

**University of Maryland  
Marine Biotechnology Institute – BARD**

**Auxiliary Program**

***UMBI-BARD***



**Guidelines and Regulations for Grant Management, Reporting,  
Publications & Intellectual Property Rights**

*(updated October 2008)*

**BARD**

P.O. Box 6  
Bet Dagan, 50250

Tel: +972-3-965-2244  
Fax: +972-3-966-2506  
[www.bard-isus.com](http://www.bard-isus.com)

The approval and implementation of a UMBI/BARD (UMBI-BARD) program research grant obligates the Israeli and Maryland investigators and institutions involved to carry out periodic administrative reports. The following guidelines and regulations for the management of research grants provide the details of these reports.

### **Grant Agreements**

Grant agreements and payments in Maryland may be different from those outlined below for Israel.

Approved UMBI-BARD projects will require two separate arrangements for the initiation of the grant: Israeli institutions will sign a grant agreement with BARD. UMBI scientist's proposals will be incorporated by a written internal award document.

Both the grant agreement and the award document will specify an identical Start Date.

### **Parties to the Agreement**

#### **Investigators**

PI, Co-PI, and Collaborating Investigators, as defined in Part 2 of the RFP document.

#### **Institutions**

Each participating institution accepts responsibility for supervision of that portion of the project to be carried out by its affiliated investigator/s.

### **Initiation of the Research Grant**

Following notification of the award, and approval of any budget revision (Appendix G1, attached or from the website) a single *Start Date* of the project is determined by agreement between the Institutions, UMBI-BARD, in consultation with the investigators. The *Start Date* of the research is specified in the Research Grant Agreement. Payments begin upon receipt of the signed agreement by BARD, but not earlier than six weeks before the Start Date. The *duration* of the Research Grant is specified in the Research Grant Agreement.

Pre-award costs - A UMBI grantee may, at its own risk and without prior approval, incur obligations and expenditures to cover costs up to 90 days before the beginning date of the single Start Date if such costs are necessary to conduct the project, and would be allowable as defined in Part 2.A, b and C of this announcement. (Please note that this paragraph applies to UMBI grantees only).

### **Termination of the Research Grant**

The Executive Director of BARD and the UMBI Vice President (VP) of the Office of Research and Development (ORD) notifies all participants in writing upon termination of the research grant agreements. UMBI-BARD can cancel the research grant agreement for non-compliance with the regulations of the agreement.

Otherwise, termination of the project is dependent upon approval by UMBI-BARD of the project's final scientific report and the final fiscal report of each funded institution, at which time the final payment is forwarded.

The final scientific report is to be prepared jointly by both the PI and Co-PI and presented by the PI to the UMBI-BARD program. Both BARD and UMBI/ORD should receive from the PI one electronic and one hard copy. The report must include a summary of the scientific activities of all investigators. The report is due within three months of the conclusion of the project. Title to equipment purchased with UMBI-BARD funds vests in the institution wherein the research was conducted upon successful termination of the project.

### **The Research Project**

**Approved Research Proposal:** The approved Research Proposal becomes an integral part of the Research Grant Agreement as Annex B. (Annex A is these Guidelines).

**Adherence to the Original Work Plan:** Investigators are free to pursue interesting and important leads that arise in the progress of the research. When it appears that the originally approved research is no longer productive or that a related line of research is more promising, the PI may modify the original direction of the research following consultation in writing with UMBI-BARD (either with BARD's Executive Director or with UMBI's VP of ORD, depending on PI affiliation) with a copy sent to the corresponding institution. Investigators must give written notice of substantial changes in the work plan. Describe the changes and explain their necessity. UMBI-BARD reserves the right to disapprove such alterations in the original plan.

