RISING TIDE®
Foundation for Clinical
Cancer Research

CLINICAL CANCER RESEARCH PROGRAMMATIC GUIDELINES

Rising Tide will only support truly innovative and unique patient-centered clinical trials that have the potential to timely impact the lives of cancer patients. We fund early stages clinical studies, and translational research that demonstrate potential for quick and meaningful impact, directly enabling treatment access to patients. **We do not support basic research or phase IV trials.**

We work to drive immediate results for cancer patients and want our investigators to be committed to ensure the patients voice is heard in the journey to advancing towards a cure. The organization is not a source of funding for observational or epidemiological studies as there are many other resources available for incremental improvements in cancer therapy.

Applicants should pay close attention to the Vision and Mission of our organization, our patient engagement in research approach **in addition to the focus areas of the clinical cancer research program**. Rising Tide is only interested in providing support to investigators who will collaborate with us to fulfill our Mission. If, at any time, we believe Rising Tide's money is not being used strategically, efficiently, and purposefully for the achievement of our Mission, all funding may be terminated.

Purpose

The overall goal of Rising Tide Clinical Cancer Research 's funding program is to improve treatment options and quality of life for cancer patients by funding clinical studies focused on prevention, detection, treatments and survivorship. We are seeking to accelerate and support innovative and creative studies that have the high probability to change the paradigm for how cancer is treated today. The Rising Tide grant application is the vehicle by which proactive investigators may focus directly on their cancer patients' clinical problems and treatments that may prove successful and have a high chance to be quickly implemented in daily practice. We are particularly interested in identifying and funding clinical investigators who:

1. Have outstanding anti-cancer and supportive treatment ideas relevant to today's cancer patients with a direct, meaningful therapeutic impact for enrolled patients.
2. Are driven to deliver new and better treatment, symptom management, prevention and early detection options for their patients today through clinical trial studies directly relevant to Rising Tide's Mission.
3. Have collaborated to design novel, new, or pilot projects distinctly removed from currently funded research projects.
4. Are in line with our patient centric approach and have a defined Patient Engagement plan throughout the the study. Priority will be given to research where patient engagement has happened very early at the research design and is clearly demonstrated in the application.

Funding from other granting agencies is encouraged as long as (i) the funding agencies are disclosed and accepted as funding partner by Rising Tide Clinical Cancer Research, and (ii) there is no overlap or duplication of funding for the proposed study.

Eligibility

Both new and established investigators are encouraged to apply. As we don't have a young investigator award, we encourage the next generation of exceptionally creative thinkers to submit their ideas with

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potential to produce breakthroughs. All established investigators requesting pilot funds should show how their study is a departure from ongoing funded work. New studies may be an extension of other work but cannot overlap any funded study unless the applicant clearly demonstrates that new funding will not duplicate existing support. Rising Tide will require the return of all issued funds if found to be duplication of other funding sources. The intent of your proposed study should be to provide preliminary data for future support from other funding sources, thereby driving new and better treatment options to market.

Use of funds

Awarded funds will be paid on a milestone-driven or pay-by-patient basis. It should be used for non-reimbursable approved treatment- and study-related patient-care costs, including, patient participation costs such as travel and parking, extraordinary laboratory and imaging studies and supplies. Funds may also be used to support the portion of salary devoted to the approved project forthe Principal Investigator, patient partner and other key personnel. Full documentation and disclosure is required in your budget worksheet. Equipment will be funded only in extremely rare circumstances and should be fully justified in your budget. Maintenance of equipment will only be funded if use is demonstrated to be entirely related to your funded project by Rising Tide. Please note that indirect costs such as overhead are not covered.

Maximum award and duration

The amount of each award will be based on the objectives of each grant and the availability of funds. The duration of the award is up to five years or less as specified in the grant award letter. Rising Tide will disburse awarded funds only if the recipient maintains strict compliance with reporting and participant accrual requirements as outlined in Rising Tide's Research Funding Terms and Conditions.

Sharing of knowledge

Our Foundation will actively foster the dissemination of information generated by our grantee institutions. Per our terms and conditions, it is expected that grant recipients share, disseminate and publish all meaningful results and findings of their work with the public expeditiously. RTFCCR staff will actively follow up on the publication plan provided with the grant application.

Measuring impact

With a steady growing portfolio of research grants, it is important for our Foundation to have a well-defined set of measurements that are aligned with our funding strategy and support the attainment of our core values.

As part of the monitoring of your grant's progress and after termination, you will be asked to collect a pre-defined set of outcomes and impact measures. These will be used to communicate the resulting contribution each project and the entire portfolio brings to the fulfillment of the foundations' mission and objectives.

