

**LOI SUBMISSIONS EXTENDED TO JUNE 1st, 2022****Request for Proposals: 2022 ALK Positive-LCRF Lung Cancer Research Grant Program****1. Program Summary**

The last 10-15 years have seen the acceleration of precision medicine in non-small cell lung cancer (NSCLC) culminating in FDA approvals of targeted therapies for various molecular subsets of NSCLC, in part due to advances in -omics and increased access to molecular profiling of tumors. Anaplastic lymphoma kinase (ALK) rearrangements, initially detected in NSCLC in 2007, occur in 2.7- 9.1 % of NSCLCs<sup>3</sup>. The current FDA-approved therapeutic options for ALK-positive NSCLC include crizotinib, ceritinib, alectinib, brigatinib, and lorlatinib<sup>4</sup>, though crizotinib is used less frequently due to superior efficacy of next-generation ALK inhibitors. Although these ALK targeted therapies are associated with very durable responses, the majority of ALK-positive NSCLCs will eventually develop resistance to available ALK inhibitors.

**ALK Positive** is partnering with the Lung Cancer Research Foundation (**LCRF**) to support ALK-positive non-small cell lung cancer research. Funded research projects are expected to have a direct impact on the outcomes of patients with advanced ALK-positive lung cancer. If the opportunity arises for ALK positive patients to assist including through donation of samples, this need can be shared to the broader ALK positive community to generate participation

**Objectives**

The goal of the award is to fund high-impact research that will ultimately transform care and improve outcomes for patients with ALK-positive NSCLC.

Projects may either be:

- Translational studies that are aimed at impacting clinical decision-making within four years of notification of project award. For the purposes of this Request for Proposals (RFP), “impacting clinical decision-making” is defined as initiation of a clinical trial including ALK-positive cancer patients, or publication of research intended to improve ALK-positive cancer patient treatment outcomes.
- Aspects of clinical trials

Suggested areas of investigation may include, but are not limited to, the following:

- Understanding novel monotherapy and combination therapies. If there is an active Institutional Review Board (IRB) approval by the time of study commencement, addition of an ALK lung cancer arm to an existing/proposed clinical trial is acceptable.
- Therapies in the post-lorlatinib or post-tyrosine kinase inhibitor (TKI) treatment space.
- Identifying biomarkers that predict drug efficacy and/or resistance, or timing and likelihood of relapse
- Multiplex imaging or other high-throughput approaches to screen or characterize response or resistance to therapeutic regimens

- Evaluation of real-world evidence (RWE) and real-world data (RWD) and how this can inform or change current practices
- Understanding the clinical and genomic features of “short responses” to ALK TKIs and suggesting how to improve the treatment and monitoring for these situations. For the purposes of this RFP, short responses are defined as those where the progression-free survival is less than half the published median progression-free survival for a specific ALK TKI.
- Understanding the clinical and genomic features of “long responses” to ALK TKIs and suggesting how to further improve treatment and monitoring in these cases. For the purposes of this RFP, long responses are defined as those where the progression-free survival is at least double the published median progression-free survival for a specific ALK TKI.
- Understanding intratumoral heterogeneity, phenotypic shifts and the features and vulnerabilities of persister cells.
- Characterizing the biology of early-stage ALK+ lung cancers and identifying biomarkers predictive of metastatic relapse

Projects that are out of scope include projects studying the lived experience of patients with ALK-positive NSCLC and infrastructure studies related to building registries.

### **Submission requirements**

Projects are to include at least one aim that is translational and has the potential to lead directly to improved outcomes for patients. Applicants will be asked to estimate the time frame for their research to result in a clinical trial.

## **2. Eligibility Criteria**

Education and Experience: At the time of the award term, an applicant must be an independent Principal Investigator no longer in trainee phase, hold a doctoral degree or equivalent (PhD, MD, PharmD), and have a faculty appointment with a non-profit academic or research institute. An applicant may have any level of research experience.

