

Alcon Research Institute Charter

Article I - Name

- This organization shall be known as the Alcon Research Institute (ARI).

Article II - Purpose

- The Alcon Research Institute is a free-standing entity that seeks to encourage, advance and support vision research. The Institute is funded by Alcon Research Limited but its activities are planned and directed by a fully autonomous Executive Committee (EC) and Scientific Selection Committee (SSC). The EC and SSC are comprised of distinguished ophthalmologists and vision scientists and has world-wide representation. The activities of the Alcon Research Institute are guided by the expectation that advances in the diagnosis and treatment of ocular diseases are dependent upon basic and clinical research carried out by independent investigators in institutions throughout the world.

Article III - Membership

- The membership of the Alcon Research Institute will be comprised of all individuals who have received a grant from the organization. Previous ARI Award Nominees, and all ARI Sr. Grant recipients will be considered full members of the ARI. Individuals who have received a Young Investigator Grant are designated as Associate Members of the ARI. Both Full Members and Associate Members shall be invited to the ARI Podos Colloquium and the ARI Scientific Symposium.

Article IV – Executive Committee

- It is the purpose of the Executive Committee (EC) to define and manage the organizational structure, the administrative decision-making process, and the management of the Alcon Research Institute. The EC will be composed of: a) representatives of Alcon; b) the Chairperson of the SSC/EC, c) three to five individuals nominated by the Chairperson and confirmed by Alcon and d) may include honorary, non-voting members (Counselors). The EC shall: a) be responsible for the overall management of the Alcon Research Institute; b) propose new members of the SSC which will be appointed by the Chairperson; and c) remain a full voting member of the SSC. The EC Member's term will be four years, at the completion of which, he/she will rotate off the EC. At the discretion of the EC and the Chairperson (and with approval from Alcon), an EC member may be invited to extend his/her term for up to an additional four years, at which point he/she would rotate off. During their tenure as members of the EC, those individuals are not eligible to apply for an ARI grant.

Article V – Chairperson, Executive Committee/Scientific Selection Committee

- The Chairperson shall be nominated by the EC. The Chairperson shall: a) be responsible for soliciting grant proposals each year for both the Senior ARI Grants and Young Investigator ARI Grants; b) chair all meetings of the EC and SSC; c) act as liaison between the EC and the SSC, d) remain a full voting member of the SSC, and e) appoint new members of the SSC based on recommendations from the Executive Committee. The Chairperson's term will be four years, at the completion of which, he/she will rotate off the SSC. At the discretion of the EC, and with approval from Alcon, the Chairperson may be invited to extend his/her term for up to an additional four years, at which point he/she would rotate off the SSC. During their tenure as Chairperson, he/she is not eligible to apply for an ARI grant.

Article VI –Scientific Selection Committee

- The ARI Scientific Selection Committee will meet each year to select ARI research fund recipients based on the merit of their proposals. The number of recipients and the funding amounts will be determined each

year by the ARI Executive Committee based on recommendations of the Scientific Selection Committee and total funding available. The Selection Committee will score each application on

- a) Transformative Nature
 - b) Significance / impact that the research would have in the field of vision science
 - c) Innovativeness
 - d) Robustness of research plan / probability of success
- Each category will be measured on a scale from 1-10 (with 1 being the best). The best scoring applicants will be considered to receive ARI Research Funds. Those whose research is selected for funding will be invited to become members of the Alcon Research Institute. ARI research funding may not be paid to support research performed by the same applicant more frequently than every 5 years.
 - The SSC shall consist of up to ten individuals, each serving a four-year term. Members of the SSC will be appointed by the Chairperson based on recommendations from the Executive Committee. SSC members will rotate off the Committee at the end of their term. At the discretion of the Chairman and the EC, and with approval from Alcon, a SSC member whose term is expiring may be invited to extend his or her tenure up to an additional four years. Members of the SSC will originate from various parts of the world and represent a worldwide ophthalmic research community. During their tenure as members of the SSC, those individuals are not eligible to apply for an ARI grant.

Article VII –Meetings

- **Annual ARI Committee Meetings and the Podos Colloquium:** Meetings of the ARI Scientific Selection Committee and Executive Committee will be held annually in conjunction with the annual meeting of The Association for Research in Vision and Ophthalmology (“ARVO”) or another major vision science conference where high attendance is likely. The committees will meet to determine the current year’s ARI research funding recipients and to discuss the following year’s agenda. The annual ARI member meeting, called the Podos Colloquium, will similarly be held in conjunction with a major vision science conference, and feature a limited set of scientific presentations consistent with a theme determined the previous year by the ARI Executive Committee. To drive high attendance to the Podos Colloquium all ARI members invited to attend will be asked to invite 2-3 Young Investigators to register for the event and come with them. This would apply to both ARI Members and ARI Young Investigators (‘Associate ARI Members’). This would be done on a first-come / first-serve basis until the maximum capacity is obtained. The maximum number of attendees would be determined by Alcon in accordance with compliance and budget constraints (target ~ 150 attendees).
- **ARI Scientific Symposium:** The ARI Scientific Symposium is a biannual scientific exchange event organized by ARI in conjunction with a co-hosting affiliate such as a major vision science education center (e.g. Lowy Medical Research Institute – 2016, Harvard Medical School Department of Ophthalmology / Massachusetts Eye and Ear Infirmary – 2015). The ARI Scientific Symposium will be held on a Saturday and will be held in areas where high attendance is likely. Those new members of the Alcon Research Institute selected during the prior two years will be invited to give a general presentation of the research which he/she has been conducting. The EC will also meet in conjunction with the ARI Scientific Symposium to review the State of the Institute and align on any necessary changes.

