



## **Post-Award Guidelines for HFSP Research Grants**

*Please note:*

The Human Frontier Science Program Organization (HFSP) is a non-profit association devoted to the promotion of basic research, registered as such at the Tribunal d'Instance in Strasbourg, France. It does not claim any intellectual or commercial property rights that may be generated through the research it sponsors. The award should not be considered as a work contract between HFSP and the grantees.

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*General principles:*

- The term of HFSP research grants is normally 3 years.
- The principal investigator of each international collaborative research team is the primary HFSP correspondent. All forms mentioned in this document are sent to the principal investigator for distribution to his/her team members.
- Awardees in for-profit institutions may not receive funds.

## 1. Payment of Grants / Annual Reports

HFSP research grants are paid in annual installments, whose amounts are indicated in the official letter of award notification.

*The HFSP budget is determined in US dollars. While payments may be requested in another currency, the amount in that currency will be determined by the exchange rate against the US dollar at the time of each transfer (and thus may vary for each annual payment). HFSP reserves the right to wire funds in local currency. After receipt of the funds, the grantee will have to confirm the amount assigned to the project. In the final financial report, due at the end of the grant (see [1.4.](#)), the amount received should correspond to the total declared during the grant period.*

Payment of the award by the HFSP is conditional upon receiving the appropriate forms from all team members.

### 1.1. Year 1

#### *Starting date*

The research team must decide on a starting date for the grant, which is expected to be at the latest 1 December in the calendar year in which the award is made. It is critical that all items be provided promptly since transfer of funds must be made before the end of the calendar year.

The starting date decided in Year 1 cannot be changed in subsequent years; it applies to the entire team of investigators. It will mark the beginning of the annual reporting period of the grant for the three successive years.

#### *Agreement forms*

Each investigator and responsible institution official\* must sign and return the **Agreement form (RG104 for the PI, and RG105 for co-investigators)** before the award can be initiated.

#### *Transfer of funds*

HFSP will make separate payments directly to each investigator's institutional account. Each investigator must fill out and have signed by the appropriate institution official a **Banking Instructions form (RG107)**. This **must** include the electronic address of the person or service who will be responsible for the financial reports. **Please also provide an official bank document with wiring instructions.**

#### *Annual budget proposal*

Each year, the investigators must decide on the distribution of the funds awarded, and the principal investigator must return an **Annual Budget Proposal (form RG103)** to the HFSP before the beginning of the next period.

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\*The responsible institution official may be the director of sponsored research, provost, vice-president for extramural research or the individual responsible for fiscal/financial management at your institution.

### 1.2. Year 2

Payment of the second year is conditional upon receiving, before the end of the first year, a **Scientific Report (form RG101)** on the work of the whole team during the first year, the **Annual Budget Proposal (form RG103)** for the second year, and the **PI's Declaration of Use of HFSP Funds (form RG106)**. These forms will be sent to the PI in good time. In addition, payments to team members are conditional upon the prior receipt of confirmation of the year 1 payment.

### 1.3. Year 3

Payment of the third year is conditional upon receiving, before the end of the second year, a **Scientific Report (form RG102)** on the work of the whole team during the second year, the **Annual Budget Proposal (form RG103)** for the third year, and the **PI's Declaration of Use of HFSP Funds (form RG106)**. These forms will be sent to the PI in good time. In addition, payments to team members are conditional upon the prior receipt of confirmation of the year 2 payment.

### 1.4. End of Year 3

Within two months following the end of the third year - or two months after the new termination date if a no-cost extension has been requested, each team member must submit a **Final Report on Expenditures (forms RG109 and RG110)** for the whole grant period. Financial receipts should be kept by the responsible institution official for two years after completion of the grant and made available to the HFSP on request.

In addition, a **Final Scientific Report (forms RG111 and RG112)** is required from the principal investigator on behalf of the whole team. These forms will be sent to the PI in good time.

### 1.5. Suspension of payments

HFSP reserves the right to withhold funds if it becomes aware of claims of misconduct, and recover funds if misconduct is eventually proven.

## 2. Use of Grant Funds

HFSP grants are not awarded to institutions but to individuals in an international collaborative research team; as a consequence, equipment purchased through the support of an HFSP research grant should follow the grantee if he/she moves from his/her institution. If a grantee changes institution during the period of the grant, he/she should contact the grant office at HFSP so as to i) provide a letter of support for the move from the principal investigator and then ii) provide an Agreement form (see [1.1.](#)) from the new institution concerning the management of funds. The original institution should provide a financial statement within two months following the move and then arrange for the transfer of residual HFSP funds to the new institution (see the link [Move](#) for procedure).

