



GRANTS POLICIES

(Revisions made on 7.10.2008 are highlighted in grey.)

A. 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 focuses on the etiology and treatment of pediatric cancer with special emphasis on brain cancer and genetic and genomic approaches to discovery.

Center for Musculoskeletal and Metabolic Diseases focuses on the genetic basis of musculoskeletal birth defects, childhood arthritis, metabolic diseases, and related disorders.

Center for Pediatric Pulmonary Disease focuses on the biology of the pulmonary system and genetic mechanisms associated with lung diseases.

Congenital Heart Disease Center focuses on the environmental and genetic etiology of congenital heart disease and the development of novel diagnostic and therapeutic approaches.

B. FUNDING MECHANISMS

Interdisciplinary Research Initiatives (II)

Receipt Dates: Letters of Intent (August 1), New and Competitive Proposals (October 15)

Award Activation: February 1

Duration: Up to 3 years

Budget: Up to \$150,000 per year (including indirect costs)

Pre and Postdoctoral Fellowships (F)

Receipt Dates: Letters of Intent (August 1), New and Competitive Proposals (October 15)

Award Activation: February 1

Duration: Up to 2 years

Budget: Up to \$30,000 per year (including indirect costs)

Faculty Recruitment Awards (FR)

Receipt Dates: Proposals may be submitted at any time with the approval of the CDI Scientific Director.

Award Activation: February 1 or July 1

Duration: 1 year

Budget: Up to \$400,000 (including indirect costs)

Educational Initiatives (EI)

Receipt Dates: Proposals may be submitted at any time with the approval of the CDI Scientific Director.

Award Activation: February 1 or July 1

Duration: 1 year

Budget: Up to \$10,000 per year (including indirect costs)

Infrastructure and Core Large Initiatives (LI)

Receipt Dates: Letters of Intent (February 1), New and Competitive Proposals (April 1)

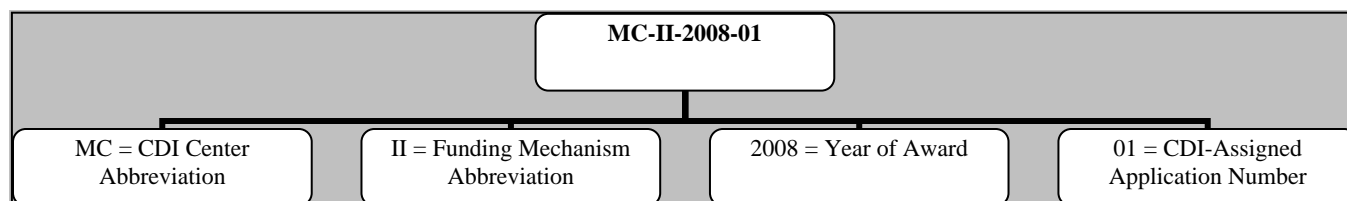
Award Activation: July 1

Duration: Up to 3 years

Budget: Up to \$1,000,000 per year (including indirect costs)

C. GRANT NUMBERS

Grant numbers/identifiers consist of the following components:



D. AUTHORITY FOR MAKING GRANTS

Grants are made by the Board of Trustees 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.

E. 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.

F. ELIGIBILITY

CDI awards may be made only to eligible applicants. Continued funding is dependent on the grantee's maintaining eligibility. Eligible applicants must hold a faculty or a pre or postdoctoral trainee appointment in a Washington University department.

G. FUNDING OF GRANT

1. **New and Competitive Renewal:** All competitive applications must contain a detailed budget. Although program content may be approved for two or three years, funding is authorized for only one year at a time. Competitive Renewal applications will only be considered if the research proposed endeavors to answer questions of great importance to child health and to significantly further the work outlined in the initial award.
2. **Continuation:** Funds will be authorized to continue a program for the second or third year on receipt of a progress report and budget for the second or third year. Second or third year

non-competitive renewal is conditional on progress and availability of funds.

