CALIFORNIA'S STEM CELL AGENCY

CALIFORNIA INSTITUTE FOR REGENERATIVE MEDICINE

PA 14-04: CIRM Extraordinary Supplement Awards

I. Purpose

The purpose of this award program is to provide a mechanism for those extraordinary opportunities when a CIRM-funded project might achieve a major new scientific or translational development if additional funding were made available.

II. Objectives and Scope

A. Objective

The objective of this award program is to provide supplemental funding in exceptional circumstances to investigators with an active CIRM award to enable timely expansion of their awarded study to achieve very significant translational and/or transformational results that could not otherwise be achieved with the current CIRM awarded funds (e.g. through change of scope and rebudgeting). These supplements would be carefully considered and rare in occurrence.

B. Scope

The Extraordinary Supplement Award program (PA 14-04) is available to those Principal Investigators who currently hold an active CIRM research award (for exceptions, see Section IV) and that meet the other eligibility criteria described in Section IV.

Funds awarded under the Extraordinary Supplement Award program may only be used to support activities that fall within the scope of allowable activities of the RFA under which the award to be supplemented (parent award) was funded. Research activities proposed under a supplement must not overlap with activities already funded under the parent award. The proposed supplemental research is expected to meet the objective of this program to achieve very significant translational and/or transformational results that could not otherwise be achieved with parent award funding (e.g. through change of scope and rebudgeting). These may include, but are not limited to: critical research studies based on very exciting new results, or studies using newly available specialized resources or technologies that would elevate the significance of the project substantially.

III. Award Information

A. Award Types

There are two types of supplements available through this program.
Minor Supplement: The maximum available award is the **lesser** of 10% of the parent award amount or $500,000 in total costs. CIRM's Governing Board, the Independent Citizen's Oversight Committee (ICOC) authorized up to $4 MM for this program category.

Major Supplement: The maximum available award is the **lesser** of 50% of the parent award amount or $3.0 MM in total costs. The ICOC authorized up to $12 MM for this program category.

Funds available to this initiative for either of these award types may be replenished by the ICOC.

The duration of the award supplement generally should not extend beyond the Parent Award project period.

B. Award Mechanism

The mechanism by which funding is awarded under the Extraordinary Supplement Awards, will be the same as that of the Parent Award (e.g. grant or loan).

IV. Eligibility

A. Project Eligibility

Eligible projects are active CIRM research awards (Parent Award) that have completed the first year of the award at the time of application, are making satisfactory progress, are in good standing, would be active at least through the time of supplemental award decision and have not received a prior Extraordinary Supplement Award. Awards made under the following CIRM programs are NOT eligible for these awards

Research Training Program Awards
Bridges to Stem Cell Research Awards
Creativity Awards
Patent Assistance Fund Awards
Conference Grant Awards
Genomics Centers of Excellence Awards
Alpha Stem Cell Clinics Network Awards
iPSC Initiative Awards

B. Institutional Eligibility

The applicant organization must be the awarded organization on the Parent Award.

C. Principal Investigator (PI) Eligibility and Percent Effort

It is CIRM's expectation that the PI and Co-PI (if applicable) on the existing Parent Award will remain in place if a program receives an Extraordinary Supplement Award. The PI and Co-PI (if applicable) must have an M.D., Ph.D. or equivalent degree, and must be authorized by the applicant institution to conduct the proposed research in California. The current PI and Co-PI (if applicable) are expected to commit at least the same percent effort committed under their Parent Award to any activities awarded additional funding under the Extraordinary Supplement program.

D. Co-Funding Requirements

Some eligible Parent Awards include a co-funding requirement that the Grantee match a portion of CIRM funding. If CIRM issues a supplement to a Parent Award that has a "matching" requirement, the co-funding requirement will not apply to the Extraordinary Supplement funding.

Although not required, co-funding, particularly in the case of development stage projects, is strongly encouraged by CIRM because it facilitates early engagement with funding sources that might support later stages of the development.

E. Extraordinary Exceptions

In extraordinary circumstances, the President of CIRM has the discretion to permit exceptions to requirements or limitations in Section IV. The exercise of such discretion will be only in exceptional cases where the applicant has demonstrated that such an exemption would preserve an important research opportunity or make a critical contribution to one of CIRM's mission objectives. Exceptions must be consistent with the intent and objectives of this Program Announcement and the requirements of Proposition 71 and California state regulations, including the Grants Administration Policy (see Section X.A of this PA), or they will not be considered.