Article VIII – Alcon Research Institute Membership Application

- **Sr. ARI Grants:**
- The mission of ARI is to encourage, advance, and support vision research. For the 2017 grant cycle and beyond, a new system for ARI membership has been implemented that involves a self-initiated application process to request funding for **transformative research proposals**. Applicants will lay out a plan for

innovative research that has the possibility of transforming vision care science in a manner that has significant impact in the field. Applicants will also propose a tentative budget and timeline to complete the work. Each year, the ARI will accept applications that include the following information:

- **Challenge, Innovation and Impact Statement:** What is the fundamental paradigm or problem that will be addressed? How does your proposed research challenge the existing paradigm or seek to establish a new paradigm? Or, how will the technology or clinical strategy to be developed fundamentally change the way research is conducted or the way patients are diagnosed or treated? What is exceptionally novel or innovative about your perspective and/or approach? Why is testing the hypothesis or solving the problem important for the field? What are the potential breadth and magnitude of the project's impact on science and/or health?
- **Rationale:** What is the underlying logic or rationale driving the proposed research? What is the specific gap in knowledge or technology that will be addressed and how will the outcome of this study dramatically propel the field forward? What innovations in technology or approach will be necessary to attack the problem? This and the previous section should provide a cogent overview of the entire application.
- **Research Approach:** (2 page limit) outline the proposed work in very broad terms.
- **Projected Timeline**
- **Tentative Budget** (how applicant intends to apply the funds toward the research)
- **References**
- The application does not require previous research or supporting data, but the applicant is welcome to submit any supporting materials. Along with the application, applicants will be asked to submit an up-to-date NIH-style bio-sketch, a detailed CV, a full publication list, and a reference letter or two attesting to the accomplishments of the applicant and describing how the applicant is qualified to complete the proposed studies. Applicants should submit all documents to Alcon.ResearchInstitute@Alcon.com.
- Scientific Areas of Focus will be defined by the ARI Executive Committee. In general, the Areas of Focus will be:
 - Biomedical Engineering / Medical Devices
 - Pharmaceutical Development
 - Basic & Translational Vision Research
- **Additional Information on the Sr. ARI Grant Application process:**
 - Only 1 application allowed from an individual each year.
 - There is no limit to the number of applications that can come from a single institution (different from the Young Investigator process which only allows 2 applications from any given institution).
 - The maximum grant amount for any one application will be \$250,000.
 - In 2017, the ARI Executive Committee agreed to impose a maximum of no more than 20% to be taken from the grant by the institution for Indirect Costs.
 - All applications must be accompanied by at least one (1) Letter of Reference detailing the applicants ability to conduct the proposed research.
 - Individuals applying for a Sr. ARI Grant should be Associate Professor or Equivalent and 9 or more years removed from their educational training.
 - Grant funds will be paid directly to the institution to support the research program of the grant recipient.
 - The grant application process should open on July 1 and end on Feb. 1 of the following year. This leaves ample time for review and scoring, prior to the ARI Committee Meeting (usually held in conjunction with ARVO).

- Research proposals will be distributed electronically to each SSC and EC member shortly after the close of the Grant Application process.
- **Voting process for Sr. ARI grants:**
 - For the 2018 Grant Cycle and beyond, the Executive Committee agreed to utilizing a 2 Stage voting system:
 - **Stage 1:** Score based on the first page of the proposal and whether it meets the objective of being **Transformative**.
 - Determine the top 10 (or so) proposals based on Stage 1 Scoring
 - **Stage 2:** Scoring based on deep dive (assigned) reviewer feedback and discussion at the Face-To-Face SSC meeting. Even though reviewers will be assigned, each member of the EC and SSC should read each of the final proposals and consider all of the supporting material and come into the meeting with a score in mind for each proposal. Scores for this stage will be recorded at the SSC meeting.
- **Alcon Research Institute Young Investigator Grants**
 - In 2012, the ARI introduced the Young Investigator Grant to ensure that a portion of the grant funds given by the ARI would go to support individuals who are early in their independent career development. The ARI Young Investigator Grant involves a self-initiated application process to request funding for early-stage research. The Alcon Research Institute Young Investigator Grant is intended to encourage and promote the early independent career development of clinicians and scientists in vision research and ophthalmology.
 - Candidate must be appointed or nominated to the assistant professor level (either research or tenure track). Associate professors are allowed, provided they are 8 years or less.
 - Grants of up to \$75,000 awarded annually.
 - Grant funds will be paid directly to the institution to support the research program of the grant recipient.
 - No more than 10% of the grant may be used to cover indirect costs.
 - Awardees must be devoting at least 50% effort toward research.
 - Grant notifications will be made within two weeks following the selection of the Grant recipients.
 - Grant date can be no more than 8 years removed from their educational training.
 - Applicant must not yet have attained R-level grant status or equivalent (e.g. NSF YI Grant).
 - The grant application process should open on July 1 and end on Feb. 1 of the following year. This leaves ample time for review and scoring, prior to the ARI Committee Meeting (usually held in conjunction with ARVO).
 - Research proposals will be distributed electronically to each SSC and EC member shortly after the close of the Grant Application process.
 - **Voting process for Young Investigator grants:**
 - Young Investigator Grant voting involves scoring all the proposals at the same time on a scale from 1-10 (with 1 being the best). If the scoring is close after the first round, a second round of scoring may be implemented with a smaller group size (i.e. the top 10 or so from the first round) in order to determine

the top proposals. The best scoring applicants will be considered to receive ARI Research Funds. Those whose research is selected for funding will be invited to become Associate Members of the Alcon Research Institute.

Article IX - Amendment of the Charter

- Annually, by a majority vote, the Executive Committee may amend the Charter.