

# Policy on Grants for Research Projects

THE PENNSYLVANIA LIONS  
HEARING RESEARCH FOUNDATION  
(Last revised: September 20, 2016)

The Pennsylvania Lions Hearing Research Foundation (PLHRF) is a nonprofit corporation created by the Pennsylvania State council of Lions clubs and endorsed by the Lions of Pennsylvania primarily for the purpose of funding research into causes treatment prevention and restoration of hearing impairment.

## I. GENERAL POLICIES

### A. Grant Period

1. The PLHRF awards grants once a year commencing July 1 and ending June 30 of the subsequent calendar year. The grant period may be extended by up to six months, without additional funding, if requested before the end of the grant period by the principal investigator.

### B. Project Period

1. The project period is defined as one or more grant periods. Only one grant period is normally awarded for a specific research project, however, in exceptional cases succeeding grant periods may be supported for continued research on the same project. If additional grant support is desired for a succeeding grant period beyond an approved grant period, another application for grant support must be submitted and compete with all other applications for the requested grant period.

### C. Grant Period Dollar Funding

1. All applications, whether for new or continuing grant periods, compete for funds made available by the PLHRF for grants in the grant period applied for. A grant cannot exceed the total amount made available by the PLHRF for award in any given grant period. In general grants will not exceed \$20,000 for any project in any single grant period.

### D. Research Areas

1. The current policy of the PLHRF favors the awarding of grants for so called "seed money" support in generally unexplored areas of ear research by new investigators. However, it does not exclude grant support for any related ear research by any investigator.
2. Applications for support of grant periods will be considered for research directed to all aspects of the ear including physiology, biochemistry, genetics, anatomy, pathology, and pathophysiology. Research directed to communicative disorders that result from hearing impairment will also be considered.

### E. Evaluation Criteria

1. In evaluating applications for research grants, consideration will be given to the subject of the research, the quality of its design, its potential for significant advancement in basic knowledge or clinical applications, the available facilities and personnel at the institution in which the research will be carried out, the qualifications of the investigators, and the reasonableness of the budget.
2. All research applications will be evaluated by the PLHRF's Grant Review Team and the Advisory Board, whose recommendations will be submitted to the Board of Directors of the PLHRF. The Board of Directors has full and sole authority over which grants will be funded.

F. Budget

1. Grant funds may be budgeted and used for the following direct costs of carrying out PLHRF approved projects:
  - a. salaries of technical and supporting personnel;
  - b. limited alterations and renovations of existing facilities;
  - c. purchase of equipment. However, current policy expects that institutions will make a commitment toward the cost of equipment that will find continuing use after the conclusion of the project;
  - d. consumable supplies including drugs and services;
  - e. such other specifically authorized expenses as may be essential to carrying out the project.
2. Grant funds may not be budgeted nor used for the following:
  - a. salary of the principal investigator or co-investigator;
  - b. travel;
  - c. living expenses;
  - d. printing costs;
  - e. overhead costs;
  - f. public information or education programs;
  - g. any other non-approved costs.

G. Budget Evaluation and Request for Exceptions

1. The reasonableness of the inclusion and of the amount of every item in a submitted budget will be evaluated by the PLHRF. A request for an exception to any of the above restrictions on the use of grant money must accompany the application and rejection of the exception by the PLHRF will automatically invalidate the application. Approval of an exception may also be requested prior to submitting an application.

H. Transfer of Dollars

1. The investigator may not transfer dollars from one budget category to another of a PLHRF approved budget without specific approval from the PLHRF. Any proposed

transfer than involves a change in the direction of the project must first receive the approval of the PLHRF.

I. Expenditures Report and Unexpected Funds

1. All committed grant funds must be obligated within the grant period. A detailed expenditures report must be submitted to the PLHRF within three months after the end of any grant period. Unless otherwise authorized by the PLHRF, unexpended funds must be returned to the PLHRF with the expenditures report.

J. Use of and Conditions on Grant Funds

1. In accepting a research grant, the institution and the principal investigator are responsible for using grant funds only for those purposes set forth in the application and approved in the PLHRF a word ladder. Failure to do so may result in the withholding of future payments of the grant and may require the grantee to repay to the PLHRF any funds expended in contravention to the approved grant.
2. The recipient of any grant shall be considered an independent contractor in the pursuance of the objectives of said grant (subject to the rules and regulations hearing before and here in stated) and shall save PLHRF, its officers and directors, harmless for damages or suits resulting from any and all actions of the grantee in executing any project which was funded in part or in whole by the PLHRF.

II. LIMITATIONS

A. Geographical Limitations

1. All grants are limited to institutions located within the boundaries of the Commonwealth of Pennsylvania for the sole purpose of performing ear or hearing related research, with such research to be performed entirely within the boundaries of said Commonwealth.