Applicants from US-based and international institutions are eligible to apply and may hold any residency/citizenship status. This applicant/awardee can be employed by a U.S. or international institution throughout the duration of the award term.

## **3. Budget Requirements**

The maximum award amount is \$250,000 for a period of two years (disbursed at \$125,000 per year). Additional budget requirements and considerations include the following:

- No more than 25% of the requested budget may be used for an investigator’s salary and/or fringe benefits.
- The LCRF-ALK grant can be the primary source of support for the project or used to supplement support from other sources.
- For laboratory-based projects, any salary requests in excess of 25% of the total budget must be explicitly justified.
- Award funds may be used for the salary and fringe benefit costs of key personnel and trainees other than the applicant.

- Allowable costs for clinical trials include: expenses related to subject recruitment and clinical laboratory services, correlative studies and analyses of human subjects and samples.
- Any equipment costs must be limited and directly applicable to the research project (i.e. large, general equipment costs are not permitted).
- Direct patient care costs reimbursable by other sources may not be included.
- Travel and publication costs are permitted.
- The maximum amount of funds expendable for travel is \$3,000 per year per investigator. Travel to LCRF meetings is paid directly by the Foundation and should not be included in the \$3,000.
- Drug costs will not be covered.
- No award shall be used for the purchase of furniture or computers, the construction or renovation of facilities, payment of honoraria or membership dues, payment for tuition, the purchase of textbooks or periodicals, or payment for secretarial support.

#### 4. Data Sharing and Open Access Policy

ALK Positive and LCRF are committed to promoting open science by helping to increase access to investigators' findings and improving collaboration and data sharing among the lung cancer research community. Accordingly, it is a condition of ALK Positive/LCRF funding that all peer-reviewed articles supported in whole or in part by ALK Positive/LCRF funds must be made available in the PubMed Central online archive no later than twelve months after publication. In addition, ALK Positive/LCRF grantees must indicate explicitly in all reports, publications, and other research communications whether the data, methods used in the analysis, and materials used to conduct the research will be made available to any researcher for purposes of reproducing the results or replicating the procedure. At the time of submission of the full proposal, all investigators must indicate if they will or will not make their data, analytic methods, and study materials available to other researchers.

ALK Positive/LCRF award recipients must acknowledge ALK Positive/LCRF grant support in every article arising from such funding. The award recipients must notify ALK Positive (by emailing [info@alkpositive.org](mailto:info@alkpositive.org)) and LCRF (by emailing [grants@lcrf.org](mailto:grants@lcrf.org)) of any articles arising from such funding. This will enable ALK Positive and LCRF to link the published outputs of research to the support that has been provided.

#### 5. Application Instructions and Requirements

- Go to <https://proposalcentral.com/> and login under the "Application Login" section. After logging in, complete your Professional Profile before starting an application. If you are already registered with ProposalCentral, access the site and log in with your Username and Password. If you do not have an account yet, please click on "Need an account?" and follow the instructions.
- Click on the "Grant Opportunities" Tab.
- A list of applications will be displayed. The list of applications can be filtered for just this organization by clicking "Filter by Grant Maker" at the top and selecting "Lung Cancer Research Foundation" in the drop-down menu. Find the "ALK Positive-LCRF Research Grant" and click the "Apply Now" button in the "Apply Column".
- See the deadlines for the letter of intent (LOI) stage, if applicable, and the Proposal stage. **All deadlines are in US Eastern Time.** If a document icon is showing, you can click on it to download it. This includes necessary information about the deadline from the grant maker.

E. Click the link or download the document in the Contact Information column. Clicking the link opens an email to the program administrator. If a document is provided instead, it includes the grant maker contact information.

All applications for funding must be submitted through a two-stage process consisting of a letter of intent (LOI) and full proposal through Proposal Central. Applicants may only apply for one LCRF grant per grant cycle. Upon submission and review of the LOI, applicants whose submission is reviewed favorably will be invited to complete a full proposal. Any applications for an extension of a previously awarded grant require resubmission as a new complete application (LOI and subsequent full proposal) and must include an update describing the progress made during the prior award period. Technical Specific Aims at the LOI stage do not require references and should not exceed 1 page.

