

BARD

United States - Israel

Binational Agricultural Research and Development Fund



Research Grants

Guidelines and Regulations for Grant Management

(updated October 2008)

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The approval and initiation of a BARD research grant agreement obligates the scientists and institutions involved to carry out periodic administrative reports as detailed in the following Guidelines and Regulations for the Management of BARD Research Grants.

Grant Agreement

A designated research officer of the principal investigator's affiliated institution signs the research grant agreement between BARD and the institution.

Parties to the Agreement

Investigators

Principal Investigator (PI) is that person whose name appears **FIRST** on the cover page of the proposal. The PI is responsible for the submission of scientific reports, administration of the grant, notification of changes in the work plan and maintaining contact with BARD.

Co-principal Investigator (Co-PI) is that person whose name appears **SECOND** on the cover page of the proposal. The Co-PI is the senior member of the investigating team in the *other* country.

Collaborating Investigators are all investigators, in either country, who are listed on the cover page and are neither the PI nor the Co-PI.

Institutions

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

Principal Institution is the affiliated institution of the PI. An officer of the principal institution signs the research grant agreement with BARD.

Cooperating Institution is the affiliated institution/s of all other members of the team of investigators (Co-PIs and Collaborating investigators). Each funded cooperating institution signs a separate Letter of Agreement with BARD and undertakes to abide by the relevant terms of the research grant agreement.

Initiation of the Research Grant

Following notification of the award and approval of the Amended Budget Summary (see section below), an Agreement is sent for signature to the Principal Institution and Letter/s of Agreement to the funded Cooperating Institutions. A letter indicating the agreed upon Start Date of the project is then sent to all affiliated investigators and research authorities of all funded Cooperating Institutions.

Amended Budget Summary: (Appendix G1) Following notification of the award, and prior to the preparation of the Agreement, the PI, in consultation with the Co-PI, the cooperating investigator(s) and their respective research authorities will prepare an amended budget summary in accordance with the actual award amount. The amended budget is to be presented in the format provided in Appendix G1, and forwarded to the **BARD office in Israel** within 30 days of receipt of the letter of award. Please also indicate the Start Date on this Appendix.

A separate budget summary for **each** participating institution must be provided. If there is more than one institution in the same country participating in the project, provide either a separate table or additional columns with the same format for that country's institutions.

First Year's Budget Allocation may not exceed **36%** of the total budget unless advance approval is received from BARD. (Excluding projects of less than 3 years duration.)

Budget Items: Each year's total budget should be **rounded** to the **nearest \$1000**.

Overhead may not exceed 20%. Therefore, in order to get the yearly totals to add up to the total approved budget, we suggest rounding the operating expense budget, the overhead budget or both to the **nearest 10**.

Personnel Services: including salaries and fringe benefits. PIs and Co-PIs who are paid most of their annual salary by their institution, are not entitled to receive salaries from the BARD grant. Support personnel can receive salaries and social benefits in proportion to the time devoted to the research project. When in doubt, please refer to the BARD office. Specify the percentage of salary that is received as salary from the employing institution and the percentage dependent upon soft money. Indicate the percentage of time to be devoted to the project by each person.

Non-expendable Equipment Operating Expenses

Foreign Travel: No more than two trips abroad per project will be authorized, including projects with more than two cooperating investigators or institutions. Each trip abroad should not exceed thirty days. The amount requested for foreign travel should cover the cost of the ticket (round-trip) and *per diem* expenses.

Termination of the Research Grant

Termination of the project is dependent upon approval by BARD of the project's final scientific report and the final fiscal report of each funded institution. The final scientific report must be presented to BARD by the PI and must include a summary of the scientific activities of the PI, Co-PI and all other collaborating investigators. The report is due within three months of the conclusion of the project. The Executive Director notifies all participants in writing upon termination of the agreement. Title to equipment purchased with BARD funds vests in the institution wherein the research was conducted upon successful termination of the project.

