



ANNUAL GRANT PROGRAM POLICIES

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1. GENERAL INFORMATION, SCOPE, AND AUTHORITY

1.1 General Information

The National Ataxia Foundation (“NAF”) was established in 1957 to support people with all forms of ataxia and their families. Headquartered in Minneapolis, Minnesota, NAF is a not-for-profit, tax-exempt charitable organization recognized under Section 501(c)(3) of the Internal Revenue Code.

NAF provides annual support for research that demonstrates the potential to further its mission to accelerate the development of treatments and a cure while working to improve the lives of those living with Ataxia.

Eligible proposals must demonstrate the potential to advance scientific and/or medical knowledge of ataxias or improve the diagnosis, treatment, or care of people affected by ataxia. NAF Grants support research focused on hereditary, sporadic, and acquired forms of ataxia.

NAF accepts eligible applications from investigators at public and private nonprofit universities, colleges, hospitals, laboratories, government agencies, biotechnology and pharmaceutical companies, and other for-profit entities. Most, but not all, NAF Grant mechanisms are open to researchers and institutions outside the United States. Mechanism-specific eligibility requirements apply.

1.2 Scope

These Policies govern applicants, grantees, and grantee institutions throughout the application, review, pre-award, award, and post-award lifecycle of the NAF Annual Research Grant Program.

Applicants are also subject to the applicable funding mechanism instructions, Letter of Intent (“LOI”) and full proposal instructions, published deadlines, and other requirements established by NAF for the applicable funding cycle.

If an application is selected for funding, the Grant is additionally governed by the executed NAF Award Agreement, including the Funding Letter and applicable appendices; the approved proposal and budget; and any subsequent written approvals, modifications, or amendments issued by NAF.

1.3 Annual Program Requirements

NAF reviews its Annual Research Grant Program each year and may update available funding mechanisms, eligibility requirements, funding priorities, application requirements, award amounts, award terms, and other program requirements based on

scientific and organizational priorities, existing funding commitments, and available resources.

Applicants are responsible for reviewing and complying with the requirements published for the applicable funding cycle.

Funding priorities and other mechanism-specific scientific guidance published by NAF are incorporated into the applicable funding opportunity instructions document and should be carefully reviewed before application development and submission.

1.4 Applicant Responsibility and Acceptance

By submitting an application to NAF, an applicant acknowledges that they have reviewed and agree to comply with these Policies and the requirements of the selected funding mechanism.

Applicants are responsible for determining their eligibility and for the accuracy, completeness, and timely submission of all application materials.

Selection for funding remains contingent upon satisfactory completion of all applicable pre-award requirements and execution or acceptance of the applicable Award Agreement.

1.5 NAF Funding Discretion

NAF is a private charitable funder and retains sole discretion over the administration and allocation of its research funding.

NAF may, in its sole discretion, determine applicant or application eligibility; administratively reject or remove from consideration applications that do not comply with applicable requirements; modify, suspend, or cancel a funding opportunity; adjust available funding; make fewer awards than anticipated; or decline to make an award.

Meeting eligibility requirements, receiving an invitation to submit a full proposal, or receiving a favorable peer-review score does not guarantee funding.

All funding recommendations are subject to final approval by NAF's Board of Directors.

2. GENERAL ELIGIBILITY REQUIREMENTS

Unless otherwise specified in the applicable funding mechanism, the following requirements apply to all Annual Research Grant Program applicants.

2.1 Ataxia Relevance

Proposed research must have a clear and significant focus on hereditary, sporadic, or acquired ataxia and must align with the purpose and scientific priorities of the selected funding mechanism.

Research in a related disease, biological pathway, technology, or scientific area is not responsive solely because the findings may have incidental or indirect relevance to ataxia.

2.2 Institutional and Geographic Eligibility

NAF accepts applications from eligible U.S. and international institutions unless the applicable funding mechanism establishes additional geographic, citizenship, residency, institutional, or other eligibility requirements.

Mechanism-specific eligibility requirements control where they are more restrictive than these general requirements.

2.3 One Letter of Intent Per Funding Cycle

An applicant may submit only one LOI as Lead Investigator during an Annual Research Grant Program funding cycle.

Applicants should select the strongest proposed project and apply under the single funding mechanism that best aligns with their career stage, eligibility, and proposed research.

2.4 Prior NAF Funding

Unless otherwise specified, a prior NAF awardee is ineligible to apply for additional NAF funding if they:

- served as the Lead PI or fellowship recipient on an NAF Grant within the two fiscal years immediately preceding the applicable funding cycle;
- have an active NAF Grant under a No-Cost Extension at the time of application; or
- are delinquent with NAF Grant reporting requirements.

For FY2027, applicants who served as the Lead PI or fellowship recipient on an NAF Grant in FY2025 or FY2026 are therefore ineligible to apply.

