

Post-Award Policies

Congratulations on your CureSHANK award! To help address any issues or questions that may come up during the award period, we have outlined the following guidelines and policies for your reference.

If you have questions regarding the information below, or for any other grant-related issues, please contact grants@CureSHANK.org.

Award Transfer

Recipients may transfer their grant from one institution to another, if the new institution meets the criteria required of the award. Projects that have been funded for six months or longer will be administratively reviewed after full details of the new environment and budget have been provided.

No-Cost Extensions and Carryforward Policy

A no-cost extension extends the project period beyond the original project end date. No additional funding will be allowed. A no-cost extension may be requested if there is a programmatic need to continue the research and there are sufficient funds. A no-cost extension request should be made at least 30 days prior to the end of the project period and must be requested by the PI detailing the amount being requested, the cause for such request and the date in which the extension would end.

A carryover allows unobligated funds remaining at the end of the budget period to be carried forward to the next budget period. The carryover would allow the grantee to use the unused prior year funds in a following budget period. A carryover request should be made at least 30 days prior to the end of the project period and must be requested by the PI detailing the amount to be carried over, explanation of unobligated balance, detailed budget and scientific justification. A carryover request will only be allowed for grants longer than one year.

Certifications and Assurances

All certifications and assurances should be on institutional letterhead and signed by the PI and countersigned by an authorized institutional signing official. It should be submitted and should include the application number, name of the Principal Investigator and title of the proposal. **The awarding institution is responsible for insuring that the appropriate approvals are in place.**

Human Subjects

If any Human Subjects are used: The awarding institution is responsible to provide the assurance type and number and the Certification date of IRB Review and Approval. Pending or out-of-date approvals are not acceptable. Certifications of IRB approvals need to be updated annually. If IRB approvals are pending, or there are lapses between approvals, human subject research should be restricted until an active approval is in place.

Human Subjects Training: For grants involving Human Subjects, certification is required for each person identified under Key Personnel involved in human subject research. It needs to be confirmed that each person has completed an educational program in the protection of human subjects. If there are Key Personnel changes, CureSHANK will need their certifications forwarded.

Vertebrate Animals

If any Vertebrate Animals are used: The awarding institution is responsible to provide the assurance number (if changed from the initial submission), verification of IACUC approval with date, and any IACUC imposed changes. Pending or out-of-date approvals are not acceptable. Certifications of IACUC approvals need to be updated annually. If IACUC approvals are pending, or there are lapses between approvals, animal subject research should be restricted until an active approval is in place.

Change of Address

Applicants are responsible for notifying the CureSHANK in writing of any changes of address, email or phone number, following the submission of an application.

Financial Reports

Annual financial reports

Annual financial reports for multi-year awards will be due after the end of each project year. Annual reports should contain all expenditures from the previous year.

Final financial report

The final financial report will be due at the end of the project and will include all expenditures for the entire length of the project.

Signatures of the Principal Investigator and the institution's financial officer are required on these reports. Any unexpended funds above \$1,000 must be returned to CureSHANK upon termination of the project. *Final payment will be held until receipt and approval of final reports.*

Patents and Intellectual Property Policy

It is understood that submission of a proposal for funding consideration indicates that both PI and Institution are informed of and agree with CureSHANK's Patent and Intellectual Property Policy. Title to any Invention shall reside with the grantee institution. Invention refers to all discoveries, improvements, and inventions arising from this grant together with all related data, results, and information. The grantee institution will notify CureSHANK promptly after identifying any Invention that the grantee institution believes is patentable and will supply CureSHANK, in confidence, with copies of that Invention.

Grantee institution shall make reasonable efforts to license the Invention for commercial development to a third-party. For a patented Invention conceived and reduced to practice that is subsequently licensed under this grant, CureSHANK and the grantee institution will negotiate in good faith to enter into a royalty sharing agreement consistent with the grantee institution's policies and procedures solely for the equitable distribution of net income from the Invention, taking into consideration the level of funding provided.

Payment

Payment will commence after agreement execution, with payment of 50% of the award.

For one-year awards, a financial report and progress report are required at the 1 year timepoint of the award activation date. Upon satisfactory approval of the reports, the second payment (the remaining 50%) will be made.

For two-year awards, a financial report and progress report are required at the 10 month timepoint of the award activation date. Upon satisfactory approval of the reports, the second payment of 30% will be made. The final 20% will be released upon approval of the final progress and budget reports, due at the 2 year timepoint of the award activation date.

Payments may be made via electronic transfer. Acknowledgement of payment by the grantee institution is not required. We require a banking letter from the awarded institution at time of award acceptance.

Personnel compensated in whole or part with funds from CureSHANK are not considered employees of CureSHANK. Institutions are responsible for issuing the appropriate IRS tax filings for all individuals receiving compensation from CureSHANK and are responsible for withholding and paying all required federal, state, and local taxes with regards to such compensation. Thus, these and any other tax consequences are the responsibility of the individual recipient and grantee institution.

Institutions must maintain separate accounts for each grant, with substantiating invoices available for audit by representatives of CureSHANK. CureSHANK is not responsible for expenditures made prior to the start date of the grant, or if the complete budget is expended prior to payments or any expenditures that exceed the total amount of the award. CureSHANK will follow the payment schedule outlined in the award letter.

CureSHANK research grants are not designed to cover the total cost of the research proposed nor the investigator's entire compensation. The grantee's institution is expected to provide the required physical facilities and administrative services normally available in an institution.

Publications and Award Acknowledgment

Publications resulting from research activities supported by CureSHANK should contain an acknowledgement of support given by CureSHANK.

CureSHANK's support should also be acknowledged by the awardee and by the awardee institution in all public communication of work resulting from this grant, including scientific abstracts (where permitted), posters and oral presentations at scientific meetings, press releases and/or other media communications, and Internet-based communications.

An electronic copy of all publications that result from this work shall be forwarded to CureSHANK as soon as they are available after publication.

Reporting Grant Overlap

Should a PI receive another award with overlapping aims, the PI should notify CureSHANK immediately. CureSHANK policy strictly forbids scientific or budgetary overlap and therefore reserves the right to review the extent of its support and terminate the grant if funding is secured from another source for the same project.

Return of Funds

Unspent balances at the end of the project of up to \$1,000 can remain at the awardee institution and be allocated to support the PI's research efforts.

Unspent balances at the end of the project of more than \$1,000 must be returned in full to CureSHANK.

Instructions on how to return funds will be provided by CureSHANK upon request.

Scientific Progress Reports

Recipients of awards are required to submit scientific reports, outlining their accomplishments on the research project. The report must address milestones agreed upon in the funding letter for the award. For multi-year

awards, continuation funding is based upon a satisfactory progress report that will undergo peer review by the review committee.

Progress Reports – for One-year Awards

An awardee is required to submit a final scientific report summarizing the progress made toward achieving the proposed goals and outcomes.

Progress Reports – for Multi-year Awards

An awardee is required to submit one progress report per project year and one final scientific report summarizing the progress made toward achieving the proposed goals and outcomes.

Second year funding is contingent upon the favorable evaluation of the first year's progress report. The final reports are due at the end of the project. Payments will not be processed while progress reports are delinquent.

Progress reports are due 12 months after the start date of the current year of the award.

Final Scientific Reports

The final Scientific Report, a brief summary of progress toward the achievement of originally stated aims, is due at the end of the project.

Final payment will be held until receipt and approval of final reports.