

DKMS Stiftung Leben Spenden

(DKMS Foundation for Giving Life)

John Hansen Research Grant

Funding Guidelines

July 2021

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Foreword

The DKMS Foundation for Giving Life (in German “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 immunogeneticist, 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.

1. General Conditions

- 1.1. The John Hansen Research Grant is aimed at supporting promising young researchers 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.
- 1.2. 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.
- 1.3. 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 3 years. The funding period cannot be extended beyond June 30th of the third year of funding without prior approval by the DKMS SLS.
- 1.4. The DKMS SLS must be immediately informed when circumstances relevant to the granting of funds are foreseen, including but not limited to:
 - Changes in the project financial plans (scope, quantity, etc.).
 - Changes in the project design or any other information contained in the initial approved application.
 - Changes in the conditions for the realization of a project (e.g. partners, project location, timelines, primary supervisor).
 - 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).
 - 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.

- 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.
- 1.5. The DKMS SLS reserves the right to cancel the funding, either wholly or in part, in light of serious changes in circumstances, including changes related to the scope of the research project.
 - 1.6. 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.
 - 1.7. 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. Eligibility and Application

- 3.1. The application instructions and these Guidelines are published each year in the John Hansen Research Grant website at the start of each application period.
- 3.2. A “*Declaration of Agreement*” (at the end of this document) accepting the conditions set out in these Guidelines must be signed by both the awarded applicant (grant recipient) and an authorized signatory of the host institution.
- 3.3. Applicants from all countries are welcome to apply. Applicants awarded in previous years cannot apply a second time.
- 3.4. Applicants should appoint a Supervisor in their application. The Supervisor should be a senior scientist in the applicant’s host organization with experience in the research proposal topic, who can provide guidance and support for an adequate project progress.
- 3.5. Funding through the John Hansen Research Grant is dependent on the eligibility of the applicant and their host institution:
- 3.6. The applicant must have received a doctoral degree (PhD, MD, or equivalent) in a field pertinent to the grant within the last 8 years from the grant call start date, i.e. August 1, 2013 or later (plus one year per child for mothers).
- 3.7. The host institution where the applicant and the supervisor are affiliated must be a corporation governed by public law, 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.
- 3.8. 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.
- 3.9. Any required document can be submitted via e-mail. Originals should be kept in case they need to be requested by the DKMS SLS for checking compliance with these guidelines.
- 3.10. Application documents and reports must be submitted in English. Invoices and other documents can be submitted in their original language, but preferably in English or German.

3. Funding Pledge

- 3.1. With the John Hansen Research Grant, the recipient will be given a maximum of up to EUR 80,000 (annual budget) over a maximum funding period of 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.
- 3.2. A budget plan must be submitted to the DKMS SLS together with the application. This forms the basis for the disbursement of the funding granted, and for financial planning by the DKMS SLS.
- 3.3. A “Notice of Award”, which entitles the host institution to receive the funds, will be issued after verification of the eligibility criteria described in 2.4.
- 3.4. 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.

4. Budget Restrictions

- 4.1 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.
- 4.2 Supplies such as disposables, chemicals, reagent kits, animals, etc., may be included.
- 4.3 Hiring technicians with at least 30% of their time dedicated to the awarded project is allowed. The working 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.
- 4.4 A maximum of €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.
- 4.5 The use of the funds granted for the following expenses in particular is excluded:
 - Equipment purchases with a single item value of greater than €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.

5. Publicity Work

- 5.1 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 (minimum size 1 MB/300dpi), which the DKMS SLS can publish.
- 5.2 Consent to the use of name, photographs, curriculum vitae and affiliation of the grant recipient for publicity purposes is regarded as having been granted by the applicant from the moment of applying. The grant receiver is responsible for obtaining any intellectual/licensing/copyright or other ownership rights for any photographs sent to the DKMS SLS.
- 5.3 The DKMS SLS may wish to make the 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.
- 5.4 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.

6. Rights of Use and Patents

- 6.1 The DKMS SLS shall retain a non-exclusive and free of charge right of use to all patents claiming inventions that are first conceived and reduced to practice in the course of performing the DKMS SLS funded research. Furthermore, the right to use such patents shall only be granted to the extent the host institution has the legal right to do so and shall only be effective as of the date the parties sign a separate license agreement, which will contain customary terms and conditions for such non-exclusive and free of charge licenses.

7. Progress and Final Reports

- 7.1 At the end of each annual funding period, the grant recipient must submit an unsolicited report describing the progress of the project and including the following information:
- A summary of the costs incurred during this funding period.
 - An extra list of accounts showing expenditure (see 9.1)
 - A separate list of publications resulting from the funded project. If patent applications or patents have been granted or other exploitation rights have been enabled, these must be indicated in the report.
- 7.2 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.
- 7.3 The final report must be submitted to the DKMS SLS no later than three months after the end of the third funding year.

8. Acknowledgment of funding by the DKMS SLS

- 8.1 When it comes to presentation of data related to the funded project in form of press releases, scientific meetings oral presentations and posters, or project description on the host institution's website, reference is to be made to the financial support of the DKMS SLS through the John Hansen Research Grant. The logo of the DKMS SLS must be shown in oral presentations and posters.

9. Records of the appropriation of funds

- 9.1 The DKMS SLS requires a list of expenses incurred with the grant funds for its own records and finances audits purposes.
- 9.2 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 3 year after termination of the funding period for any potential reviews.
- 9.3 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.
- 9.4 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.
- 9.5 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.
- 9.6 If the funds are not completely used in the corresponding funding year, a request to transfer

the residual grant funds to the next funding period can be submitted to the DKMS SLS. The DKMS SLS has the right to reject this request if the justification for the funds transfer is considered insufficient. The financial progress report of the next funding period shall include proof for the use of these residual funds.

10. Reduction, repayment and revocation of the granted funds

10.1 A whole or partial revocation of the grant by the DKMS SLS with retroactive effect may be considered if:

- a) The grant has been obtained using incorrect or incomplete details given to the DKMS SLS.
- b) The required summary of expenditures or invoices described under section 9.1 and 9.2 of these guidelines are not provided.
- c) The grant recipient and researcher fail to provide notification of significant changes to the conduct of the project or key personnel to the DKMS SLS.
- d) The interests of DKMS SLS in the publicity work are violated or if its funding is not acknowledged.
- e) There is evidence of scientific fraud in the research conduct.
- f) IRB approval or animal care certification was not obtained prior to research start.
- g) Failure to demonstrate appropriate use of the funds.

10.2 The disbursed funds must be returned to the DKMS SLS as soon as a grant notice is withdrawn or revoked by the DKMS SLS.

11. Governing Law

11.1 In any case of legal disputes, German Law shall apply.

DKMS Stiftung Leben Spenden
c/o DKMS gemeinnützige GmbH
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 July 2021) issued by the DKMS Stiftung Leben Spenden (DKMS Foundation for Giving Life).

Applicant:

_____	_____
Date	Signature

Name of the signatory/ signatories (in block capitals)

Host institution:

_____	_____
Date	Signature and Stamp

Name and title of the authorized signatory/ signatories (in block capitals)