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## PURPOSE OF GRANTS

The Children's Discovery Institute (hereinafter referred to as CDI) supports broad, interdisciplinary research initiatives within four specific centers:

McDonnell Pediatric Cancer Center (MC) focuses on the etiology and treatment of pediatric cancers.

Center for Metabolism and Immunity (MI) focuses on musculoskeletal, kidney and gastrointestinal disorders including the microbiome, disorders of metabolism, and diseases related to the immune system.

Center for Pediatric Pulmonary Disease (PD) focuses on the biology of the pulmonary system and genetic and acquired causes of pediatric lung disease.

Congenital Heart Disease Center (CH) focuses on the environmental and genetic etiology of congenital heart and vascular disease, related birth defects, and other heart disorders.

Projects that are applicable to all four centers are classified as "All Centers" (CDI).

Projects may be tagged to multiple centers if applicable.

## FUNDING MECHANISMS

### Core Large Initiatives (CORE)

Core large initiatives provide funds to establish facilities, services, or other shared resources that have the potential to expedite identification of therapeutic targets, diagnostic markers, or animal models for CDI and/or WU research studies.

### Educational Initiatives (EI)

Educational Initiatives provide funds for educational activities on child health topics relevant to the goals of the CDI.

### Faculty Recruitment/Scholar Awards (FR)

Faculty Recruitment/Scholar Awards provide funds to exceptional new investigators to establish a laboratory and to embark on highly promising pediatric medical research relevant to the goals of the CDI.

### Interdisciplinary Research Initiatives (II)

Interdisciplinary Research Initiatives provide funds for highly innovative and novel projects in need of initial start-up funding to enable procurement of other independent support. Projects should strive to bring investigators from multiple disciplines together to identify targets for improved diagnosis, prevention, or treatment of a pediatric health problem relevant to the goals of the CDI.

### Large-Scale Interdisciplinary Research Initiatives (LI)

Large-Scale Interdisciplinary Research Initiatives provide funds for highly innovative and novel projects to teams of colleagues with differing areas of expertise who wish to pool their talents and resources to identify targets for improved diagnosis, prevention, or treatment of a pediatric health issue that is relevant to the goals of the CDI. Projects proposed as part of the initiative should be thematically integrated and synergistic and should ultimately lead to the procurement of other extramural support. Large-Scale Interdisciplinary Research Initiatives are more complex in scope and budget than Interdisciplinary Research Initiatives and are almost always Multiple PI projects.

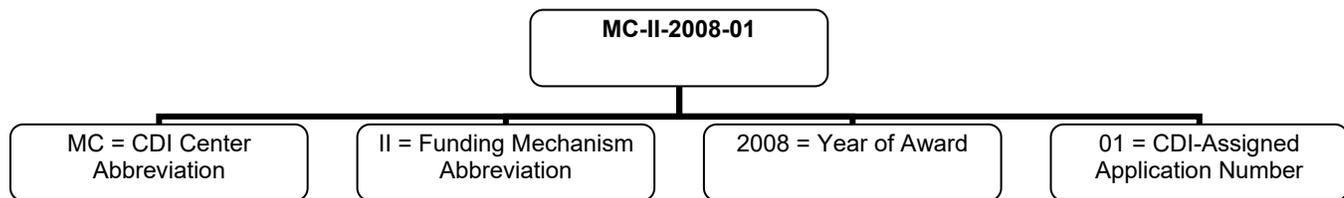
### Postdoctoral Fellowships (F)

Fellowships provide especially promising postdoctoral trainees funds to complete a research project under the direction of a mentor on an issue relevant to the goals of the CDI.

Please review the most recent version of the CDI's LOI and Proposal Submission Guidelines for due dates, award activation dates, and budget parameters.

## GRANT IDENTIFIERS

Grant identifiers consist of the following components:



## AUTHORITY FOR MAKING GRANTS

Grants are made by the Board of Managers of the CDI acting on the recommendations of the Scientific Director and the Scientific Advisory Board. The CDI reserves the right to cancel a grant for cause at any time and require the return of funds.

## AMENDMENT OF POLICIES

The CDI reserves the right to modify or amend its policies governing grants. The grantee agrees to abide by any changes or to terminate the grant at the time when such changes become effective. Failure to abide by the policies governing grants or amendments shall be considered sufficient grounds for cancellation of a grant or a refusal to consider any pending application by the grantee.

