Guidelines must be signed in writing by both the awarded applicant (grant recipient) and an authorized signatory of the host institution together with an official stamp or the full official address of the host institution itself.
- 4.4 Any required document can be submitted by e-mail. Originals should be kept in case they need to be requested by the DKMS SLS for checking compliance with these Guidelines.
- 4.5 Application documents and reports must be submitted in English. Invoices and other documents can be submitted in the original language, but preferably in English or German.

5 Funding Amount

- 5.1 With the John Hansen Research Grant, the grant recipient will be given a maximum of up to EUR 80,000 (annual budget) over a maximum funding period of three (3) years. The funds will be disbursed in Euros. In the event of a currency conversion, the exchange rate on the date of payment shall apply.
- 5.2 The prerequisite for payment for the first funding period is to send the complete application documents to demonstrate eligibility of the grant recipient and host institution as required in clauses 3 and 4 of these Guidelines.
- 5.3 A “Notice of Award”, which entitles the host institution to receive the funds, will be issued after verification of the eligibility criteria described in 3.4.
- 5.4 The funds will be transferred by the DKMS SLS to the bank account specified by the host institution. A separate account or a separate, project-specific cost center should be set up for project transactions.
- 5.5 Each installment (partial payment in the fiscal sense) is to be used by the end of the 2nd calendar year following the disbursement in accordance with the funded project.

- 5.6 After the end of each funding period, the grant recipient must submit the records of the appropriation of funds as laid out in clause 10 at the time as described in clause 8 of these Guidelines, in order to enable DKMS SLS to verify the proper use of the funding amount as described in clause 6 for the expired period. The funding amount for a subsequent period will always be paid after the documents have been submitted in full and the audit has been completed.

6 Funding Restrictions

- 6.1 The funds granted by the DKMS SLS may only be used for the fulfilment of the awarded research project. They are not bound to financial years. The grant recipient must use the funds granted cost-effectively and sparingly and must make use of all achievable cost advantages.
- 6.2 Supplies such as disposables, chemicals, reagent kits, animals, etc., may be included.
- 6.3 Hiring technicians with at least 30% of their time dedicated to the awarded project is allowed. The employment contracts shall be presented to the DKMS SLS for inspection upon request. Hiring requirements must be fulfilled in line with the respective national legal regulations. Salaries for supervisor or collaborators may not be included.
- 6.4 A maximum of EUR 2,500 per year for travel, accommodation costs and registration fee to a scientific meeting for presentation of the awarded project data by the grant recipient may be used. Expenses for childcare costs at the conference site (if offered) may be charged extra. The funds may only be used for travel expenses to the conference location on the following listed conditions:
- The resulting costs are absolutely necessary to reach the conference destination.
 - Plane and train tickets must be economy class.
 - There must not be more than 24h of layover between connecting flights or rail journeys.
 - Overnight accommodation in 5-star hotels is not permitted.
 - Flat-rates for meals and other costs will not be recognized.
 - Taxi rides and parking fees should be avoided as far as possible; Furthermore, the following expenses are not allowed:
 - In-flight movies/refreshments.
 - Hotel room movies and other forms of personal entertainment.
 - Traffic fines.
 - Tips in excess of 10% and/or tips in addition to pre-applied gratuity.
 - Meals and drinks.
 - Parties and gifts.
- 6.5 The use of the funds granted for the following expenses in particular is excluded:
- Equipment purchases with a single item value of greater than EUR 3,000.
 - Institute-related overheads of the base institution.
 - Secretarial or clerical work.
 - Acquisition of land and property.
 - Books and journals.
 - Fringe benefits (insurance premiums, unemployment benefit plans, etc.).
 - Buildings (renovations or new builds), assembly work or furnishings.
 - Building, laboratories and office space rentals.
 - Office supplies and phone bills.

- VAT, if deductible.
- National income tax as a result of the inflow of funding.

7 Publicity Work

- 7.1 The DKMS SLS must receive within two weeks of issuing the grant, a summary of the project in lay language (English) and a photograph of the applicant (landscape format, minimum size 1 MB/300dpi), which the DKMS SLS can publish.
- 7.2 Consent to the use of personal data, including name, photographs, curriculum vitae and affiliation of the grant recipient as well as abstracts or a lay summary of the funded project for publicity purposes must be given by using a separate Consent Form provided after successful application
- 7.3 The DKMS SLS may wish to make research results known available to the public. Therefore, it expects willingness on the part of the grant recipient to work together with the DKMS SLS to do so too. A summary of the results in lay language should be submitted together with the final report.
- 7.4 The grant recipient must warn the DKMS SLS in advance about any information in the application abstract, lay summary or progress report that should not be published due to confidentiality or intellectual property protection. The DKMS SLS will not disclose this information without approval from the grant recipient.

8 Progress and Final Reports

- 8.1 At the end of each annual funding period, the grant recipient must submit a report describing the progress of the project by completing the provided report templates.
- 8.2 The progress report is due on June 15th of the first and second funding year at the latest. The continued annual provision of funding is bound to the results in the progress report.
- 8.3 The final report must be submitted to the DKMS SLS no later than three months after the end of the third funding year, including a summarizing abstract of the project in lay language for press release.

9 Acknowledgment of Funding by the DKMS SLS

- 9.1 All publications related to the funded project, for example press releases, oral presentations and posters at scientific meetings, or project description on the host institution's website, must acknowledge financial support of the DKMS SLS through the John Hansen Research Grant. The logo of the DKMS SLS must be shown in oral as well as poster presentations.