Patient Engagement in Research

We define Patient Engagement as meaningful engagement of patients in the development of therapeutic, detection or prevention approaches. It encompasses the active, meaningful, and

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collaborative interaction between patients and researchers across all stages of the research process, where research decision making is guided by patients' contributions as partners, recognizing their specific experiences, values, and expertise.

In this document we are adopting (Patient-Centered Outcomes Research Institute) PCORI's definition of Patient Partners: it includes patients (those with lived experience), family members, caregivers, and the organizations that are representative of the population of interest in a particular study.

It is important that Patient Partners are not confused with trial participants; patient partners are members of the research team and involved in the planning, conducting and dissemination of the research, whereas trial participants are those individuals actually enrolled into the study.

The strategy, modalities, and budgets for Patient Engagement, related deliverables, and expected outcomes must be clearly described in the grant application.

Guidance for planning your Patient Engagement in Research

Early involvement of Patient Partners, based on co-design principles allows a better formulation of relevant research questions, more credibility of the knowledge produced, identifying, and solving potential challenges faced during the trial, and better application of outcomes to specific contexts.

Here is a checklist to help you plan Patient Engagement and complete our Patient Engagement Plan template required to be submitted with your Letter Of Intent. It encompasses points that should be considered for the application phase, during the implementation of the project, and beyond the project.

Before the project starts
- Patient Engagement is planned across the entire project lifecycle
- The most appropriate Patient Engagement model is selected
- The appropriate Patient Partners are involved early in formulating the concept, hypothesis
- Appropriate budget for patient engagement activities and compensation of Patient Partners is reflected in the Patient Engagement Plan and the overall grant budget request

During the project
- Assessment of needs of trial participants by Patient Partners is included
- Adaptation of trial and procedures where necessary to meet trial participants' needs
- Assessment of the impact of patient engagement in your project at mid-term and at the end of the project is considered

Beyond the project
- Communication and dissemination of study outcomes with patient / public partners is planned after project end
- Collaboration with patient community on trial outcomes is planned

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For more information, please refer to: http://synapse.pfmd.org/resources/considerations-guide-to-implementing-patient-centric-initiatives-in-health-care-product-development/download

Choice of model of patient engagement in research projects

Research teams should think carefully about the activities across the whole project lifecycle that the Patient Partners could undertake. Short term activities are easy to define upfront, but it is more challenging to think about sustained involvement across the entire project.

Therefore, depending on the research project, it is important to think about the most applicable role of a Patient Partner for contributing in a clinical research project:

Patient role	Examples	Engagement level
Consultant role	• Patients provide a priori and continuous consultation on outcomes of importance, study design, etc. • Patients are paid investigators or consultants • Patients have a governance role – "a seat at the table"	High
Advisor role	• Patients serve as advisory committee members or provide a priori consultation on outcomes of importance and study design, but have no leadership role or governance authority	Moderate
Reactor role	• Patient input is collected distally through surveys, focus groups or interviews, but patients are not consulted directly or a priori on such things as study design and outcomes of importance • Patients are asked to react to what has been put before them rather than being the origin of the concepts of interest	Low

➔ **Applicants will be asked in the full application to provide a detailed explanation to justify the patient role selected for the project.**

Patient Engagement Plan

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We require you to submit a "Patient Engagement Plan" as part of your LOI and Full Application. The plan should describe Patient Engagement processes during the generation of the project application as well as during the implementation of your project. It describes engagement e.g., how you engaged with the patient community when your research question was defined, while the proposal is written, when it is being submitted and resubmitted, and which patient engagement model you chose for the implementation of your project.

When developing your project budget, please make sure that adequate and realistic resources for Patient Engagement are reflected in the Patient Engagement Plan and the overall grant budget request. This could include e.g. appropriate budget for work time (staff or contractors in patient organizations) as well as project-related pass-through costs (e.g. travel expenses and meeting venue costs).

Please use this Patient Engagement Plan template


PEP.xlsx

In summary:

Different phases of research will need different activities to ensure patient engagement is implemented in the way defined in this document, *for example Phase I first in human studies may require a different approach than a survivorship study.*

We accept different formats of patient engagement plan, as long as :

- Activites proposed are listed and properly described
- Activites proposed are designed for patients and with patients
- The results of these activites are implementable in the clinical trial design or execution to ensure patient needs are met

Be very clear at the outset about what you expect to achieve and what metrics – both quantitative and qualitative – you will use to measure progress against and achievement of both overall research goals and specific patient-centricity goals.

Application process

The application process involves the following steps:

- **Letters of Intent:** As potential breakthrough ideas can occur every day, we accept letters of intent from highly qualified and dedicated institutions all year round. Letters of Intent are submitted online via https://proposalcentral.altum.com/ and are assessed by internal staff and advisory board members.