V. Application and Evaluation Process

A. Letter of Intent

Prior to submitting an application, a PI must first submit a Letter of Intent (LOI) that includes a brief summary of the proposed project. As CIRM expects to fund very few of these awards in any given year, a prospective applicant, prior to initiating an LOI, is encouraged to speak with his/her CIRM Program Officer, the President of

CIRM or one of the CIRM contacts listed in Section IX. CIRM will evaluate the LOI and decide whether to invite a full application for the proposed project. That decision will be made under the direction of CIRM's President and will include input from the parent award's Program Officer and senior scientific management.

The LOI will be evaluated for eligibility (Section IV) and the extent to which it could address the objective of this PA - to achieve additional very significant translational and/or transformational results that could not otherwise be achieved with the current CIRM awarded funds (e.g. through change of scope and rebudgeting). The applicant will be notified once CIRM has decided whether or not to invite submission of a full application.

B. Full Application

If invited to submit a full application, CIRM will provide application forms and instructions and will notify the applicant of the review criteria that will apply. Because this program encompasses different types of projects, application forms and review criteria will differ, depending on the type of project to be supplemented and the activities proposed. As with all of CIRM's RFAs and PAs, the general review criteria, described in Section VI, will be adapted to the type of project being considered, based on the goals and scope of the project. The specific review criteria will be based on recent CIRM RFAs for basic, translational or clinical stage research, as appropriate to the project.

The application review process depends on the type of supplement requested, a Minor Supplement or a Major Supplement and for a Major Supplement, whether the proposed activities are for FDA-mandated supplemental activities or not. CIRM's Clinical Development Advisory Panel (CDAP) will evaluate applications for Major Supplement funding for FDA-mandated supplemental activities to a Disease Team (Disease Team Therapy Development), a Strategic Partnership or a Preclinical Development award. CIRM's Grants Working Group, GWG, will evaluate all other applications for Major Supplement funding. The CDAP or the GWG will make a funding recommendation. The Application Review Subcommittee of the ICOC will make funding decisions based on the CDAP or GWG recommendation, any staff recommendation and a programmatic review.

Both the CDAP and the GWG meet several times a year; for applicants invited to submit an application for Major Supplemental funding, CIRM will provide a schedule that will allow for review at an appropriate CDAP or GWG meeting.

An application for Minor Supplement funding will be reviewed by at least two scientific members of the CIRM Grants Working Group with relevant expertise. They will review the application and will provide written advice to the President. Based on this advice and staff input, the President will make a decision to approve or deny the minor supplemental funding request. If approved, the funding decision will be reported to the ICOC at its next meeting.

CIRM's confidentiality and conflict screening rules will apply to everyone who will have access to applications or who will attend the review meeting, including CIRM staff and external reviewers, representatives of Collaborative Funding Partner Agencies and members of the CDAP.

VI. Review Criteria

Stated below are the general review criteria that will be used. Additional specific criteria may apply depending on the nature of the proposal. As described in Section V, an applicant invited to submit a full application will be informed of the specific review criteria to be applied to that proposal.

Reviewers will evaluate the applications in accordance with the following criteria:

Impact and Significance. Evaluate whether and to what extent the proposed supplemental research addresses an important problem and could achieve very significant transformational and/or translational results.

Feasibility and Design
Progress on Parent Award and Project Leadership**.** Assess whether and to what extent the PI and the team are making good progress and achieving milestones on the parent award. If there were challenges, did the PI and team address them in a timely and effective manner?
Preliminary Data: Evaluate whether and to what extent the preliminary data is compelling, pertinent and supports achievement of the proposed supplemental research and successful application of proposed key technologies and methodologies.
Design: Assess whether and to what extent the proposed supplemental research is focused, well-designed to give meaningful results; acknowledges the possible difficulties and provides for alternative plans should the proposed approach fail; proposes a timetable that allows for achieving the objective of the research within the allowable funding period; and uses appropriate milestones with success criteria that provide quantifiable, scientifically (clinically) meaningful measure(s) of outcomes to assess progress.
Budget: Assess whether and to what extent the budget is reasonable for the supplemental activities proposed. Whether and to what extent the proposed supplemental research would not be possible to fund (through change of scope and rebudgeting) or should not be funded using existing parent award funding.

Team, Collaborations, Resources and Environment, Assets. Evaluate whether and to what extent the PI and the team have the training and experience to successfully carry out the proposed supplemental research; whether any proposed collaborations are critical and integral to the success of the proposed project; whether the resources critical to the success of the project are in place and if the environment is conducive to project success.