**Changes in Personnel:** Either BARD's Executive Director or UMBI's VP of ORD, (depending on PI's affiliation) must approve, in writing, any changes in the team of investigators. Requests for a change in the research team must include the formal written confirmation by the new investigator to undertake the responsibilities assigned in the research project, a brief C.V., a list of recent relevant publications and the signature page (Appendix G2, to be attached, or from the website) signed by the new investigator and the affiliated institution's authorizing official.

**Changes in Institutional Affiliation:** BARD will consider transfer of the grant to a new Israeli institution on an individual basis. Notify either BARD's Executive Director or UMBI's VP of ORD (depending on PI affiliation) immediately and in writing of any planned changes in affiliation so that appropriate measures may be taken to ensure continued operation of the project. Once notification of the intended changes has been made, neither the investigator nor the institution may make further use of the grant's funds until such time as the arrangement for transfer of institution has been agreed upon with UMBI-BARD and a new agreement signed.

**Temporary Absence of Investigator:** When a PI or Co-PI expects to be absent for a period longer than three months, he or she must notify UMBI-BARD (either the BARD Executive Director or UMBI VP of ORD depending on PI affiliation) and, if unable to continue to supervise the project, must recommend a temporary replacement for UMBI-BARD's approval. The suggested replacement must send to either the BARD Executive Director or UMBI VP of ORD (depending on PI affiliation) a brief C.V., a list of recent relevant publications and a written statement confirming his/her willingness to undertake the responsibilities assigned in the project.

**Withdrawal of an Investigator:** If an investigator withdraws from a project, the affiliated institution may recommend a replacement candidate for UMBI-BARD's approval. Candidates must provide a written confirmation of their acceptance of the terms of the research agreement and include a brief C.V. and list of recent relevant publications.

**Addition of an Investigator:** Following initiation of the grant, the principal investigators may formally request the addition of investigators to the project. Any additional investigator must submit a written agreement to assume the responsibilities of the appointment, a brief C.V., a list of recent relevant publications and a letter or signature page (Appendix G2, attached or from the website) signed by the investigator and the institution's authorizing official for UMBI-BARD's approval.

#### **Fiscal Administration of the Grant**

UMBI and BARD (on behalf of the Israeli recipients) each will deduct an overhead of 4% of the annual budget to cover the cost of administering the joint project.

Grant recipients must keep a separate bookkeeping account with a complete record of all expenditures relating to the research project. Keep records for two years after the completion of the research project or as otherwise agreed upon with UMBI-BARD. UMBI-BARD reserves the right to examine all books, documents, records and accounts relating to the research project at any time throughout the duration of the agreement and for two years immediately thereafter. UMBI-BARD also reserves the right to inspect the research locations and to obtain from the research team full information regarding all project activities.

**Fiscal Reports:** Each funded institution is responsible for the preparation and timely submission to either the BARD or UMBI office depending on the PI/Co-PI affiliation, of fiscal reports. Failure to submit any of these reports on a timely basis delays the processing of payments.

**Semi-annual Declaration** (Appendix G3, attached or on the website) stating that the research is being carried out according to the approved research plan. Submit the declaration six months after the beginning of each research year to either the BARD or UMBI office depending on the PI/Co-PI affiliation.

**Annual Fiscal Reports** (Appendix G4-1, attached or on the website) of expenditures must be made at the end of each grant year. The annual fiscal report is a comprehensive summary of all monetary operations conducted in the framework of the project. Please include all details requested in the form. Mail the original, signed report to either the BARD or UMBI office depending on PI/Co-PI affiliation. The third fiscal report of a three year project is assumed to be the final fiscal report, unless otherwise indicated by the submitting institution. In the event that additional expenditures are incurred after the third fiscal report is submitted, then a final report must also be submitted.

Note: All items related to the employee's salary including travel and social benefits, must be recorded in the fiscal report under 'salaries' and not under 'operating expenses'.

**The List of Employees** (Appendix G4-2, for Israeli institutions only) includes details of the employees funded by the UMBI-BARD grant: name of employee, percentage of employment within the project and cost. The form must be signed by the PI or Co-PI and is to be submitted together with the annual fiscal report.