Text should be Arial, Times New Roman, Palantino Linotype, Courier New, Georgia, or Helvetica 11-point font or higher. Margins should not be less than 0.5” on standard letter paper ( 8 ½” x 11”), and you must verify the margins on the documents that you upload.

The following application components are required for a complete submission:

Letter of Intent	Full Proposal
<ul style="list-style-type: none"> <li>● General Information</li> <li>● Demographics</li> <li>● Specific Aims (one page in length)</li> <li>● Lay Narrative/Summary (one page maximum)</li> <li>● NIH Biosketch</li> </ul>	<ul style="list-style-type: none"> <li>● Proposal Summary</li> <li>● Narrative (six pages maximum):               <ul style="list-style-type: none"> <li>○ Background and Significance</li> <li>○ Specific Aims</li> <li>○ Experimental Approach</li> <li>○ Statistical Plan</li> <li>○ Preliminary Data (if applicable)</li> <li>○ References (not included in page-limit)</li> </ul> </li> <li>● Patient Impact Statement</li> <li>● Definitions of Project Success</li> <li>● Timeline</li> <li>● Future Plans</li> <li>● Budget</li> <li>● Letter(s) of Support</li> </ul>

**Additional Considerations for the LOI:**

- All LOIs must include the primary investigator and any key personnel’s NIH biosketch (five pages maximum length).
- Specific AIMS and LAY LOI will need to be uploaded as PDFs.
- Biosketches should not include photos, marriage status, or other personal information unrelated to the funding mechanism.
- Lay Summary must include:
  - Rationale for project and how it will impact clinical care of ALK-positive lung cancer patients
  - Brief statement of experimental approach

- SPECIFIC AIMS must adhere to:
  - Specific aims should only be one page (do NOT include references or exceed the margins)
  - Clinical context in which the therapeutic strategy will be implemented
  - Analytical methods/metrics that will show clinical utility
  - Statistical analysis or power analysis that would show feasibility of the study

Additional Considerations for the Full Proposal:

- At the full proposal stage, applications must include at least one letter of support from the principal investigator's program director or Department Chair affirming the following statements:
  - The applicant will be officially affiliated with or employed by the institution during the grant period.
  - There is adequate institutional space and equipment to accomplish the proposed project.
  - The program director confirms their commitment to and provision of institutional space and equipment for the grantee.
  
- A narrative to include these components and references:
  - **Lay Narrative** that explains the project completely in lay terms that will be clear to individuals who do not have a scientific background. Specific details on how the project will have a near-term impact on the clinical outcome of ALK-positive lung cancer patients should be included.
  - **Scientific Abstract** that would be appropriate for a reviewer of a peer-reviewed journal
  - **Background:** Present the ideas and reasoning behind the proposed research; include relevant literature citations. Describe previous experience most pertinent to this application.
  - **Hypothesis or Objective:** State the hypothesis to be tested or the objective to be reached.
  - **Specific Aims:** Concisely explain the project's specific aims.
  - **Research Strategy:** Describe the experimental design, methods, and analyses, including appropriate controls, in sufficient detail for analysis. Address potential problem areas and present alternative methods and approaches.
  - **Moving to Clinic Statement:** If the proposed project is pre-clinical, describe how the research findings from the project will move to the clinic within 4 years of notification of project award.
  - **Impact on Patient Participation: If the proposed project is a clinical trial, include a description of the impact on patient participation (for example, number and frequency of blood draws and biopsies, number of clinical visits, etc.)**
    - **Other funds available to support the proposed project**, such as funds provided by drug companies for part of a clinical trial (as applicable)
    - **Statistical analysis plan:** A detailed statistical analysis plan is required for all applications and is limited to one (1) single-spaced page. The analysis plan should define the primary objectives, study design, and planned analyses supporting the study hypotheses. Justification of the proposed sample size or number of patient samples to be analyzed should be stated (power analysis if necessary) and include all statistical components of the project. Ideally, the

applicant will collaborate with a biostatistician on their grant proposal, including this analysis plan. In the event that methods from other quantitative sciences are planned (for example, bioinformatics or computational biology), it is recommended that the applicant also collaborate with experts from those respective fields to develop their application and analysis plan.