Except for the Research Seed Money Grant, an individual may receive funding through each NAF Annual Research Grant Program mechanism only once. This restriction applies separately to each funding mechanism and does not prevent an individual from receiving NAF funding through different mechanisms over the course of their research

career, provided they meet the applicable eligibility requirements at the time of each application.

An individual may receive only one NAF pre-doctoral fellowship award in total, whether through the Graduate Research Fellowship or the Pre-doctoral Fellowship to Promote Diversity in Ataxia Research.

Research Seed Money Grant recipients may receive more than one Research Seed Money Grant over the course of their career, subject to all other eligibility requirements, including the two-fiscal-year restriction above.

2.5 Support From Other Sources

NAF does not permit duplicate funding.

A Lead PI or fellowship applicant may not request, use, or accept NAF Grant funds for a research project, or any portion of a project, including project aims, activities, expenses, salary support, stipend support, or effort, that is already supported for the same purpose by NAF or another public or private funding source.

Applicants must disclose all current and pending support as part of the application process.

If additional funding becomes available or is received during the review or pre-award process that may overlap with the proposed NAF-funded project, the applicant must promptly notify NAF.

During an active NAF Grant, if funds from another source are awarded to support the same or overlapping project aims or activities, including overlapping salary support or effort, the PI shall notify NAF in writing within fifteen (15) days of such award.

Upon disclosure, NAF will review the potential overlap and, at its sole discretion, determine whether modification, withdrawal, or termination of proposed or awarded NAF funding is required.

Any awarded funds determined by NAF to constitute duplication of funding, or otherwise no longer required to support approved activities, shall be returned to NAF within sixty (60) days of NAF communicating its decision.

2.6 Applicant and Institutional Good Standing

Applicants and their institutions must be in good standing with NAF and comply with applicable Grant reporting requirements, award terms and conditions, and financial obligations.

NAF may determine that an application or award cannot proceed, withhold funding, or delay release of Grant funds if applicable compliance requirements or outstanding PI or institutional obligations to NAF have not been resolved.

NAF will not release new award funds to an Institution with unresolved financial obligations to NAF.

3. FY2027 FUNDING MECHANISMS AND MECHANISM-SPECIFIC ELIGIBILITY

In addition to the general eligibility requirements in Section 2, applicants must satisfy all requirements of the selected funding mechanism.

3.1 Graduate Research Fellowship

Funding Period: September 1, 2027–August 31, 2028

Grant Amount: Up to \$25,000

At the time of application, the applicant must:

1. Have a baccalaureate degree or equivalent and be currently enrolled in a PhD or equivalent research degree program, a formally combined MD/PhD program, or another combined professional/clinical and research doctoral program.
2. Have successfully completed qualifying examinations, or equivalent, in their respective program.
3. Have identified an ataxia-related research project, demonstrate strong academic performance in the sciences and commitment to a research or clinician-scientist career relevant to ataxia, and have an appropriate sponsor or mentor who is an active investigator and is committed to the applicant's research training and direct supervision.
4. Meet all applicable general eligibility requirements.

Applications are accepted from eligible U.S. and international institutions, and U.S. citizenship is not required.

Past Graduate Research Fellowship or Pre-doctoral Fellowship to Promote Diversity in Ataxia Research awardees are ineligible.

Up to 100% of the Grant may be used to support allowable salary or stipend costs, subject to Section 8.4.

3.2 Pre-doctoral Fellowship to Promote Diversity in Ataxia Research

Funding Period: September 1, 2027–August 31, 2029 (Two 12-month periods)

Grant Amount: Up to \$50,000 total (\$25,000 per year). Second-year funding is contingent upon satisfactory progress and continued compliance with NAF requirements.

At the time of application, the applicant must:

1. Have a baccalaureate degree or equivalent and be enrolled in an eligible PhD or equivalent research degree program, formally combined MD/PhD program, or other combined professional/clinical and research doctoral program at a not-for-profit U.S. institution of higher education.
2. Have successfully completed qualifying examinations, or equivalent, in their respective program.
3. Be a U.S. citizen, non-citizen U.S. national, permanent resident, recipient of Deferred Action for Childhood Arrivals (DACA), or individual with Temporary Protected Status (TPS).
4. Identify with one or more populations that are underrepresented in the biomedical research workforce, as defined for this funding mechanism, including:
 - individuals from racial or ethnic groups underrepresented in biomedical research in the United States, including groups recognized as underrepresented nationally or demonstrated by the applicant's institution to be underrepresented in its biomedical research environment;
 - individuals who identify as LGBTQIA+; and/or
 - individuals with a disability as recognized under applicable federal disability law.
5. Have identified an ataxia-related research project, demonstrate strong academic performance in the sciences and commitment to a research or clinician-scientist career relevant to ataxia, and have an appropriate sponsor or mentor who is an active investigator and is committed to the applicant's research training and direct supervision.
6. Meet all applicable general eligibility requirements.