**Schedule of Payments:**

The UMBI Office of Research and Development will manage the payments to the Center of Marine Biotechnology accounts. Payments will be made via an electronic transfer. Upon award UMBI ORD will transfer 100% of the grant year funds. UMBI ORD reserves the right to withdraw 10% of total awarded funds until all required Annual or Final technical reports (as defined in the below section entitled “Scientific Administration of the Grant”) are provided. Funds may also be withdrawn if expenditures are not justified.

BARD will manage payments to Israeli institutions; Payments are made to each Israeli funded institution in accordance with the Schedule of Payments (below). Continued payment, according to the Schedule, must be justified by reported expenditures in the annual fiscal reports.

	<b>First Year</b>	<b>Second Year</b>	<b>Third Year</b>
First Payment	40%	30%	30%
Second Payment	30%	40%	30%
Third Payment	30%	30%	40%

The **first payment of the first grant year** is made following BARD’s receipt of the signed research grant agreement, but not earlier than six weeks prior to the start date.

The **first payment of subsequent grant years** may be paid with the third payment of the preceding year, if justified by the reported expenditures.

The **second payment of each grant year** is made following BARD's receipt of the semi-annual declaration, which is due in the middle of each year.

The **third payment of each grant year** is made following receipt and the approval of the annual scientific and fiscal reports.

The **final payment of the grant** is made following BARD's receipt and approval of the final scientific and the third or final fiscal reports.

**Final Statement of Payments and Expenditures:** BARD issues a Final Statement of Payments and Expenditures, for each funded institution. BARD submits the Final Statement, together with the final payment. The Institution should review this final statement, sign and return the original to BARD. (This will not apply to UMBI).

**Unused Budget Balances:** Unused budget balances of a 2 or 3 year project at the end of each grant year are automatically transferred to the same budget item of the following year. Unused budget balances at the end of the project (or its extensions) as well as unexpended advanced payments made to the recipient are returned to BARD or to UMBI.

**Extension of Final Budget Period of a Previously Approved Project Period without Additional UMBI-BARD Funds:** No-cost extensions require prior approval by UMBI-BARD. The PI must submit a written (e-mail) request to either the BARD or UMBI office depending on PI affiliation (with a copy to the corresponding office), justifying the request. The affiliated institution(s) is also required to approve the request. The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for an extension without additional funds. Extensions will be jointly approved by BARD and UMBI.

**Budget Changes:** Budget changes for all items except foreign travel, involving amounts over \$5,000 (covering the total award period) require prior approval by UMBI-BARD. The PI must submit a written (e-mail) request to either the BARD or UMBI office depending on PI affiliation, justifying the change. The affiliated institution(s) is also required to approve the request. Changes are approved without delay, if justified and within the framework of the approved budget and reported expenditures. Budget changes related to foreign travel for any amount require prior approval by UMBI or BARD depending on the PI or Co-PI affiliation.

### **Scientific Administration of the Grant**

The PI is responsible for submitting both the annual scientific reports and the final scientific report to the BARD and UMBI offices. The annual report will be approved jointly by BARD and UMBI.

**Annual Scientific Progress Report** (one copy, use appendix G5 from the BARD website: [www.bard-isus.com](http://www.bard-isus.com)) to be presented to both UMBI and BARD-Israel offices 3 weeks before the end of the first and second years: These 2-5 page brief report, should evaluate the work done on the project in *both* Maryland and Israel during the previous eleven to twelve months. Include the following items in the report:

**Cover Page** signed by the PI and the institution's authorizing official.

**Evaluation of the research achievements** as relates to the original research proposal and objectives.

## **Description of the cooperation**

**Changes in direction** from that in the original proposal, if any.

**List of publications** arising from the joint research.

**Final Scientific Report** (one electronic copy and three hard copies): A comprehensive scientific report is to be submitted to both the BARD and UMBI offices by the PI within three months of the conclusion of the project. (Each should receive one electronic and one hard copy). The final scientific report is to be prepared jointly by the PI and Co-PI. Submit a final report that covers activities in both Maryland and the Israeli institution. The final report, which undergoes peer review, is a presentation and assessment of the achievements of the project. It is used to establish accountability both within the UMBI-BARD framework and in its external relations and might influence future funding policy. Thus, it is important that the relevant information is presented in an accessible form that facilitates fair and comprehensive review.