- If relevant, the **following documents**:
  - a copy of the documents listed in the Appendix in the “Animal Use” section

## 6. Timeline\*

- Letter of Intent (LOI) submission deadline: **EXTENDED to June 1st, 2022**
- Applicants notified of LOI decision: **Early July 2022**
- Full proposal submission deadline: **August 29, 2022**
- Notification of award: **October 2022**
- Grant award contract signed and fully executed by both parties: **November 2022**
- Project start: **November 2022**

## 7. Subject to change

### 7. Evaluation of Applications

All applications are evaluated using a two-stage review process consisting of an LOI and full proposal. Only applicants whose LOI is reviewed favorably will be invited to submit a full proposal. At each stage, the evaluation consists of an administrative review followed by a comprehensive review by LCRF’s Scientific Advisory Board (SAB) and ALK Positive’s Research Review Panel (RRP) (see figure below). At the full proposal stage, submissions will additionally be evaluated for sound scientific rationale, study design, feasibility, and creativity/innovation.<sup>1</sup> At both stages, evaluations will focus on high-level aspects of the research proposal including overall rationale, feasibility, and potential impact in the ALK+ space. The full proposal stage will also include ALK Positive’s RRP and LCRF’s SAB. Similar to an NIH R21 award, reviewers at the full proposal stage will be asked to provide an impact score reflecting their assessment of the likelihood for the project to exert a sustained, powerful influence on the field of lung cancer research.

### Other factors considered in evaluating applications:

- **Innovation** – Does the project address a previously uninvestigated area of ALK-positive lung cancer?
- **Scientific merit and feasibility of the research plan** – Is it feasible?
- **Impact** – How will the research findings from the project impact patients’ lives and/or move to the clinic within 4 years of notification of project award?
- **Study design and any needs for patient participation.**
- **Research environment** – Are there adequate resources at the institution to carry out the proposed study?

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<sup>13</sup> Note regarding preliminary data: A grant application need not have extensive background material, and preliminary data are not required. Reviewers focus their evaluations on the conceptual framework, the level of innovation, and the potential to significantly advance our knowledge or understanding. Appropriate justification for the proposed studies can be provided through literature citations, data from other sources, or, when available, from investigator-generated data.

- **Appropriateness of the requested budget** - Is the budget in alignment with what is requested and proposed? Is it justified?



### 8. Award Notification and Announcement

All applicants will be notified of their award status on or about the date specified in the Timeline section above. Awards will be publicly announced via the LCRF website, and press releases from both LCRF and ALK Positive.

### 9. Post-Award Reporting Requirements

The ALK-positive Lung Cancer Research Award is subject to full yearly reviews and abbreviated six-month progress reports. The award may be granted for up to two years. For highly successful projects, there is a possibility of follow-on funding upon successful completion of the original award (contingent on availability of funds). The goal of the follow-on funding is NOT to be a no-cost extension of the research proposed in the original grant, but rather to build upon the findings of the original research (take it to the next step).

During the funding period, in addition to two yearly reports, all investigators are required to submit two additional short progress reports at 6 and 18 months (suggested maximum of one page). Schedule below:

Report Type	Due Date	Templates
6-month Progress Report	At conclusion of six months of funding	To be added
Full Annual Report	At conclusion of year one of the grant term	To be added
18-month Progress Report	At conclusion of eighteen months of funding	To be added
Final Report (includes financial summary report)	Within sixty days of conclusion of the grant term	To be added

Receipt of the second year of funding is contingent upon submission and approval of the full annual report at the conclusion of the first year of the grant term.

Additionally, a check in call with the ALK Positive RRP and members of LCRF is required upon completion of yearly updates and 6-month progress reports.