Past Graduate Research Fellowship or Pre-doctoral Fellowship to Promote Diversity in Ataxia Research awardees are ineligible.

Up to 100% of the Grant may be used to support allowable salary or stipend costs, subject to Section 8.4.

3.3 Postdoctoral Fellowship

Funding Period: September 1, 2027–August 31, 2028

Grant Amount: Up to \$40,000

At the time of application, the applicant must:

1. Have completed a PhD or equivalent research degree, formally combined MD/PhD program, or other eligible combined professional/clinical and research doctoral degree.
2. Have completed at least one (1), but no more than four (4), years of postdoctoral training.
3. Demonstrate a commitment to research relevant to ataxia.
4. Meet all applicable general eligibility requirements.

Applications are accepted from eligible U.S. and international institutions, and U.S. citizenship is not required.

Past NAF Postdoctoral Fellowship recipients are ineligible.

Up to 100% of the Grant may be used to support allowable personnel costs, subject to Section 8.4.

3.4 Early Career Investigator Award

Funding Period: September 1, 2027–August 31, 2028

Grant Amount: Up to \$50,000

At the time of application, the applicant must:

1. Have completed a PhD or equivalent research degree, formally combined MD/PhD program, or other eligible combined professional/clinical and research doctoral degree.
2. Have completed postdoctoral training within the past six (6) years and/or hold an appointment as a junior faculty member. Individuals at the Associate Professor level are not eligible. Clinician-scientists must have completed residency no more than six (6) years prior to application.
3. Hold a full-time appointment at an academic institution, nonprofit organization, or for-profit company.
4. Meet all applicable general eligibility requirements.

Applications are accepted from eligible U.S. and international institutions, and U.S. citizenship is not required.

Past NAF Early Career Investigator Award recipients are ineligible.

Up to 50% of the Grant may be used to support allowable personnel costs, subject to Section 8.4.

3.5 Research Seed Money Grant

Funding Period: September 1, 2027–August 31, 2028

Standard Grant Amount: Up to \$50,000

At the time of application, the applicant must:

1. Have completed postdoctoral training more than five (5) years before the application date.
2. Hold a full-time appointment as a faculty member, clinician, or senior scientist at an academic institution, nonprofit organization, or for-profit company.
3. Meet all applicable general eligibility requirements.

Applications are accepted from eligible U.S. and international institutions, and U.S. citizenship is not required.

Researchers may receive more than one Research Seed Money Grant over the course of their career, subject to the general prior-funding requirements in Section 2.4.

In rare circumstances, NAF may consider Research Seed Money Grant requests above the standard \$50,000 funding limit. Any request for an increased funding amount must be discussed with and approved by NAF's Chief Scientific Officer prior to LOI submission.

Up to 50% of the approved Grant may be used to support allowable personnel costs, subject to Section 8.4.

3.6 Pioneer SCA3 Translational Research Award

Funding Period: September 1, 2027–August 31, 2028

Grant Amount: Up to \$100,000

Proposed research must have a predominant focus on preclinical, translational, or clinical research related to Spinocerebellar Ataxia Type 3 (SCA3).

At the time of application, the applicant must:

1. Have completed postdoctoral training.
2. Hold a full-time appointment as a faculty member, clinical fellow, or senior scientist at an academic institution, nonprofit organization, or for-profit company.
3. Meet all applicable general eligibility requirements.

Applications are accepted from eligible U.S. and international institutions, and U.S. citizenship is not required.

Past NAF Pioneer SCA3 Translational Research Award recipients are ineligible.

Up to 50% of the Grant may be used to support allowable personnel costs, subject to Section 8.4.

3.7 Michael Lundquist Grant to Advance MSA-C Research

Funding Period: September 1, 2027–August 31, 2028

Grant Amount: Up to \$50,000

Proposals must have a primary focus on preclinical, translational, or clinical research directly related to multiple system atrophy, cerebellar subtype (MSA-C). Proposals may include aspects relevant to other forms of ataxia, but the primary focus must remain MSA-C.

At the time of application, the applicant must:

1. Have completed postdoctoral training.
2. Hold a full-time appointment as a faculty member, clinical fellow, or senior scientist at a research institution.
3. Meet all applicable general eligibility requirements.

Applications are accepted from eligible U.S. and international institutions, and U.S. citizenship is not required.

Past NAF Michael Lundquist Grant to Advance MSA-C Research recipients are ineligible.

Up to 50% of the Grant may be used to support allowable personnel costs, subject to Section 8.4.

4. APPLICATION AND SUBMISSION REQUIREMENTS

All Annual Research Grant Program applications begin with submission of an LOI through ProposalCentral.