Upon request, copies of the final scientific reports will be made available to the public except for confidential or proprietary information.

In addition to the final report itself, whose requirements are outlined below, one reprint of each published paper resulting from the project research and not included in the appendix of the report, are to be forwarded by the PI/Co-PI to either the BARD or UMBI office depending on PI/Co-PI affiliation, as they become available.

The UMBI-BARD fund should be acknowledged for its support in published papers arising from the joint research. Use the following format:

**This research was supported by a Research Grant Award No. XXX from the UMBI-BARD Program - the University of Maryland Biotechnology Institute and the United States-Israel Binational Agricultural Research and Development Fund.**

There are two sections to the Final Scientific Report:

1. Overall summary and statistics
2. Appendix

### Overall summary and statistics

**Cover Page** (Appendix G6a,b, attached or from the BARD website: [www.bard-isus.com](http://www.bard-isus.com)), provide *all* requested information.

**Abstract** (one page maximum, single spaced), include:

- List the original objectives, as defined in the approved proposal, and any revisions made during the course of project.
- Background to the topic.
- Major conclusions, solutions, achievements.
- Implications, both scientific and agricultural/aquaculture.

**Achievements** (three pages maximum, 1.5 spaced, font not smaller than 12), include:

- Significance of the main scientific achievements or innovations.
- Agricultural and/or economic impacts of the research findings, if known.
- Details of cooperation: whether and how project objectives were promoted as a result of the cooperation.
- List of Publications: publications in reviewed journals should be included only if reporting on work at least partially supported by the UMBI-BARD program. These should include an acknowledgement to UMBI-BARD.

**Appendix** (technical information supporting the research findings): Provide a table of contents and include the following:

- Published papers.
- One copy of each 'in press', 'accepted' or 'submitted' paper.
- Unpublished data, briefly summarized.
- Other relevant material may be included (1.5 space, font not smaller than 12).

### **Patents and Intellectual Property Rights**

The UMBI-BARD funded research outcomes must be accessible to the public. Nonetheless, the institution's interests to protect intellectual property rights will be recognized.

The objective of UMBI-BARD program's patent policy is to ensure the protection of patentable findings resulting from research supported by the UMBI-BARD program and to promote their utilization and commercialization for the benefit of society.

**Definitions:** as used in this provision:

**“patent”** includes conventional patents, design patents, plant variety certificates and other equivalent forms of protection.

**“governmental purposes”** does not encompass the commercial manufacture, preparation, production, marketing, distribution or sale of goods or services within the scope of patent or patents in question.

**“recipient”** means institutions, contractors and any tier there under, or any transferee of recipient's rights in patents arising out of UMBI-BARD funding.

**“invention”** means any invention or discovery, which is or may be patentable or otherwise protected by law.

**“made”** when used in relation to any invention, means the conception of first actual reduction to practice of such invention.

**“practical application”** means to manufacture in case of a composition or product, to practice in the case of process or method, or to operate in the case of a machine or system and, in each case, under such conditions as to establish that the invention is being utilized and that its benefits are, to the extent permitted by law or government copyrighted material.

**Patents:** Recipient shall own, throughout the world, any invention made by its employees arising out of research supported by UMBI-BARD funding. Ownership of any invention made jointly by the employees of two or more recipients, including but

not limited to, the relationship between UMBI and the Israeli institution, shall be jointly owned. Ownership may be transferable:

-- among recipients provided that the purpose of such transfer is to promote utilization and/or commercialization of said inventions.