Assess whether and to what extent critical assets (patent applications, patents, Material Transfer Agreements, other licensing agreements) are in place or a plan is in place that would allow conduct of the proposed supplemental research and, where applicable, support development of the therapeutic candidate.

Responsiveness to RFA. Evaluate whether and to what extent the proposed supplemental research adequately and appropriately addresses the objective and scope of the PA, as described in Section II.

VII. Application Procedure

A. Letter of Intent (LOI)

A PI on an award that meets the eligibility criteria outlined in Section IV may submit a Letter of Intent (LOI) for this PA using the forms and instructions provided in the Grants Management Portal at https://grants.cirm.ca.gov. The LOI should concisely describe the research proposed for supplemental funding and discuss how the criteria described in Section V.A. are met.

As CIRM expects to fund very few of these awards in any given year, a prospective applicant, prior to initiating an LOI, is encouraged to speak with his/her CIRM Program Officer, the President of CIRM or one of the CIRM contacts listed in Section IX.

B. Full Application Forms

CIRM will only accept full applications that have been invited by CIRM, following CIRM's review of the LOI. As noted in Section V, based on the LOI, CIRM will provide appropriate application forms and instructions to PIs who have been invited to submit an application. The PI and the project described in the LOI and accepted by CIRM must be the same; otherwise the application is deemed ineligible.

VIII. Schedule of Deadlines and Reviews

Letters of Intent can be submitted at any time. In general they will be evaluated at least quarterly.

As noted in Section V, CIRM will provide an application and review schedule for each full application invited. In general, scientific review and decision for minor supplements may be completed within 2-4 months after the date the full application is received; scientific review and final award decisions for major supplement awards may be completed within 4-6 months after the full application is received. Therefore, prospective applicants for supplemental funding under this PA should submit an LOI

such that, if invited to submit a full application, the Parent Award will be active at least until supplemental award funding decision.

IX. Contacts

For information about this PA or the review process:

Patricia Olson, Ph.D.
Executive Director, Scientific Activities
California Institute for Regenerative Medicine
Email: polson@cirm.ca.gov
Phone: (415) 396-9116

For information about the GWG review process:

Gilberto R. Sambrano, Ph.D.
Associate Director, Review
California Institute for Regenerative Medicine
Email: gsambrano@cirm.ca.gov
Phone: (415) 396-9103

X. CIRM Regulations

Funding made through this PA will be subject to CIRM regulations. These regulations can be found on CIRM's website at http://www.cirm.ca.gov/reg/default.asp. CIRM regulations include the following:

A. CIRM Grants Administration Policy

CIRM's Grants Administration Policy (GAP) for Academic and Non-Profit Institutions (Non-Profit GAP) and the GAP for For-Profit Institutions (For-Profit GAP) serve as the standard terms and conditions of grant awards issued by CIRM. All research conducted under this award must comply with the stated policy. Progress reports of research, as required by the GAP, are important to CIRM: Funding from year to year will depend on adequate scientific progress as outlined in the grant application timeline. CIRM's GAP is available at http://www.cirm.ca.gov/our-funding/our-regulations/stem-cell-regulations-governing-cirm-grants#GAP.

B. CIRM Loan Administration Policy

CIRM's Loan Administration Policy (LAP) will apply to awards made in the form of a loan. For additional information on the loan program, consult the CIRM LAP, available at: http://www.cirm.ca.gov/our-funding/our-regulations/stem-cell-regulations-governing-cirm-grants.

C. Intellectual Property Regulations

CIRM has adopted intellectual property and revenue sharing regulations for non-profit and for-profit organizations. By accepting a CIRM Grant, the Grantee agrees to comply with all such applicable regulations.

D. Human Stem Cell Research Regulations

As reflected in CIRM's GAP, CIRM has adopted medical and ethical standards for human stem cell research (Title 17, California Code of Regulations, sections 100010-100110 available at http://www.cirm.ca.gov/our-funding/our-regulations/stem-cell-regulations-governing-cirm-grants#standards). All research conducted under this award will be expected to comply with these standards. This information can be found on the CIRM website.

E. California Supplier Regulation

CIRM has adopted a regulation to implement the requirement in Proposition 71 that grant and loan recipients make a good faith effort to achieve a goal of purchasing more than 50% of their goods and services from California suppliers (Title 17,California Code of Regulations, section 100502). Grant and loan recipients are required to comply with this standard.

F. Clinical Trial Registration

CIRM requires that any clinical trial funded under any of its funding programs be listed on http://clinicaltrials.gov/. CIRM will also require awardees to share the results, at the completion of their studies for the benefit of the field.