## DIRECT COSTS

### Acceptable Items

1. Salaries/Stipends/Fringes: CDI awards support stipends or wages and fringes of persons with measurable effort on the project. CDI awards are not subject to a salary cap.
2. Equipment: equipment is defined as an article of tangible nonexpendable personal property that has a useful life of more than 1 year and an acquisition cost per unit that equals or exceeds \$5,000. Minimal equipment is defined by the CDI as equipment with an acquisition cost of less than \$25,000. If more than one piece of equipment is being purchased with CDI funds, then the sum of all equipment items must be less than \$25,000 to be considered minimal. Investigators proposing the purchase of equipment in excess of the \$25,000 limit must discuss the rationale for the purchase with the CDI Scientific Director and obtain his/her written approval in order to include the item(s) in the proposed budget. Any permanent equipment must be directly relevant to the CDI research grant. ANY purchase of permanent equipment not authorized in the original budget must have prior approval.
3. Expendable supplies and other expenses relevant to the conduct of the research.
4. Publication costs.
5. Travel should be utilized to attend scientific meetings directly relevant to the CDI research grant. An individual's travel expenses must not exceed \$1,500 per trip.

6. Trainee health fees.

Unacceptable Items

1. Construction, alteration, maintenance or rental of buildings or building space.
2. Office equipment and furniture.
3. Telephone, fax, & modem lines.
4. Dues for membership in scientific societies.
5. Tuition.
6. Refreshments.

## FACILITIES & ADMINISTRATIVE COSTS (INDIRECT COSTS)

The CDI recognizes that an academic institution to which a grant is made will incur additional operating costs while the program is in effect. Thus, the CDI will allow the institution to budget facilities and administrative (F&A) costs. The F&A rates are 20% for all laboratory-based research projects and 10% for all other projects, including all fellowships and educational initiatives.

Regardless of the F&A rate on the project, the F&A cost rate on equipment for all projects will be 10%, and will be capped at \$5,000. The F&A maximum on equipment for a renewal award is independent of the previous award.

For projects which propose subaward agreements, the F&A rate for the subrecipient institution will match the F&A rate of the primary awardee unless the subrecipient institution's F&A rate is less than the applicable CDI F&A rate, in which case the lesser of the two rates would apply. This policy applies to both domestic and foreign institutions.

Each subaward's total costs (direct and indirect costs) up to \$25,000 are considered a part of the primary grantee's direct cost base.

## PRE-AWARD COSTS

Pre-award costs require CDI prior approval.

The incurrence of pre-award costs in anticipation of a competing or non-competing award imposes no obligation on the CDI either to make the award or to increase the amount of the approved budget if an award is made for less than the amount anticipated and is inadequate to cover the pre-award costs incurred.

CDI expects the grantee to be fully aware that pre-award costs result in borrowing against future support and that such borrowing must not impair the grantee's ability to accomplish the project objectives in the approved time frame or in any way adversely affect the conduct of the project.

## GRANT ADMINISTRATION

Carryover: unexpended funds at the end of a budget period will be automatically carried forward into the next budget period. If a renewal is granted, the renewal will be accounted for separately from the original grant. Funds remaining at the end of the original grant's project period will not be carried forward into the budget for the renewal fund.

No Cost Extensions: grantees may request an extension (without additional funds) of the final budget period of the previously approved project period one time for a period of up to 12 months beyond the

original expiration date shown in the award letter if additional time beyond the established expiration date is required to ensure adequate completion of the originally approved project. All NCE requests are due at least 60 days prior to the end of the final budget period. Grantees should utilize the NCE non-federal request template letter on WU's Office of Sponsored Research Services website. The NCE request should address:

- An explanation of why funds remain and how the NCE period requested will be utilized.
- The balance of unexpended funds as well as a breakdown of how the funds will be used in the extension period.

A No Cost Extension Progress Report is due with the NCE request. Please see the Progress Report Submission Guidelines for the NCE report requirements.

Faculty Scholars may not request a NCE.

Overlap: the principal investigator is responsible for ensuring that there is no scientific or budgetary overlap between his/her CDI project and any other sponsored project.

Scientific overlap occurs when: Substantially the same research, a specific research objective or the research design for accomplishing the objective are the same or closely related in two or more awards, regardless of the funding source.

Budgetary overlap occurs when: Duplicate or equivalent budgetary items (e.g., supplies, equipment, salaries) are requested for projects but already are provided by another source.

Overlap, whether scientific or budgetary, is not permitted. Any overlap should be brought to the attention of the CDI immediately upon discovery.

Rebudgeting: funds may be allocated at the discretion of the PI with the following exceptions:

- Personnel may not be increased or rebudgeted by more than five percent (5%) of the approved personnel budget or \$5,000; whichever is less, without prior approval.
  - For Postdoctoral Fellowship awards, personnel may not be increased or rebudgeted without prior approval.
- Travel may not be increased without prior approval.
- ANY purchase of permanent equipment or issuance of a subaward not authorized in the original budget must have prior approval.

Faculty Scholars require prior approval for the issuance of a subaward not authorized in the original budget, but are not subject to the other rebudgeting restrictions listed above.

Please follow the instructions on the CDI website to request rebudgeting approval.

Transfer of PI: a written request to change the grantee must have institutional approval before being submitted to the CDI for approval. The request should include an explanation of the necessity for the change, the name and qualifications of the proposed PI and any other new key personnel, the biosketches of those personnel, and a new budget. No change in grantee institution will be allowed.