-- to governments in order to meet overriding obligations of recipients toward third party governmental co-sponsors of research also supported by UMBI-BARD.

The Governments of Maryland and of Israel shall be entitled to and receive at least a non-exclusive, worldwide, royalty-free, irrevocable license to practice said invention for governmental purposes.

Recipient shall file for a patent on said invention within nine months of first actual reduction to practice. The filing of such a patent application shall be reported to the UMBI Office of Research and Development and to the BARD office depending on the PI/Co-PI affiliation, with a copy to the corresponding office. The Governments of Maryland and/or of Israel may be assigned rights to any UMBI-BARD funded invention in any country where recipient does not elect to file for a patent within the nine-month period.

Recipient shall use, to the greatest extent practicable, and within their institutional policies, net profits from the use of said patent to support research and development activities.

**Copyrights:** The Governments of Maryland and Israel shall be entitled to and receive non-exclusive, worldwide, royalty-free, irrevocable licenses to use all material resulting from UMBI-BARD funded activities, and copyrighted by recipients of UMBI-BARD grants for non commercial purposes.

## **Appendices to the Research Grant**

G1 .....	Amended Budget Summary
G2 .....	Signature Page
G3 .....	Semi-annual Declaration
G4-1 .....	Annual Fiscal Report
G4-2 .....	List of Employees
G5 .....	Annual Scientific Report Cover Page
G6a,b .....	Final Scientific Report Cover Page and Summaries



### Amended Budget Summary

(in US dollars) (Round **annual totals** to the nearest \$1000 and round budget items 1-5 to the nearest \$100)

**UMBI-BARD Project Number:** \_\_\_\_\_

**Principal Investigator:** \_\_\_\_\_

**Affiliated Institution:** \_\_\_\_\_

Budget Item	First Year		Second Year		Third Year	
	Israel	UMBI	Israel	UMBI	Israel	UMBI
1. Salaries and Social Benefits						
2. Non-expendable Equipment						
3. Operating Expenses						
4. Foreign Travel						
<b>Total Direct Costs</b>						
5. Overhead Expenses						
<b>Annual Totals</b>	,000	,000	,000	,000	,000	,000

If more than one institution in the *same* country is participating in the project, provide either a *separate* table or additional columns with the same format for that country's institutions.

Project Totals			
Budget Item	Israel	UMBI	Project
1. Salaries and Social Benefits			
2. Non-expendable Equipment			
3. Operating Expenses			
4. Foreign Travel			
<b>Total Direct Costs</b>			
5. Overhead Expenses			
<b>Project Totals</b>	,000	,000	,000



**Signature Page**

**UMBI-BARD Number:** \_\_\_\_\_

**Proposal Title:** \_\_\_\_\_

**Investigators**

**Institution's Authorizing Official**

Name: \_\_\_\_\_

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Signature: \_\_\_\_\_



**Semi-annual Declaration**

**UMBI-BARD Project Number:** \_\_\_\_\_

**Institution Reference Number:** \_\_\_\_\_

**Name and Address of Institution:**

<b>Research Year</b>
___ First
___ Second
___ Third

We certify that the research on the above mentioned project is being carried out in our institution and in the cooperating institution(s) in accordance with the approved research and budget plans.

In order to enable us to continue with our research, we request payment of the next installment as per our agreement.