LOIs are competitively reviewed. Applicants selected following LOI review will be invited to submit a full proposal. An invitation to submit a full proposal does not guarantee funding.

The scientific aims and overall scope of the full proposal must remain substantially consistent with the LOI reviewed by NAF. Minor refinements may be permitted, but applicants may not substitute a materially different project after receiving an invitation to submit a full proposal.

Applicants are responsible for establishing and maintaining required ProposalCentral accounts, completing all required application sections, identifying required institutional

contacts, obtaining required electronic signatures and institutional approvals, and submitting all materials by applicable deadlines.

NAF cannot accept incomplete or late applications due to technical difficulties, internet connectivity, incomplete registration or account setup, missing institutional approvals or signatures, or other last-minute submission issues within the applicant's or institution's control.

Technical questions regarding ProposalCentral should be directed to ProposalCentral support. NAF does not have access to applicant or institutional officer account views and cannot troubleshoot account-specific technical issues.

The listed applicant is responsible for preparing and submitting the application. Applicants may seek appropriate feedback from mentors, PIs, colleagues, and peers; however, all submitted content must represent the applicant's own scientific ideas, analysis, conclusions, and intellectual contributions. Applicants remain responsible for the accuracy, originality, integrity, and appropriate citation of all submitted materials, regardless of the tools or resources used in their preparation.

NAF may administratively reject an application that does not comply with applicable eligibility, submission, integrity, or other program requirements.

5. REVIEW, SELECTION, AND FUNDING DECISIONS

NAF uses a multistage, competitive peer-review process.

LOIs are evaluated for scientific merit, significance, relevance to ataxia, responsiveness to the selected funding mechanism, and alignment with NAF priorities. Depending on application volume and overall competitiveness, approximately the highest-scoring 30–50% of LOIs may be invited to submit full proposals.

Full proposals undergo competitive scientific review based on scientific merit, feasibility, potential impact, responsiveness to the applicable funding mechanism, and alignment with NAF's mission and research priorities.

Peer-review scores and recommendations inform funding decisions but do not create an entitlement to funding. Final funding recommendations may also reflect available resources, strategic priorities, portfolio considerations, and existing funding commitments.

Funding recommendations from NAF's Research Review Subcommittee are presented to NAF's Board of Directors for final approval.

NAF may make fewer awards than anticipated or determine that no award will be made under a funding mechanism.

6. AWARD TERM, ACCEPTANCE, AND INITIATION

NAF Grants are awarded for a project period of one (1) or two (2) years, depending on the applicable funding mechanism and as specified in the Award Agreement.

For purposes of an awarded Grant, the “Grantee” is the Institution receiving and administering the Grant. The “Institution” is the eligible university, college, hospital, research organization, nonprofit organization, company, or other legal entity that employs or formally appoints the PI, submits the Grant application, receives and administers the Grant funds, and assumes responsibility for compliance with the terms and conditions of the Grant. References to the “Grantee” and “Institution” refer to the same legal entity.

All NAF Grants are subject to NAF approval of the Grantee’s research and budget plans and confirmation that all required institutional, ethical, and regulatory approvals are current and maintained by the Grantee.

Following issuance of an Award Agreement, the Grantee must accept the award and satisfy all pre-award requirements by the deadline established by NAF. Failure to do so may result in withdrawal of the award at NAF’s sole discretion.

Grant payments are made by Automatic Clearinghouse (ACH) or international wire transfer in accordance with the Funding Letter and applicable payment schedule, subject to satisfactory, timely completion of all pre-award requirements and resolution of any outstanding PI or Grantee obligations to NAF. NAF may delay or withhold disbursement of Grant funds until outstanding obligations to NAF have been resolved to NAF’s satisfaction.

The Grant is awarded specifically to support the approved research of the named PI and may be used by the Institution only for that purpose. All Grants are made payable to the Institution.

NAF awards are made to support timely conduct of the approved research during the established project period. The Grantee shall initiate the approved research at the beginning of the project period and conduct the research during that period.

If the Grantee anticipates that the project cannot be initiated or substantially conducted as scheduled, it must notify NAF in writing within fifteen (15) days. Delays require NAF’s prior written approval.

Grantees may not defer or delay initiation or conduct of NAF-funded research solely to accommodate the timing, expenditure, or availability of other funding sources.

7. TERMINATION

NAF may terminate a Grant in accordance with the applicable Award Agreement.

Where the Award Agreement provides an opportunity to cure a breach, NAF may terminate the Grant after providing the required notice if the breach has not been cured to NAF's reasonable satisfaction within the applicable cure period.