A maximum of 10% of the direct costs of the program, at each research institution, is allowed for indirect costs.

### 3. Permissible Expenditures

#### 3.1. Equipment

Purchase of equipment must be essential for the new collaboration which is proposed. Purchase of equipment to supplement current domestic programs is not allowable. Participating laboratories should already be equipped to pursue their current research. If the equipment is to be rented, the fee should be classified in 'Services' (3.3.).

#### 3.2. Animals, materials and supplies

Costs of reagents, animals, disposables. Computer software necessary for the scientific collaboration is permissible; general office software and supplies may be included in 3.7. (within the 10% maximum limit).

#### 3.3. Services

Consulting services and computer services specific to the project, including rental fees (fees for computer or telephone networks may be included in the indirect costs see 3.7.).

#### 3.4. Salaries

The participation of additional personnel must be essential for the new collaborative research. Salary support or other direct remuneration cannot be allocated for the principal investigator or co-investigators or other faculty (including 'summer salaries'). Salaries are allowable for research assistants (post-doctoral scientists, graduate students, technicians) but not for institutional staff such as secretaries, nor laboratory managers. The salaries shall be in accordance with the salary scales of the institutions concerned. These awards are intended to support research by trained personnel. They are not training programs. In consequence, student tuition fees are not considered a permissible expense.

*Please note: these individuals are not employees of the HFSP, nor can they be considered as HFSP fellows.*

**Salary support or other direct remuneration cannot be allocated for the principal investigator or co- investigators.**

#### 3.5. Communication Expenses

- a) Publication (costs of publication of research results including open access fees see link <http://www.hfsp.org/funding/open-access-policy> ): article translations, mail etc...
- b) Express courier services (Fedex, DHL, TNT, UPS etc.)

#### 3.6. Meeting, Travel and related expenses

- a) For individual team members and their laboratory personnel visiting other team members (domestic and foreign travel, per diem allowances for up to three months each year). This may also include joint meetings of team members and their laboratory personnel. Scientific advisors, exterior to the project, may also be invited to such meetings.
- b) Scientific meetings, or external training courses, related to the HFSP project (may include registration fees for scientific conferences).
- c) All team members are expected to attend a meeting of awardees organized by the HFSP in the third year of the award or during the no-cost extension (see 5.). Awardees must cover travel and accommodation expenses for this out of the grant award. This applies even in cases where the hotel prices which have been negotiated by HFSP exceed the University standards.

### 3.7. Indirect costs (overheads)

A maximum of 10% of the direct costs of the award, at each research institution, may be used for indirect costs. These must be taken from the funds awarded; no further funds will be provided by HFSP for indirect costs (overheads).

## 4. Excluded Expenditures

The funds provided by the HFSP are to be used specifically to support the new international collaborative program described in the original application; they are not intended to replace or supplement current domestic programs, nor to provide basic institutional infrastructure. This includes heating, lighting, fluids, cleaning, building maintenance, security, technical infrastructure, laboratory furniture, etc... (these may be charged within the 10% indirect costs, see below, without details).

**The principal investigator or co-investigators may not receive personal remuneration from an HFSP grant either in the form of a salary (even in part) or consultation fees.**

### Indirect costs (overheads)

A maximum of 10% of the direct costs of the award, at each research institution, may be used for indirect costs. These must be taken from the funds awarded; no further funds will be provided by HFSP for indirect costs (overheads).

Positions belonging to the laboratory infrastructure, such as secretaries or laboratory managers, may not be paid using HFSP funds.

## 5. Use of Unspent Funds / Extension

During the tenure of the grant, unspent funds may be carried over to the next period, without prior approval from the HFSP.

At the end of the grant, a [no-cost extension](#) may be requested for 6 months and maximally up to one year after the official termination date, to use up any remaining funds. A justification, in writing, must be sent by the principal investigator before the official termination date. If a team member anticipates problems in using the funds during the extension, a transfer of funds to another team member may be authorized upon request. Unspent funds remaining after the extension must be returned to the HFSP if they are in excess of US\$10,000 **for the whole team**. Amounts less than this may be retained without further reporting. Negative balances of individual team members are not considered for calculation of remaining funds for the whole team, i.e. larger unspent amounts may not be compensated by other members' deficits (overspending). **No further funds will be allocated in case of overspending.**

If you have questions, please consult the [RG Resources](#) link before contacting us at [grant@hfsp.org](mailto:grant@hfsp.org)