BARD can cancel the research grant agreement for reasons of non-compliance with the regulations of the agreement, by written notification to the participating institutions.

The Research Plan

Approved Research Proposal: The Research Proposal, as approved by BARD, becomes an integral part of the Research Grant Agreement.

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 investigator may discontinue or modify the original direction of the research following consultation with BARD. Investigators must give immediate written notice of substantial changes in the work plan. Describe the changes and explain their necessity. BARD reserves the right to disapprove such alterations of the original plan.

Changes in Personnel: BARD 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) 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 institution or to a new investigator within the original institution on an individual basis. Notify BARD immediately and in writing of any planned changes in affiliation so that appropriate measures may be taken to ensure continued operation of the project. Include Appendix G2 in this notification. 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 or investigator has been agreed upon with 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, s/he must notify BARD Israel and, if unable to continue to supervise the project, must recommend a temporary replacement for BARD's approval. The suggested replacement must send BARD 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 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. BARD reserves the right to appoint a replacement investigator from a *different* institution and to transfer funds accordingly, in the event that a suitable investigator is not found in the original institution.

Feasibility Studies

One year feasibility studies, whether submitted as such or originally submitted as a three year grant, are subject to the same regulations as three year research grants.

They must adhere to the following:

- such studies should be initiated as early as possible following the award in order to comply with the requirements for the following year's submission.
- continued funding of such studies requires the submission of a *new* proposal for consideration.
- such *new* proposals will be considered only after the final scientific report of the feasibility study is received and approved by BARD.

Fiscal Administration of the Grant

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 BARD. 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. BARD also reserves the right to inspect the research locations and to obtain from the research team full information regarding all project activities.

Timing of Expenditures: BARD will not recognize expenses relating to the periods either before or after the official start and end dates of the project, unless prior approval has been received by BARD.

Documentation: Original invoices for non-expendable equipment over \$1,000 must be stamped "Funded by BARD grant # _____."

Foreign Travel Expenses: BARD's policy allows for one trip per country. When approving a foreign travel expense for a BARD grant, the institution should verify that the purpose of the trip is for the investigators to meet (a copy of the itinerary of the trip should be filed for future reference). Prior approval must be obtained by BARD if either the trip is for a different purpose, or someone other than the PI or Co-PI will be traveling.

Semi-annual Declaration (Appendix G3, attached or on the website). This declaration states that the research is being carried out according to the approved research plan. Each funded institution must submit the declaration six months after the beginning of **each** research year.

Annual Fiscal Reports: (Appendix G4-1, attached or on the website). The annual fiscal report is a comprehensive summary of all monetary operations conducted in the framework of the project. BARD emphasizes the importance of properly categorizing expenses and reporting them correctly to the appropriate budget item in the form. Each funded institution is responsible for the preparation and timely submission of fiscal reports, i.e. at the end of each research year. Failure to submit any of these reports on a timely basis delays the processing of payments. Mail the original, signed report to either BARD office.

The List of Employees (Appendix G4-2) includes details of the employees funded by the BARD grant. Please complete the form as requested in order to avoid delays in the payment schedule. The form must be signed by the PI or Co-PI (as relevant) and is to be submitted together with the annual fiscal report. All items relating to an employee's salary, including travel and social benefits, must be recorded in the fiscal report under 'salaries' and not under 'operating expenses'.

Third and Final Fiscal Report: The third fiscal report 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.

Schedule of Payments: Payments are made directly to each 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.

BARD Research Grants, Guidelines and Regulations for Management

	First Year	Second Year	Third Year
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 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. Total payments cannot exceed the total approved expenditures.

Final Statement of Payments and Expenditures: BARD issues a Final Statement of Payments and Expenditures, signed by the BARD Controller, for each funded institution. The Final Statement is presented to the institution together with the final payment. The Institution should review this final statement, sign and return the original to BARD, Israel. Whether or not the statement is returned with the authorizing institutional signature, BARD will consider it binding three months after the date of issue.