Other circumstances addressed by these Policies or the Award Agreement—including PI withdrawal, unauthorized changes in status, duplication of funding, nonperformance, noncompliance, misuse of Grant funds, or failure to satisfy applicable award requirements—may result in modification, suspension, termination, repayment, or other action as permitted by the applicable terms.

8. AUTHORIZED COSTS AND BUDGET REQUIREMENTS

A detailed budget and budget justification must be submitted as required by NAF. Applicants and Grantees are responsible for ensuring that requested and incurred expenses comply with institutional policies, applicable mechanism-specific requirements, and these Policies.

Costs charged to an NAF Grant must be:

- **Reasonable:** Reflect what a prudent person would pay under similar circumstances.
- **Allocable:** Directly benefit the Grant or be proportionally assignable to it.
- **Consistent:** Be treated uniformly across similar projects within the organization.
- **Conformant:** Comply with NAF program requirements and Grant conditions.

NAF will determine the allowability of costs in accordance with these Policies and the circumstances of the Grant. Expenditures determined by NAF to be unallowable may be disallowed and, where appropriate, may require reimbursement to NAF.

8.1 Allowable Direct Research Expenses

NAF Grant funds may be used only for direct research expenses that can be specifically identified with the approved Grant and are necessary to achieve progress on approved research aims.

Allowable direct research expenses may include:

- laboratory reagents and consumable supplies;
- equipment essential to the project, not to exceed 20% of the total budget;
- animal purchase and care costs;
- publication and dissemination costs, not to exceed \$2,500 total;
- investigator registration and economy travel to scientific meetings or conferences and collaboration-related site visits, not to exceed \$2,000 total, provided the Grantee is presenting a poster or talk related to the active NAF Grant;
- patient-related expenses directly tied to the study and not reimbursed by third-party payers, including travel; and
- allowable direct salary and/or stipend costs, excluding fringe benefits, subject to Section 8.4.

8.2 Indirect Costs

NAF Grant funds may not be used to support indirect costs.

Indirect costs include expenses associated with the general infrastructure of the Institution or department supporting the research, including administrative support, building use, maintenance and operations, library fees, insurance, and depreciation.

Cost sharing is not permitted.

8.3 Other Unallowable Costs

In addition to indirect costs, NAF Grant funds may not be used for:

- fringe benefits;
- permanent or fixed equipment, such as sterilizers, casework, fume hoods, cold rooms, and glassware/washers;
- installation or maintenance of equipment;
- non-economy travel or incidental travel expenses;
- travel costs exceeding \$2,000 or travel unrelated to the Grantee's NAF-funded work;
- tuition;
- relocation costs;
- premiums for insurance of equipment and supplies;
- dues to organizations, federations, or societies;
- registration fees for scientific meetings unrelated to dissemination of NAF-funded research;
- general office supplies, books, journals, or office equipment;
- contingency funds or provisions;
- cost overruns;
- costs that duplicate support provided by another funding source; or

- cost sharing.

8.4 Salary and Stipend Guidelines

Any allowable personnel costs may not exceed the applicable National Institutes of Health (“NIH”) stipend level or salary cap corresponding to the individual’s position.

The applicable NIH stipend level or salary cap in effect at the time of award applies to all personnel included in the approved budget, regardless of institution type or country of origin.

Personnel costs charged to an NAF Grant must be prorated, as appropriate, to reflect actual effort devoted to the approved project. Total salary and/or stipend support from NAF and other funding sources may not exceed the applicable NIH stipend level or salary cap, as applicable. Salary support from all funding sources may not exceed 100% compensated effort.

Michael Lundquist Grant to Advance MSA-C Research, Research Seed Money Grant, Early Career Investigator Award, and Pioneer SCA3 Translational Research Award: Up to 50% of the Grant may be used to support personnel costs, including the PI and other designated personnel. Salary requests must be prorated based on effort and may not exceed the applicable NIH salary cap, adjusted proportionally to anticipated FTE during the Grant period. Trainee stipend requests must be consistent with the individual’s role and may not exceed the applicable NIH stipend level.

Postdoctoral Fellowship: Up to 100% of the Grant may be used to support personnel costs, including the fellow and other designated personnel. Salary requests must be prorated based on effort and may not exceed the applicable NIH salary cap, adjusted proportionally to anticipated FTE during the Grant period. Postdoctoral stipend support must be consistent with the fellow’s role and may not exceed the applicable NIH stipend level.

Graduate Research Fellowship and Pre-doctoral Fellowship to Promote Diversity in Ataxia Research: Up to 100% of the Grant may be used to support the fellow’s salary or stipend. Salary support must be consistent with the fellow’s level of effort and may not exceed the applicable NIH salary cap, adjusted proportionally to anticipated FTE during the Grant period. Stipend support may not exceed the applicable NIH pre-doctoral stipend level.