10 Records of the Appropriation of Funds

- 10.1 The DKMS SLS requires a list of expenses incurred with the grant funds for its own records and for financial audit purposes.
- 10.2 Randomly selected copies of invoices, travel expenses and payroll accounts may be requested by the DKMS SLS at any time during or after the funding period. The

documents must be retained for at least three (3) years after termination of the funding period for any potential reviews.

- 10.3 Expenditures incurred before receiving the grant notice or after termination of the total funding period are not eligible to be included, unless authorization by DKMS SLS is expressly granted.
- 10.4 If the grant recipient has the option of a VAT input tax deduction, then this must be used. If the grant recipient is not entitled to VAT input tax deduction, then all expenses should be financed gross from the allocated funding budget.
- 10.5 There must be a statement in each report that the expenses were necessary, that funds were used economically and efficiently and that supporting documentation about the use of the funds is available upon request.
- 10.6 If the funds are not completely used in the corresponding funding year, a notice for transfer of the residual grant funds to the next funding period shall be submitted to the DKMS SLS by e-mail to grant@dkms.org at least when providing the annual progress report. The financial progress report of the next funding period shall include proof for the use of these residual funds.

11 Change of Host Institution

- 11.1 Since the payment of the grant is always linked to the host institution where the respective grant recipient is employed and works on the selected scientific project within the scope of this employment, there is in principle the possibility that the host institution changes if the grant recipient changes his/her/its workplace.
- 11.2 The prerequisite for such a change is that the new employer fulfills all the requirements for the eligibility of a host institution specified by these Guidelines and accepts these Guidelines by signing the current version of the “Declaration of Agreement” as named in clause 4.3 of these Guidelines. In addition, the grant recipient shall continue working with his/her/its existing supervisor or nominate a new suitable supervisor.
- 11.3 The remaining amount of the grant will be transferred from the original host institution to DKMS SLS which will be responsible for the transfer to the new host institution. The remaining amount will be disbursed in Euros less applicable exchange rate fees.
- 11.4 The sum of the amount to be transferred within the meaning of clause 11.3 must be traceable. For this purpose, the expenses incurred for the scientific project at the original host institution up to the time of the change of the host institution must be proven.
- 11.5 As far as the grant funds are used to purchase items with a significant purchase price and which are intended for the implementation of the scientific project, these items will be transferred to the new host institution and will be at the disposal of the grant recipient for his/her/its work within the framework of the funded scientific project.

12 Reduction, Repayment and Revocation of the Granted Funds

- 12.1 A whole or partial revocation of the grant by the DKMS SLS with retroactive effect may be considered if:
 - i. The grant has been obtained using incorrect or incomplete details given to the DKMS SLS.
 - ii. The required summary of expenditures or invoices described in section 10.1 and 10.2 of these Guidelines are permanently and definitively not provided.

- iii. The grant recipient and/or host institution fail to provide notification of significant changes to the conduct of the project or key personnel to the DKMS SLS.
 - iv. The interests of DKMS SLS in the publicity work are violated or if its funding is not acknowledged.
 - v. There is evidence of scientific fraud in the research conduct.
 - vi. IRB approval or animal care certification was not obtained prior to research start.
 - vii. Failure to demonstrate appropriate use of the funds.
- 12.2 The disbursed funds must be returned to the DKMS SLS as soon as a grant notice is withdrawn or revoked by the DKMS SLS.

13 Termination

- 13.1 DKMS SLS has the right to terminate the grant for cause, for example if:
- i. The grant recipient changes to an employer who does not fulfill the requirements on host institutions as laid out in these Guidelines; or
 - ii. If the grant recipient does not continue the scientific project; or
 - iii. If the behavior of the grant recipient is likely to damage the reputation of DKMS SLS.
- 13.2 The grant recipient has the right of termination for cause if he/she/it cannot continue the scientific project for a reason beyond his/her/its control.
- 13.3 In the event of termination, the funds already disbursed less the justified expenses incurred for the scientific project must be repaid to DKMS SLS.

14 Data Protection

- 14.1 Within the framework of the John Hanson Research Grant, DKMS SLS processes personal data of applicants as well as of grant recipients, host institutions and other persons involved or affected. Personal data that are processed include identification data and in individual cases health information, e.g. regarding family care times.
- 14.2 DKMS SLS is committed to comply with the relevant data protection regulations (GDPR) and will only process data made available to it for the required purposes and periods of time as laid down in these Guidelines. Data relevant under commercial law, including records of appropriate use of funds, shall be retained for a period of ten (10) years beginning with the end of the last year of funding.
- 14.3 DKMS SLS undertakes to treat all data confidential and will not disclose confidential information for other purposes than the Guidelines are based on. The accessibility to confidential data is limited to a necessary minimum.

15 Miscellaneous

- 15.1 In any case of legal disputes, German Law shall apply.
- 15.2 The exclusive jurisdiction for any disputes concerning the rights and obligations arising from these Guidelines is Tübingen, Germany.

DKMS Stiftung Leben Spenden

c/o DKMS Group gGmbH

Kressbach 1

72072 Tübingen

Germany

Declaration of Agreement

We hereby declare that we agree to comply with the terms and conditions set in the “John Hansen Research Grant Funding Guidelines” (version dated August 2023) issued by the DKMS Stiftung Leben Spenden.

Applicant:

Name of the signatory (in block capitals)

Date

Signature

Host institution:

Name of the signatory (in block capitals)

Date

Signature

Stamp or official address of the host institution