Successful applicants also are required to share their research progress with the ALK Positive Support Group members annually at the ALK Positive annual Summit.

Based on progress, ALK Positive may consider providing follow-on funding, especially for projects that demonstrate high potential for translation into the clinic within 6 months of completion of the project.

## **10. Organizations**

### **ALK POSITIVE**

ALK Positive is a 501(c)(3) organization committed to raising funds for research to improve the life expectancy and quality of life for ALK-positive lung cancer patients worldwide. Their specific goal is to fund research proposals that will transform ALK-positive lung cancer into a chronic or curable condition for all patients living with this disease. ALK Positive is partnering with LCRF to raise these funds for ALK research. ALK Positive partners with the world's largest group of ALK-positive patients. For more information about ALK Positive, please visit [www.alkpositive.org](http://www.alkpositive.org).

### **LUNG CANCER RESEARCH FOUNDATION**

LCRF is a 501(c)(3) philanthropy specifically focused on funding research for the early detection and effective treatment of lung cancer. LCRF's mission is to improve lung cancer outcomes by funding research for the prevention, diagnosis, treatment and cure of lung cancer. Our vision is a world free of lung cancer. For more information about LCRF, please visit [www.lungcancerresearchfoundation.org](http://www.lungcancerresearchfoundation.org).

## **11. Inquiries and Application Assistance**

For answers to questions regarding programs, eligibility, policies, terms and conditions, or instructions for the letter of intent or full application, please contact:

LCRF Grants Administration office: [grants@lcrf.org](mailto:grants@lcrf.org) or via phone at 212-588-1580

For help with the proposalCENTRAL electronic application process, please contact: Help Desk at proposalCENTRAL, [pcsupport@altum.com](mailto:pcsupport@altum.com), 1-800-875-2562.

## **References**

1. Morris SW et al., 1994. Fusion of a kinase gene, ALK, to a nucleolar protein gene, NPM, in non-Hodgkins lymphoma. *Science* **263**:1281-1284.

2. El yacoubi H, et al., 2020. Frequency of anaplastic lymphoma kinase rearrangements in Moroccan patients with non small cell lung cancer: a multi-institutional national retrospective study. *BMC Cancer*. **20**: 479.
3. Tfayli A et al., 2017. Prevalence of EGFR and ALK Mutations in Lung Adenocarcinomas in the Levant Area – a Prospective Analysis. *Asian Pac J Cancer Prev*. **18**(1):107-114.
4. Cameron LB et al., 2022. Targeted therapy for advanced anaplastic lymphoma kinase (ALK)-rearranged non-small cell lung cancer. *Cochrane Database Syst Rev*. **1**(1):CD013453.

## **APPENDIX A. OTHER TERMS AND CONDITIONS:**

Following are the other terms and conditions that apply to the **ALK-positive Lung Cancer Research Award**:

### **Authorized Award Holders:**

The ALK-positive Lung Cancer Research Awards are granted only to an institution; awards are not awarded to individuals.

### **Relocation or Reassignment of Principal Investigator:**

- The Sponsoring Institution will not reassign the Principal Investigator during the Grant Term in a manner that reduces in any material respect the proportion of the Principal Investigator's professional time that is devoted to the Project.
- The Sponsoring Institution and the Principal Investigator will give ALK Positive/LCRF notice of the Principal Investigator's termination of his or her employment by, or the Principal Investigator's affiliation with, the Sponsoring Institution during the Grant Term at least thirty (30) days in advance of the effectiveness thereof.
- If the Principal Investigator's employment by or affiliation with the Sponsoring Institution is terminated at any time during the Grant Term, then ALK Positive/LCRF will have the right to terminate the Grant by giving notice thereof to the Sponsoring Institution. If ALK Positive/LCRF so terminates the Grant, then LCRF will have no obligation to continue to disburse Grant funds to support the Grant Research.
- Neither the Sponsoring Institution nor the Principal Investigator will have any right to assign any of their respective rights hereunder, or to delegate any of their respective duties hereunder, in either case to any third party without the prior approval of LCRF in each instance.
- Transfer of the ALK Positive/LCRF award from one institution to another requires prior approval by ALK Positive/LCRF. All requests must be in writing. All unexpended funds must be returned to ALK Positive/LCRF within 60 days of transfer approval. Once ALK Positive/LCRF receives the unexpended funds, they will be reissued to the new institution after an agreement document with the new institution has been fully executed.