If allowable salary or stipend support from NAF must be reduced to remain within applicable limits, remaining NAF funds must be redirected to other allowable direct research expenses in accordance with NAF budget and cost requirements.

9. UNEXPENDED FUNDS AND NO-COST EXTENSIONS

9.1 Unexpended Funds

At the conclusion of the project period or upon termination of the Grant, all unexpended funds shall be returned to NAF within sixty (60) days.

Unused funds may not be retained or repurposed by the Grantee.

If project aims are completed before the end of the approved project period, as determined in consultation with NAF, any remaining funds not required to complete approved activities shall be returned to NAF within sixty (60) days.

9.2 No-Cost Extensions

NAF may consider a request for a No-Cost Extension ("NCE") of up to one (1) year beyond the original project end date when the reason for the request is compelling.

An NCE extends the project period and budget period solely to permit completion of approved Grant activities.

NCEs will not be approved solely to use unobligated balances, delay expenditure of funds, or align Grant spending with the timing or availability of other funding sources. An NCE does not authorize new activities beyond those consistent with the approved project.

NCE requests may be submitted only by the Lead PI or fellowship recipient named in the original Grant proposal and must be submitted through the process designated by NAF at least thirty (30) calendar days before the applicable project end date.

Submission of an NCE request does not guarantee approval. NCE requests are reviewed and approved at NAF's sole discretion.

Requests exceeding a total twelve (12)-month extension period or requests for a second NCE for the same project may require additional information or discussion before NAF will consider the request.

A Lead PI or fellowship recipient may not serve as Lead Investigator on a new NAF Annual Research Grant Program application during the period of an approved NCE.

All applicable reporting requirements continue during an approved NCE. NAF may establish revised project and reporting deadlines as a condition of approval. Failure to satisfy applicable reporting or other NCE requirements may affect continued approval of the extension or the Grantee's standing with NAF.

10. CHANGE IN STATUS

Continued use of Grant funds following a major change in the status of the PI or another material person involved in the project requires prior written authorization from NAF as provided below.

10.1 Withdrawal From Project

The Grant is awarded specifically to support the approved research of the named PI and may not be transferred or reassigned to another investigator except where expressly authorized by NAF.

If the PI withdraws from the project, the Grant shall terminate immediately. All unexpended and uncommitted funds shall be returned to NAF, accompanied by a report of expenditures, within sixty (60) days following withdrawal.

10.2 Leave of Absence

If a PI or Co-PI is unavailable to work on an approved project for less than ninety (90) days because of a life event such as parental leave, hospitalization, or family emergency, prior written notification is not required.

An absence of ninety (90) days or more is considered a prolonged absence.

Continued use of Grant funds or reassignment of project responsibilities during a prolonged absence requires NAF's prior written authorization. The PI must request authorization as soon as practicable and, whenever possible, at least forty-five (45) days before the anticipated start of the leave.

The request must provide sufficient information for NAF to evaluate the absence and its effect on the approved project, including anticipated duration, the plan for conducting the research during the absence, and information concerning any proposed substitute investigator, if applicable. NAF may request additional information.

If continued use of Grant funds during a prolonged absence is not authorized, the Grant will terminate and all unexpended funds must be returned to NAF, accompanied by a report of expenditures, within sixty (60) days.

10.3 Move to a New Institution

Continued use of Grant funds by a PI who changes institutions requires NAF's prior written authorization.

The Grantee must notify NAF and request authorization as soon as practicable and, whenever possible, at least ninety (90) days before the effective date of the institutional change.

The request must include information and documentation required by NAF, including the effective date of the change; information for the new institution and relevant contacts; confirmation of adequate facilities and institutional acceptance of the Grant; and required payment, banking, tax, and administrative documentation.

Upon approval, NAF will provide written transfer instructions. Unexpended funds held by the original Grantee must be returned to NAF with a final report of expenditures within thirty (30) days of transfer approval. Remaining approved Grant funds will be transferred to the new institution following receipt and verification of the required funds, expenditure information, and transfer documentation.

Existing project dates and deliverable deadlines remain in effect unless otherwise approved by NAF in writing.

If transfer is not authorized, the Grant will terminate and all unexpended funds must be returned to NAF, accompanied by a report of expenditures, within sixty (60) days.

11. BUDGET REVISIONS

If a proposed budget does not comply with NAF budget and cost requirements, NAF may require a pre-award budget revision before Grant funds are released.

All Grantee-initiated budget revisions require NAF's prior written approval. NAF may approve or deny budget revision requests at its sole discretion.

Requests must be submitted through the process designated by NAF and include sufficient information to evaluate the proposed revision and its effect on the approved project.

Budget revision requests will be accepted until the final ninety (90) days of the approved project period unless otherwise authorized by NAF.

12. SUBCONTRACTING

NAF Grants may include support for collaborative or multi-center research when such support is necessary to complete a portion of the approved project.