Unused Budget Balances: Unused budget balances 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 are returned to BARD, as well as unexpended advanced payments made to the recipient.

Budget Changes: Budget changes up to a total of \$5,000 during the progress of the research can be made without prior approval from BARD, except those relating to foreign travel. *All* changes relating to the foreign travel budget item must receive prior approval from BARD and are not included in this initial \$5,000 limit.

Changes beyond the initial \$5,000 require a written (e-mail) request justifying the changes. BARD may also require the affiliated institution(s) to approve the requested change. Changes will be approved without delay, if justified and within the framework of the approved budget and reported expenditures.

Scientific Administration of the Grant

The PI is responsible for submitting both the annual scientific reports and the final scientific report to the BARD office in Israel.

Annual Scientific Progress Reports (one copy by e-mail to lea@bard-isus.com): These brief (2-5 pages) reports, in English, should evaluate the work done on the project in *both* the United States and Israel during the previous twelve months. Include the following items in the report:

Cover Page signed by *both* the principal investigator and the institution's authorizing official. (Appendix G5, attached or on the website.) The signed cover page can be scanned and included in the report, or sent by fax or mailed separately.

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

Final Scientific Report (one copy by e-mail to lea@bard-isus.com and three hard copies): A comprehensive scientific report is to be submitted by the PI within three months of the conclusion of the project. The final report is a presentation and assessment of the achievements of the project. It is used to establish accountability both inside BARD 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.

The reports are distributed to the US National Agricultural Library (Beltsville MD), the library of the Faculty of Agriculture, The Hebrew University of Jerusalem (Rehovot) and the library of the Agriculture Research Organization (Bet Dagan). Upon request, copies of BARD final scientific reports are available to the public from the BARD office in Israel.

In addition to the final report itself, whose requirements are outlined below, one reprint of each published paper resulting from the project and not included in the appendix of the report, are to be forwarded to BARD, as they become available. BARD should be acknowledged for support in published papers. Use the following format:

**This research was supported by Research Grant Award No. _____
from BARD, The United States - Israel Binational Agricultural Research
and Development Fund.**

There are two sections to the Final Scientific Report:

Overall summary and statistics

Appendix

Overall summary and statistics

Cover Page (Appendix G6a, attached or from the website), provide *all* requested information.

Publication Summaries (Appendix G6b)

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

List the original objectives, as defined in the approved proposal, and any revisions made at the beginning or during the course of project.

Background to the topic.

Major conclusions, solutions, achievements.

Implications, both scientific and agricultural.

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

Significance of 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: Include only reviewed publications reporting on work at least partially supported by BARD and which includes an acknowledgement to 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 Copyrights

The objective of BARD's patent policy is to ensure the protection of patentable findings resulting from research supported by BARD 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 principal and cooperating institutions, contractors and any tier thereunder, or any transferee of recipient's rights in patents arising out of 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 or 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 regulations, available to the public on reasonable terms.

Confidentiality: BARD attempts to observe the strictest confidence in handling the research proposals, but cannot guarantee complete confidentiality on any matters that lie beyond its control. The confidentiality of recipient's "proprietary data" so designated, shall be strictly observed to the extent permitted by appropriate national law. There shall be no restriction on the publication of research results except when taking into consideration effects of prior publication on possible subsequent patent and BARD's license to use copyrighted material.

Patents: Recipient shall own, throughout the world, any invention made by its employees or using its facilities arising out of research supported by BARD funding. Ownership of any invention made jointly by the employees or using its facilities of two or more recipients shall be determined in a manner consistent with the degree of contribution of each recipient, through negotiation of the parties. Subject to written approval of BARD, ownership shall be transferable:

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

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

The Governments of the United States 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 promptly submit, on a confidential basis, a written disclosure of each invention to BARD and shall submit a final listing of such inventions at the termination of a BARD funded project, including a certification that there are no unreported inventions.