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- **Full Grant Application:** Only the most promising applications that align with our focus areas and have the highest potential for sustainable, transformative and direct patient impact in the shortest possible time will be invited to submit a full grant application online. The applicant should submit both, the 'Guidelines' and the 'Full Grant Application' templates dully completed. These documents are available online and should be submitted through ProposalCentral.

- **Scientific Board:** Full grant applications are reviewed by our Scientific Board, a panel of external experts that carry out a comprehensive scientific review. Each application is independently analyzed and ranked by the scientific peer reviewers, patient experts and a biostatistician on the panel. Recommendations made by the Scientific Board are submitted to the Rising Tide Board of Directors for final funding approval. The Panel Meeting takes place six weeks before the Board Meeting.

- **Rising Tide Board Meeting:** After approval from the Board of Directors, we will send out the award notification to award recipients no later than a month after the board meeting. Declination letters will be sent to those who were not successful in their application. Board meetings normally take place three times a year.

All applications should include the following

- 'Guidelines' document signed in entirety [to be submitted online as pdf]
- 'Full Grant Application' filled out and signed in entirety [to be submitted online as pdf]
- The curriculum vitae of the principal investigator and co-investigators limited to a MAXIMUM of 2 pages per individual. All CVs should be included in one pdf file to be uploaded online.
- A description of the proposed research project. The description of the proposed research project should be organized in a manner similar to that required by the US National Institute of Health [PHS 398], including:
  - Specific aims
  - Background and significance
  - Alignment with focus areas: How the proposed research aligns with our focus areas
  - Preliminary results, studies explaining the significance and potential for success
  - Experimental design and methods
  - Statistical analysis section outlining approach taken to make it scientifically valid
  - Statement of your objectives regarding how your study can change the current standard-of-care for today's patients or how it will create evidence to improve prevention and early detection of cancer
  - How much time will elapse between your approval for funding and opening of your proposed study
  - Statement of next steps for your research upon achieving positive or negative results
  - Description of how milestone achievements for this study are achieved
  - Completed patient engagement plan
  - Detailed budget including costs for patient partner compensation and travel expenses

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- List of other sources of financial support for this project; please include all sources *applied, pending,* and/or *active* with dates of start and expected end (see page 10)
- Industry letter stating permission for the use of the investigational agent [provide where applicable] and list literature cited.

If the proposed study is a clinical trial, please include the following in addition to the above referenced information:

- Number of patients enrolled to achieve statistically significant findings. Please provide specific details on the study design, sample size and power of the study.
- Enrollment inclusion and exclusion criteria
- A detailed schedule of activities for a patient in this study
- Explain why this treatment may be helpful to those patients enrolled
- Describe criteria used in determining positive results and how you will be quantifying quality-of-life improvements
- A copy of the Patient Consent Form, if available, acknowledging funding in whole or in part by Rising Tide, including a statement to the effect of "If you are interested, Rising Tide would like permission to communicate with you regarding your experience and any other information you would like to share regarding the treatments received while participating in this clinical trial. Please acknowledge yes by checking here _____" must be included on the form.
- Timeline for patient treatment, including milestones for completing this study as a "fee per patient" study
- Current, active IRB Approval letter for this study. If your application is reviewed and considered "approved pending IRB approval" by Rising Tide's Board of Directors, you acknowledge that proof of IRB approval must be in the hands of Rising Tide prior to any payment of Rising Tide's funds.

Conditions of continued funding upon approval

1. Demonstration of satisfactory progress as defined in grant award documentation
2. Agreement to and compliance with Rising Tide's Research Funding Terms & Conditions; milestones met as officially agreed, approved, and expected; proof and explanation of status of each patient and their responses demonstrated.
3. Regular communication with Rising Tide staff with regards to the funded clinical study.
4. Notification of any modifications to your approved study, its patient engagement plan, protocol, timeline, expectations, funding sources, patient status and exact reason for any patient's discontinuation of study participation, etc.; include copies of documents supplied to your IRB, the FDA, and/or any other funding sources for this study.
5. Demonstration of ongoing study results (e.g. symptoms records and patient impact in clinical trials).
6. Willingness to talk to and meet Rising Tide's staff, Board members or anyone else pertinent to the continued funding of your study.
7. Facilitation of initial introduction with your study's patients who are interested in talking to Rising Tide.

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Rising Tide may cease funding any project at any time. Rising Tide shall have no legal or contractual obligation to fund any grant or project, even after approval. This application does not constitute consideration for obligation or liability by Rising Tide.

Other Information

The following information must be answered in the body or cover letter of your application:

1. If your study involves the use of an investigational agent, we must receive an industry letter stating permission for the use of that agent, who is supplying that agent for your study, and the in-kind amount of that contributed agent.
2. We must have verification that the investigator will be able to conduct the proposed study to meet the parameters and timeframe of the project. [i.e. letter from your department head stating institutional commitment to this project, that there are no competing studies, verification to accrue a valid patient population, etc.)

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