Unauthorized/Unacceptable Expenditures: the CDI reserves the right to a refund, on demand, of all grant funds that have been expended in unauthorized ways. Unauthorized expenditures include the

unacceptable items listed in the Direct Costs section of these Policies as well as anything rebudgeted outside of the guidelines without prior approval. The grantee institution is responsible for any unauthorized or excessive expenditures.

Unexpended Funds: funds unexpended at the end of the project period will be returned to the CDI.

## FINANCIAL ACCOUNTING OF GRANT AND PAYMENT

The grantee institution is required to submit a detailed expenditure report to the CDI on a quarterly basis for the duration of the award. Periodic interim accounting reports and/or PI justifications of expenditures may be requested by the CDI. All unexpended funds must be returned to the CDI along with a final accounting report. Payments to the institution for ensuing grants will be contingent on receipt of any outstanding final accounting reports and refunds as applicable. The CDI reserves the right to audit the institution's financial records pertaining to the grant.

Quarterly invoices shall accompany the detailed expenditure reports submitted to the CDI. Invoices should reference the CDI grant number and the grantee institution fund number.

## RESPONSIBILITIES OF PRINCIPAL INVESTIGATOR

If the principal investigator is unable to complete the research approved because of illness, departure from the institution, or other major cause, this matter must be brought to the attention of the Scientific Director immediately. Please also refer to Grant Administration / Transfer of PI procedure above.

## PERSONNEL

Key personnel are defined as individuals who contribute to the scientific development or execution of the project in a substantive, measurable way, whether or not salaries are requested. For an individual to qualify as a key person, he/she should generally hold a faculty title and their contribution to the project should be vital. Without his/her expertise, the project would not be able to continue.

Prior approval by the CDI is necessary if the effort of a PI/other senior key personnel on a CDI funded project is decreased by 25 percent or more from the level that was approved at the time of initial competing year award.

Personnel compensated in whole or in part with funds from a grant of the CDI shall not be considered employees or agents of the CDI.

## EQUIPMENT

Title to equipment purchased with CDI funds shall be vested in the grantee's institution for support of basic or applied scientific research without further obligation to the CDI, however, the CDI has the right to require transfer of title to equipment with an acquisition cost of \$5,000 or more to an eligible third party named by the CDI. CDI may exercise this right within 180 days of the completion or termination of an award.

## INTELLECTUAL PROPERTY

At such time that a discovery or invention is made with the support, in whole or in part, from a CDI grant, the discovery should be immediately reported to the CDI. Please use the

Invention/Patent Report form, available on the CDI website, to report any inventions or patents.

## PUBLICATIONS OF GRANTEE

All publications citing results from CDI-supported research must include the following acknowledgment of CDI grant support: "Funding for this project was provided by the Children's Discovery Institute of Washington University and St. Louis Children's Hospital."

Please submit one reprint or copy of any publication resulting from CDI-funded research to the CDI.

## PUBLICITY ON WORK UNDER GRANT

The grantee institution and the PI will cooperate with the CDI to make announcements through the news media. CDI-prepared press releases will be subject to the Principal Investigator's approval of the content. The grantee will notify the CDI 30 days prior to any advertising or promotion relating to the results of work under this grant. Notification should include a copy of the materials intended for release and detail fully the nature of the information to be divulged and the time, place and manner of its presentation. The grantee institution, the principal investigator and personnel working under the grant will cooperate fully with the CDI in the written, photographic, filmed, broadcast or other forms of materials prepared to publicize work under the grant.

All publicity citing results from CDI-supported research must include the following acknowledgment of CDI grant support: "Funding for this project was provided by the Children's Discovery Institute of Washington University and St. Louis Children's Hospital."

## HUMAN SUBJECTS

If human subjects are used in the proposed study, a certification form must be provided to the CDI indicating that the Institutional Review Board has approved the proposed study. Under no circumstances do human subjects participating in studies funded by the CDI become a responsibility of the CDI.

Prohibition of Discrimination: no person shall be excluded from participation in or denied the benefits of any program or activity receiving financial assistance from the CDI because of race, ethnic origin, religion, sex, handicapping condition or disability or sexual orientation.

## ANIMAL SUBJECTS

If animals are used in the proposed study, a certification form must be provided to the CDI indicating that appropriate precautions have been taken to assure that proper treatment, care and humane conditions have been provided.

## SUBAWARD (CONTRACTUAL) AGREEMENTS

Grantees must establish a subaward agreement with any outside entity that performs any of their grant-supported research activities. Normal grant purchases and fee-for-service agreements are not considered subawards. The CDI holds grantees accountable for their subawardees' research, spending, and reporting actions, which must conform to all terms and conditions of the CDI grant award. CDI must approve all new subawards through the proposal or a prior approval request, detailing the planned programmatic activity and budget.