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 promptly reported to BARD. The Governments of the United States and/or of Israel shall be assigned rights to any BARD funded invention in any country where recipient does not elect to file for a patent within the nine-month period.

Recipient shall use reasonable efforts to cause said invention to be brought to practical application in each country where recipient has obtained a patent within six years of the granting of such patent. The Executive Director of BARD may extend the above six year time limit for an additional period upon receiving reasonable justification from the recipient for such an extension. Otherwise, the Governments of the United States and/or Israel may require recipient, an assignee or exclusive licensee to grant a license to a responsible applicant or applicants upon terms reasonable under the circumstances, and if the recipient, assignee or exclusive licensee refuses such a request, the Governments have the right to grant such license(s) themselves.

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

Copyrights: The Governments of the United States and Israel shall be entitled to and receive non-exclusive, worldwide, royalty-free, irrevocable licenses to use all material resulting from BARD funded activities, and copyrighted by recipients of BARD grants. BARD shall be permitted to use any copyrighted material resulting from its funding activities when it is necessary to promote the maximum dissemination of research findings. BARD will also seek copyrights when necessary to achieve such a purpose, but only after consultation with recipient.

Follow Up

BARD requests updates of all publications, patents and commercialization arising from the supported research and properly acknowledging BARD's support.

Periodically, BARD evaluates completed projects regarding their contributions to agricultural science (qualitative and quantitative). This evaluation is important to BARD's on-going goal of increasing its research budget: a job made easier with convincing proof of the contributions of BARD supported projects - whether from the science itself, the benefit to agriculture, or from the active cooperation between the scientists involved. To this end, BARD will request relevant information from grant recipients.

Appendices to the Research Grant

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Amended Budget Summary
(in US dollars)

(Round **annual totals** to the nearest **\$1000**, round budget **items 1-5** to the nearest **\$10**)

BARD Project Number: _____

Principal Investigator: _____

Affiliated Institution: _____

Preferred Start Date: _____

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



Signature Page

Changing of investigators or institutions during the course of the study requires submission of a Signature Page.

BARD Project Number & Title:

Affiliated Institution's Authorized Officer:

Signature of the Authorized Officer confirms the availability of the described facilities and the scientist's access to them; and confirms that the regulatory policies are adhered to and any required permits have been applied for and will be presented prior to initiation of a grant.

Name:

Title:

Affiliated Institution:

E-mail:

Affiliated Officer's Signature:

Institution's Identifying number of the proposal:

Affiliated Scientists: The signature of the affiliated scientist indicates participation in the preparation of the proposal, confirmation of the facilities and agreement to carry out the research responsibilities described.

Name:

Signature:

Name:

Signature:

Name:

Signature:



Semi-annual Declaration

BARD Project Number: _____

Institution Reference Number: _____

Name and Address of Institution:

Research Year
___ First
___ Second
___ Third

We certify that the research of 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

Principal or Co-Principal Investigator of the Project:

Name

Signature



**BARD Research Grant
Annual Fiscal Report**

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				
Total direct costs:				
e. Overhead / indirect expenses (____%)				
Total costs of reported period (Item 1):				
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

Principal or Co-Principal Investigator of the Project:

Name Signature



**BARD Research Grant
Annual Fiscal Report
List of Employees**

BARD Project Number: _____

Report:
 First _____
 Second _____
 Third _____

Institution Reference Number: _____

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

Date: _____

Institution's Authorizing Official: _____
Name Signature

Principal or Co-Principal Investigator of the Project:

Name Signature



Annual Scientific Report

Cover Page

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

BARD Project Number:

Date of Submission of the report:

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

Publication Summary (numbers)

	Joint IS/US authorship	US Authors only	Israeli Authors only	Total
Refereed (published, in press, accepted) 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				