Only one Institution, through the Lead PI at that Institution, may submit the application and serve as the Grantee. The Grantee may subcontract approved portions of the work to qualified collaborators.

The Grantee remains responsible for administration and accounting of all Grant funds, including funds provided to collaborating investigators or institutions, and remains accountable to NAF for compliance with all applicable Grant requirements.

Subcontracted investigators are responsible for applicable institutional documentation and compliance requirements governing human participants, animal use, and other regulatory requirements.

All approved subcontracted costs must be appropriately documented and substantiated. Required expenditure reports must include applicable documentation and signatures from PIs at subcontracted institutions.

Subcontracted work remains subject to all applicable NAF Grant requirements and Policies.

13. AVAILABILITY, COMMUNICATION, AND DISSEMINATION OF RESEARCH RESULTS

To accelerate research and honor the contributions of research participants, NAF supports efforts to ensure that data, resources, results, and accomplishments generated through NAF-funded research are appropriately disseminated and made available to the research community and public, subject to appropriate protection of intellectual property, confidential information, participant privacy, and other applicable requirements.

13.1 NAF Grant Communications

NAF may publish information regarding funded Grants, including Grant title, lay summary, PI name, and Grantee Institution, through NAF communication channels without requiring additional authorization from the Grantee.

NAF may use information provided through required reports for stewardship, program evaluation, and communication of the impact of donor-supported research, consistent with these Policies.

NAF may contact Grantees to request additional information or permission for featured stories, interviews, or other communications.

13.2 Publication and Dissemination

NAF strongly encourages Grantees to actively disseminate research findings, share data, and publish original NAF-supported work in peer-reviewed scientific journals as soon as practicable.

Grantees shall provide NAF with copies of or links to publications and presentations resulting from NAF-supported research as part of applicable reporting.

NAF support shall be acknowledged in statements, press releases, conference proceedings, presentations, or publications describing research funded in whole or in part by NAF.

An acknowledgment may state:

“The research reported in this [publication/press release/presentation] was supported by the National Ataxia Foundation, grant [insert NAF Grant mechanism and year awarded].”

If a press release concerning NAF-supported research is planned, the Grantee shall notify NAF in advance to permit coordination and review before public distribution.

14. INVENTIONS AND REVENUE SHARING

14.1 Inventions

Grantees shall notify NAF in writing within sixty (60) days after becoming aware of any Invention arising, in whole or in part, from NAF-funded research.

For purposes of these Policies, “Invention” means any patentable or non-patentable invention or discovery created or further developed in connection with NAF-funded research.

The notification should describe the Invention, potential applications, and anticipated intellectual property strategy, including whether patent protection will be pursued.

Grantees retain the right to prepare, file, prosecute, and maintain patent or other intellectual property rights related to such Inventions at their own expense.

Grantees shall notify NAF of any patent issuance related to an NAF-supported Invention, including after termination or completion of the Grant.

As between NAF and the Grantee, the Grantee retains ownership of all rights, title, and interest in the Invention, subject to NAF’s rights under these Policies and the applicable Award Agreement.

14.2 Revenue Sharing

Grantees shall notify NAF in writing within sixty (60) days following any option agreement, licensing, sale, assignment, or other transfer of rights to an Invention.

The Grantee shall pay NAF ten percent (10%) of any Net Revenues received by the Grantee and/or PI, not to exceed three (3) times the amount of the Grant (“Payment

Cap”), within sixty (60) days following the close of any calendar year in which Net Revenues are received.

After payments to NAF equal the Payment Cap, no further revenue sharing is required.

For purposes of this Section, “Net Revenues” means the gross amount received by the Grantee with respect to an Invention, less unreimbursed patent costs and reasonable transaction costs incurred by the Grantee with respect to the Invention.

15. MONITORING AND REPORTING

The Grantee shall promptly notify NAF in writing of any material change, event, or circumstance that may significantly affect the conduct, scope, timeline, financial administration, regulatory compliance, or completion of the NAF-funded research.

NAF uses Grant reports to monitor scientific progress, document stewardship of charitable funds, evaluate program outcomes and impact, and ensure compliance with applicable Grant requirements.

Grantees are responsible for submitting all required interim, post-award, and longitudinal reports through the reporting process and according to deadlines designated by NAF.

Eligibility for future NAF funding and release of applicable Grant payments may be contingent upon satisfactory and timely completion of reporting requirements.

NAF may publish de-identified, aggregate information and statistics derived from Grant reports. Identifiable information or unpublished research results will not be publicly disclosed through such reporting without appropriate authorization from the Grantee, except as otherwise permitted under the Award Agreement.

15.1 Interim Reports

For Grants with an approved project period exceeding one (1) year, and for projects extended through an approved NCE, the Grantee shall submit applicable progress and interim reports according to the schedule established by NAF.