H. DIRECT COSTS

Acceptable Items

1. Salaries/Stipends: fellowships primarily support the stipend/salary and fringes of the fellow. Other funding mechanisms may include the salaries and fringes of the investigators, as well as other professional and technical staff. CDI awards are not subject to a salary cap.
2. Minimal but essential permanent 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.
4. Other expenses relevant to the conduct of the research.
5. Publication costs
6. 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.

Unacceptable Items

1. Construction, alteration, maintenance or rental of buildings or building space.
2. Office equipment and furniture.
3. Office supplies including mail/postage costs; copying costs; telephone, fax, & modem lines.
4. Dues for membership in scientific societies.
5. Tuition.
6. Service Contracts

I. 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. In such cases, the CDI will allow the institution a budget item for INDIRECT COSTS. For the primary institution, the indirect cost rates are 20% for laboratory-based research (this includes laboratory-related infrastructure and core initiatives) and 10% for all other proposals (fellowships, educational initiatives, and clinical research).

For projects which propose consortium agreements, the indirect cost rate for the subcontracting institution will match the indirect cost rate of the primary award/institution. This policy applies to both domestic and foreign institutions. The consortium's direct and indirect costs are considered a direct cost of the primary awardee. CDI does not impose a cap on the amount of F&A the institution receives on the subcontract.

These rates apply to the TOTAL DIRECT COSTS. To figure the indirect costs, divide the total award (ex: \$100,000) by 1.20 (for a proposal with an indirect cost rate of 20%). This calculation provides the total direct costs (\$83,333). Subtract the direct costs (\$83,333) from the total award (\$100,000) to obtain

the indirect costs (\$16,667).

J. PRE-AWARD COSTS

A grantee may, at its own risk, incur obligations and expenditures to cover costs up to 90 days before the beginning date of the initial budget period of a new or competing award if such costs are necessary to conduct the project and would be allowable under the terms of the grant, if awarded.

If specific expenditures would otherwise require prior approval, the grantee must obtain CDI approval before incurring the cost. CDI prior approval is required for any costs to be incurred more than 90 days before the beginning date of the initial budget period of a new or competing award.

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.

K. GRANT ADMINISTRATION

1. **Rebudgeting:** funds may be allocated at the discretion of the PI with the following exceptions: Personnel and Travel may not be increased or rebudgeted without prior approval from the CDI. ANY purchase of permanent equipment not authorized in the original budget must have prior approval. Please use the Rebudgeting Request form on the CDI website.

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 section F as well as anything rebudgeted outside of the guidelines without prior approval. The grantee institution is responsible for any unauthorized or excessive expenditures made.

2. **Carryover:** unexpended funds at the end of a budget period will be automatically carried forward into the next budget period.
3. **No Cost Extensions:** grantees may request an extension (without supplemental 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. Extensions beyond the 12 months will require additional review and will only be approved in rare instances. All NCE requests are due on or before the end date of the final budget period. Grantees should use the NCE non-federal request template letter on the Grants and Contracts website
4. **Unexpended Funds:** funds unexpended at the end of the project period will be returned to the CDI.
5. **Transfer of PI:** A written request changing the grantee must have the grantee institution's official approval. The request must be submitted to 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 persons, and a new budget. No change in

grantee institution will be allowed.

L. 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.

M. 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 section I.4.

N. 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.

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.

O. 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 the CDI or 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.

P. INTELLECTUAL PROPERTY

At such time that a discovery or invention is made with the support, in whole or in part, from a CDI grant, St. Louis Children's Hospital and Washington University will negotiate mutually acceptable terms. Such discoveries should be immediately reported to the CDI Executive Administrator.

Q. PUBLICATIONS OF GRANTEE

Any publication resulting from research supported in part or in full by the CDI should carry a credit line reading "This research was supported [in part] by the Children's Discovery Institute (*Grant number*)."

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

R. 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.

S. 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.

T. 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.