### **Award Payment Schedule:**

ALK Positive/LCRF will issue the initial award payment no earlier than December 1, 2022. Assuming award renewals, contingent on meeting milestones, ALK Positive/LCRF will issue the subsequent payments in approximately six-month intervals thereafter. Timing will depend in part on an unexpended funding balance of under \$50,000.

### **Change in Budget:**

Requests for changes in budget >25% require prior approval by ALK Positive/LCRF. All requests must be in writing and received by ALK Positive/LCRF thirty (30) days prior to the end of the second six-month funding period. When requesting a change in budget, the awardee must indicate the amount

and from what budget-line and to what budget-line the monies are being transferred.

### **Financial Reports:**

An interim financial report is required at the same time as each of the interim progress reports. In addition, at the conclusion of the award period, ALK Positive/LCRF requires a complete financial disbursement report covering the entire award period. The disbursement report must reflect the award expenditures as approved by ALK Positive/LCRF. Any funds used for unauthorized expenditures or unexpended funds must be returned to ALK Positive/LCRF, with the disbursement report, within 60 days of the award termination date.

### **HUMAN AND ANIMAL SUBJECTS and BIOHAZARDS**

- a. The Sponsoring Institution is responsible for ensuring that the Sponsoring Institution's facilities and employees comply with applicable federal, state and local laws and regulations in connection with the Grant Research. Any LCRF-funded research involving human or animal subjects, derivatives of such subjects or biohazards must comply with all rules, regulations and policies established by the U.S. Department of Health and Human Services, the U.S. Department of Agriculture, the National Institutes of Health, and the Sponsoring Institution's Institutional Review Board (IRB) and Institutional Animal Care and Use Committee (IACUC).

If the proposed research project involves human subjects, the population sampled shall be inclusive of the general population of relevance to the scientific question posed, without restriction in regard to gender, race, age, and socioeconomic status. Proposals that intentionally restrict the population sampled must include a compelling scientific rationale for such design.

***IRB approval (or the non-U.S. equivalent) and approved patient consent forms must be provided to ALK Positive/LCRF before award funds will be disbursed.***

### **Indemnification:**

- The Sponsoring Institution accepts full responsibility for the conduct of the investigation and for the acts of the investigators; project personnel, compensated in full or in part with funds awarded by ALK Positive/LCRF, who are employees of their respective Sponsoring Institutions and are not ALK Positive/LCRF employees.
- The Sponsoring Institution agrees to indemnify and hold ALK Positive/LCRF and its directors, officers, and employees harmless from and against any and all Claims arising out of the Grant Agreement or relating to the Grant. For purposes of this Policy and the Grant Agreement, a "Claim" will include any claim, action, suit, proceeding or litigation, and any loss, deficiency, damages, liabilities, costs and expenses, including without limitation, reasonable attorney's fees and all related costs and expenses, to be paid to a third party or otherwise incurred in connection with the defense of any claim, action, suit, proceeding or litigation.

## **Patent and Intellectual Property Policy:**

Inventions, discoveries, and other intellectual property rights from research performed during the term of the ALK Positive/LCRF award will be subject to the current ALK Positive/LCRF patent policies as well as to the patent policies of the institution where the work is performed. LCRF remains silent on patent and intellectual property. The ALK Positive policy is described in full on page 11.

## **Press Releases:**

See page 14 for information about press releases and non-scientific dissemination of research results.

## **Progress Reports:**

In addition to Interim written progress reports, a final written report is also required 45 days after the conclusion of the project. This report is in addition any live progress presentation.