Continuation of multi-year funding may be contingent upon satisfactory progress, reporting, and continued compliance with applicable Grant requirements.

15.2 Post-Award Reports

Upon completion of the approved project period, the Grantee shall submit the post-award reports and deliverables designated by NAF.

Unless otherwise specified, post-award reporting is due within one hundred twenty (120) days following completion of the project period.

Required reporting may include:

- a Final Scientific Report;
- a Final Lay Summary Report;
- a Final Expenditure Financial Report;
- an Annual Grant Impact Report; and
- information concerning key findings, publications, research tools, subsequent funding, inventions and patents, translational outcomes, field-building or community outcomes, and final expenditures.

If a Grant is terminated before completion of the approved project period, the Grantee shall submit a final financial report and return all unexpended funds within sixty (60) days of termination. NAF may require additional final scientific or other reports, as applicable, within the timeframe specified by NAF in writing.

15.3 Longitudinal Reporting

To measure the longer-term outcomes and impact of NAF-funded research, Grantees shall submit Annual Grant Impact Reports annually for three (3) additional years following completion of applicable post-award reporting requirements, according to the schedule designated by NAF. In the event of early termination, NAF may require longitudinal reporting where appropriate based on the duration, activities, and outcomes of the funded research.

15.4 Financial Review and Right to Audit

Grantees must maintain accurate and complete records of Grant expenditures for at least three (3) years following termination or completion of the Grant.

NAF may review final financial reports and supporting documentation to determine whether expenditures comply with applicable Grant requirements. Expenditures determined to be unallowable may be disallowed and may require reimbursement to NAF.

NAF may audit Grant expenditure records during usual business hours upon reasonable prior notice.

16. INSTITUTIONAL, ETHICAL, AND REGULATORY APPROVALS

The Grantee is responsible for obtaining and maintaining all institutional, ethical, regulatory, and other approvals required to conduct the approved research.

Where applicable, this includes approval from an Institutional Review Board (“IRB”) or equivalent ethics committee for research involving human participants and an Institutional Animal Care and Use Committee (“IACUC”) or equivalent oversight body for research involving animals.

Documentation of required approvals must be provided to NAF upon reasonable request.

The Grantee must maintain required approvals throughout the applicable project period and promptly notify NAF of any suspension, lapse, withdrawal, or other material change affecting required approvals.

NAF does not assume responsibility for human participants, animals, or other regulated research activities involved in an NAF-funded project.

17. CONFLICTS AND ETHICAL STANDARDS OF CONDUCT

Applicants and Grantees are expected to conduct NAF-funded research in accordance with applicable professional, institutional, ethical, legal, and regulatory standards.

For an awarded Grant, the Grantee represents, to the best of its knowledge, that neither the Institution, the PI, nor personnel involved in the project are subject to a conflict of interest, finding of research misconduct, or other circumstance that would materially affect conduct of the project or compliance with applicable Grant requirements.

If such a circumstance arises during the project period, the Grantee shall notify NAF in writing within fifteen (15) days after becoming aware of the circumstance.

NAF will provide the Grantee an opportunity to respond and, where appropriate, work with the Grantee to resolve the matter. If the matter cannot be resolved to NAF’s reasonable satisfaction, NAF may take action in accordance with these Policies and the applicable Award Agreement.

18. POLICY INTERPRETATION AND APPLICABLE REQUIREMENTS

These Policies are intended to establish the general requirements governing NAF’s Annual Research Grant Program.

Applicants and Grantees remain responsible for complying with all additional requirements applicable to the selected funding mechanism or awarded Grant, including mechanism-specific instructions, application instructions, the approved proposal and budget, the Award Agreement and Funding Letter, and written modifications or approvals issued by NAF.

Mechanism-specific requirements supplement these general Policies and control where they establish a more specific eligibility, funding, or program requirement.

For an awarded Grant, the executed Award Agreement governs the contractual relationship between NAF and the Grantee. If an Award Agreement or subsequent written amendment expressly modifies a requirement of these Policies for a specific Grant, the terms of the executed Award Agreement or amendment control for that Grant.

Applicants and Grantees are encouraged to contact NAF Research staff with questions about eligibility, application requirements, or Grant administration. Questions should be submitted as early as practicable and sufficiently in advance of applicable deadlines to allow time for review and response. NAF cannot guarantee a response to questions received close to a deadline.

NAF may update administrative procedures, processes, systems, forms, submission methods, and other operational requirements used to administer the Annual Research Grant Program from time to time. Applicants and Grantees are responsible for following NAF's then-current administrative procedures and instructions, provided that such updates do not materially alter the substantive terms of an awarded Grant.

Interpretation or application of these Policies will ultimately be determined by NAF.