**Date:** \_\_\_\_\_

**Institution's Authorizing Official**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Institution's Stamp

**Senior Project Scientist of this Institution**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name



**Annual Fiscal Report**  
Israeli institutions only



UMBI-BARD Project Number: \_\_\_\_\_  
Institution Reference Number: \_\_\_\_\_

Name and Address of Institution:	Report		Report Period	
	First		From	To
	Second		From	To
	Third		From	To
	Final		From	To
1. Expenditures for this reporting period:		US Dollars	New Israeli Shekels	
a. Salaries and social benefits				
b. Non-expendable equipment (please list items costing \$1,000 or more in Item 6 below)				
c. Operating expenses (supplies, local, travel, etc.)				
d. Foreign travel				
<b>Total direct costs:</b>				
e. Overhead / indirect expenses (____%)				
<b>Total costs of reported period (Item 1):</b>				
2. Expenditures as set forth in previous Annual Reports				
3. Total cumulative expenditures (Items 1 + 2)				
4. Amount of grant awarded to period of report, cumulative				
5. Amount of grant payments made to date				
6. List of non-expendable equipment costing \$1,000 or more:				
	<u>Date of Purchase</u>	<u>Item</u>	<u>Serial Number</u>	<u>Cost in US\$</u>
Remarks:				

We hereby certify that this report is true and correct to the best of our knowledge and that all expenditures reported herein have been made in accordance with appropriate grant policies and for the purposes set forth in the application and award documents.

Date: \_\_\_\_\_

Institution's Authorizing Official: \_\_\_\_\_  
Name Signature

Senior Project Scientist of this Institution: \_\_\_\_\_  
Name Signature



**Annual Fiscal Report**  
Israeli institutions only



UMBI-BARD Project Number: \_\_\_\_\_  
Institution Reference Number: \_\_\_\_\_

**List of Employees**

UMBI-BARD Project Number: \_\_\_\_\_ Report: First \_\_\_\_  
Second \_\_\_\_  
Institution Reference Number: \_\_\_\_\_ Third \_\_\_\_

Name of Employee	Job title	Full/Part time (indicate the % if part time)	Cost in US\$ (salaries + social benefits)
<b>Total (equal to amount in item 1a of fiscal report form page 1)</b>			

Date: \_\_\_\_\_

Institution's Authorizing Official: \_\_\_\_\_  
Name Signature

Principal or Co-Principal Investigator  
of this Project: \_\_\_\_\_  
Name Signature



**Annual Scientific Report  
Cover Page**

UMBI/BARD Project Number:

Title:

**Investigators:**

**Affiliated Institutions:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Start Date of Project: \_\_\_\_\_

Date of Submission of Report: \_\_\_\_\_

First Annual Report: \_\_\_\_\_

Second Annual Report \_\_\_\_\_

\_\_\_\_\_  
**Signature  
Principal Investigator (PI)**

\_\_\_\_\_  
**Signature  
Institution's Authorizing Official, Principal Institution**



**Final Scientific Report Cover Page**



**Date of Submission of the report:**

**UMBI/BARD Project Number:**

**Project Title:**

**Investigators**

**Institutions**

**Principal Investigator (PI):**

**Co-Principal Investigator (Co-PI):**

**Collaborating Investigators:**

---

**Keywords** *not* appearing in the title and in order of importance. Avoid abbreviations.

**Abbreviations commonly** used in the report, in alphabetical order:

**Budget:** IS: \$

US: \$

Total: \$

---

Signature  
Principal Investigator

---

Signature  
Authorizing Official, Principal Institution

## Final Scientific Report Cover Page (p2)

### Publication Summary (numbers)

	Joint IS/US authorship	US Authors only	Israeli Authors only	Total
Refereed (published, in press, accepted) UMBI/BARD support acknowledged				
Submitted, in review, in preparation				
Invited review papers				
Book chapters				
Books				
Master theses				
Ph.D. theses				
Abstracts				
Not refereed (proceedings, reports, etc.)				

**Postdoctoral Training:** List the names and social security/identity numbers of all postdocs who received more than 50% of their funding by the grant.

### Cooperation Summary (numbers)

	From US to Israel	From Israel to US	Together, elsewhere	Total
Short Visits & Meetings				
Longer Visits (Sabbaticals)				

### Description Cooperation:

---



---



---



---

### Patent Summary (numbers)

	Israeli inventor only	US inventor only	Joint IS/US inventors	Total
Submitted				
Issued (allowed)				
Licensed				