## **Publications and Conference Presentations:**

All publications and/or presentations at scientific conferences and meetings based on research conducted from this award must include a citation of ALK Positive/LCRF as a supporting entity as follows: “This study was supported by a grant from ALK Positive/LCRF.” Reprints of abstracts, manuscripts, or other articles that reflect research done after award acceptance must be submitted to ALK Positive/LCRF.

## **APPENDIX B. ALK POSITIVE PATENT AND INTELLECTUAL PROPERTY POLICY**

- a. All intellectual property made with support in whole or in part by research or training grants or awards from ALK Positive (“Research IP”) must be reported at the earliest practical time to the Research and Program Services Division. The grantee institution or individual awardee agrees to notify ALK Positive immediately of the decision to file provisional patent applications, full patent applications, or for any other form of legal protection for intellectual property encompassing Research IP, and to incorporate all reasonable comments or objections ALK Positive may have concerning such Intellectual Property filings. ALK Positive agrees to keep all information confidential and to not release any information relating to such inventions, intellectual property or applications. All patenting expenses shall be borne by the grantee institution or individual awardee unless the intellectual property is ceded to ALK Positive (see paragraphs b and c).
- b. Title to any invention or intellectual property shall reside in the grantee institution to the extent that such title is claimed by the institution under its patent policy or procedure and paragraphs c-e shall apply. If a grantee institution has no established patent policy or procedure for administering inventions or intellectual property, or if the institutional patent policy or procedure does not claim rights for the institution or individual inventor, then ALK Positive shall have the right to determine the disposition of invention or intellectual property rights and paragraphs c-d shall not apply and such grantee institution shall sign assignments, obtain inventor assignments, and cooperate as needed for ALK Positive or a third party selected by ALK Positive to seek and obtain intellectual property protection for Research IP.

- c. No patent, patent application, or other type of intellectual property protection for Research IP shall be abandoned without first notifying the Research and Program Services Division at least 90 days before such abandonment. At the time of such notice, the grantee institution shall give ALK Positive the opportunity to take title to the patent, patent application, or other type of intellectual property and grantee institution shall sign assignments, obtain inventor assignments, and cooperate as needed for ALK Positive or a third party selected by ALK Positive to seek, obtain and/or own such intellectual property
- d. When licensing any intellectual property right in Research IP, the grantee institution shall obligate the licensee as follows: (1) the licensee agrees to exert its best efforts to commercialize or cause to be commercialized the invention or intellectual property as rapidly as practical, consistent with sound and reasonable business practices and judgment; (2) in the event that the licensee fails to commercialize the invention or intellectual property within the number of years determined to be reasonable for the invention or intellectual property, the grantee institution or , upon conferring with ALK Positive, shall have the right to convert an exclusive license to a non-exclusive license or to terminate a non-exclusive license. If the licensee has an ongoing and active manufacturing, marketing or licensing program providing the production, sale, or access to patients of treatments encompassing the Research IP, this would be deemed sufficient evidence that the licensee has commercialized the invention or intellectual property. Upon commercialization of the Research IP, a portion of royalties shall be paid to ALK Positive.
- e. LCRF and ALK Positive reserve the right to make public acknowledgments for inventions or intellectual property resulting from support by LCRF and ALK Positive; however, LCRF and ALK Positive name and logo may not be used in association with an invention or intellectual property without prior written approval of LCRF and ALK Positive.

#### **APPENDIX C. PRESS RELEASES AND OTHER NON-SCIENTIFIC DISSEMINATION**

A mutually accepted joint press release announcing the RFA including quotes from both LCRF and ALK Positive leadership will be issued as appropriate. LCRF and ALK Positive will also issue a mutually acceptable joint press release upon selection of the awardees and again upon completion of the research projects and will disseminate results via multiple channels. Both LCRF and ALK Positive have the right to publicly present non-scientific results of the research project, but scientific publications must be managed pursuant to LCRF Policy. Notwithstanding, this does not remove any obligations of LCRF and ALK Positive to seek approvals from any awardee regarding the dissemination of scientific or nonscientific publications.