B. Tax-Exempt Limitation

1. Grants can only be made to nonprofit institutions, public or private, that are tax exempt by the Internal Revenue Service, to support research directed at those institutions by investigators who are on their staffs or are otherwise formally attached to them.

III. APPLICATION REQUIREMENTS

A. Forms and Format

1. All applications must be submitted on the PLHRF current proper forms and follow the format indicated there on. Failure to do so automatically invalidates the application. All PLHRF forms may be reproduced. All applications should specify:
  - a. facilities, staff and other research funds available to the principal investigator;
  - b. budget, with purpose stated for each expense;
  - c. qualifications of investigators and other personnel;
  - d. any special information needed to establish eligibility for a grant.
2. If the application is for a continuing year of grant support, it must have attached:
  - a. a copy of the approved preceding application;
  - b. a detailed budget for the next year;
  - c. a progress/status report on the work done since the last application;
  - d. information as to facilities, staff, and other funds available to the principal investigator, if different from the preceding application;
  - e. qualifications of the investigators and other personnel, if different from the preceding application;
  - f. any special information needed to establish eligibility for continuing support.
3. Detailed information on application requirements is contained in the PLHRF's "Directions for Submitting a Research Proposal".
4. The original and fourteen (14) legible copies of the completed application and supporting material must be postmarked no later than January 15 of the calendar year in which the grant period is to commence and mailed to the Pennsylvania Lions Hearing Research Foundation at the address designated in the letter of announcement.

#### B. Conflict of Interest

1. An institution applying for a grant from the PLHRF must submit with its application a copy of the institution's written guidelines for its staff relating to conflict of interest.

#### C. Other Funding

1. An application to the PLHRF for grant support of a research project shall state: 1) whether the same project is receiving support from another source; and 2) whether an application has been submitted to another source for such funding. If, after application to the PLHRF, this same project receives support from another granting agency, the principal investigator in the grantee institution shall promptly notify the PLHRF of such funding. Failure to do so shall automatically invalidate the application.

### IV. PROJECT CHANGES

#### A. Change of Objectives

1. If the principal investigator wishes to make changes which would alter the approved objectives for which the original grant was made, written approval by the PLHRF is required prior to effecting such changes.

## B. Change of Principal Investigator

1. If the principal investigator relinquishes or expects to relinquish active direction of the project, the PLHRF must be notified immediately. The grantee institution may: 1) request that the grant be terminated, in which case a terminal progress/status report and an expenditures report must be submitted, and unexpended funds must be returned; or 2) with the approval of the PLHRF, the grantee institution may continue the project under the direction of another investigator. In the latter instance, biographical data, an interim progress/status report, and other pertinent information satisfactory to the PLHRF should accompany the request for such continuation. Generally, a request for such approval will be considered only during the first six months of the grant period.

## C. Transfer of Grants

1. A research grant can be transferred from one institution to another institution only by written approval of the PLHRF obtained prior to the start of the seventh month of the grant period. If a principal investigator wishes to have such transfer made, that investigator must submit to the PLHRF the following in writing: 1) request for approval for the transfer; 2) approval for the transfer from the fiscal officer at the present grantee institution; 3) an expenditure report covering the grant period at the present institution up to the effective date of the request a transfer, and provide for the return to the PLHRF of all unexpended funds received by the present institution for the grant upon request; 4) the name and address of the fiscal officer at the new institution; 5) confirmation from the appropriate individual at the new institution of the investigator's new appointment, and confirmation adequate to the PLHRF that the new duties and the available facilities and personnel will permit the prompt continuation of the research project; 6) a progress/status report of the research project and provide assurances satisfactory to the PLHRF that the transfer will allow for the successful continuation of the project.

## V. FINAL REPORT

1. The original and one copy of a final report shall be submitted to the PLHRF within three months after completion of each project period and should contain the following: 1) abstract of final report in nontechnical language, limited to no more than 150 words; 2) objectives achieved or not achieved during the project period; 3) current status of the research effort; 4) the direct and/or potential clinical applications achieved; and 5) the detailed budget report.

## VI. PUBLICATIONS AND PUBLICITY

1. Investigators are expected to make the results of their research promptly available to the scientific community. Acknowledgement of PLHRF support should be made when

findings are reported to scientific audiences or scientific journals or when publicity is given to a project.

2. Publications resulting from work supported in whole or in part by the PLHRF should contain a credit line to that effect. Two copies should be submitted to the PLHRF.

#### VII. NOTIFICATION TO APPLICANTS

1. In mid-June, the PLHRF will notify each principal investigator, (and each applicant institution when a grant is awarded), whether or not their project has received a grant for the following grant period, and if so, the amount of that grant.

#### VIII. PAYMENTS

1. When a grant is awarded, one-half of the total grant will be sent to the grantee institution around August 1st, and the balance of the payment will be made early in February. Any exception to this payment schedule must be requested in the grant application and shall be subject to PLHRF approval.