

## Institutional Approval Form

*The purpose of this form is to obtain acknowledgement of the signing institution's understanding of and agreement with CZI's requirements of grantees. This form is required to be reviewed and signed by an official authorized to sign on the applicant organization's behalf, agreeing to the requirements listed below, endorsing this application, and verifying that the information entered/uploaded into the grants portal is accurate. This signed form must be uploaded into the grant portal for the final application to be considered complete.*

*The policies listed below represent the values of CZI Science and give insight into the concepts that the future grant agreement will address, if the application is selected for an award. **These policies are non-negotiable** so this form should only be signed if the organization is able to comply with the terms as stated.*

Questions should be directed to [sciencegrants@chanzuckerberg.com](mailto:sciencegrants@chanzuckerberg.com).

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***Signature below indicates agreement to the following requirements, if grant is selected for funding. Applications selected through this application process will be recommended for funding through the Chan Zuckerberg Donor-Advised Fund (DAF) at the Silicon Valley Community Foundation (SVCF) or funded through the Chan Zuckerberg Initiative Foundation (CZIF):***

**Research Integrity:** CZI is committed to supporting research that is reproducible and valid and scientists who are truthful. CZI does not tolerate fabrication, falsification or plagiarism. In any case where there is reason to believe that a Principal Investigator or collaborator, chosen by the Grantee to complete a funded project, has committed research misconduct, we expect the Grantee to bear responsibility for conducting an initial inquiry and if required, a full investigation. CZI recognizes the need and duty to protect the identities of anyone who has been accused of misconduct pending investigation. However, we require that the Grantee institution notify us of the start and conclusion of all such investigations that involve our grants. We will hold such information in confidence, barring any legal obligation to disclose the information. For any case for which the Grantee's investigation determines that misconduct has indeed occurred, we require that the case be described in public (online), including the name(s) of any researchers held responsible or that CZI may publicly disclose such findings, including the name(s) of any researchers held responsible, without restriction. In addition, Grantee will make every reasonable effort to inform other parties affected directly or indirectly by the misconduct, including but not limited to journal editors, research collaborators and other funding agencies. CZI regards the National Institutes of Health Office of Research Integrity to have well defined procedures for inquiries, investigation and publication is described at <https://ori.hhs.gov>. The Grantee can follow their own standards for such inquiries, provided that the procedures include a public disclosure requirement.

**Ethical Conduct:** CZI advocates the highest standards for the ethical conduct of research. In addition to abiding by the related requirements of their own countries, Principal Investigators chosen by the Grantee to complete a funded project shall adopt procedures for the use of animals in research, for the ethical treatment of human subjects and

tissue donors, and for obtaining the written informed consent of all human subjects. CZI regards the policies of the National Institute of Health as a strong model for such procedures.

**Data Access:** CZI is committed to developing and using platforms that disseminate data openly and freely. In support of these goals, any datasets either curated or generated through the project shall be made publicly available and easily accessible online under an Open Definition-Conformant License (preferably CC0 or CC BY/CC BY SA for data that requires explicit attribution). That said, CZI understands the need for subsets of data to be protected or provided with controlled access. In these cases, where necessary, data must be handled in a controlled and proper way in agreement with national and international standards, including all privacy regulations (including without limitation Health Insurance Portability and Accountability Act of 1996 and the Health Information Technology for Economic Clinical Health Act). For projects related to the Human Cell Atlas, any raw data (e.g. sequencing, imaging, etc.) and metadata including both new measurements and newly curated existing datasets must be deposited into the Human Cell Atlas Data Coordination Platform (<https://www.humancellatlas.org/data-sharing>), through mechanisms and formats provided and specified by the platform developers and working groups. All software, formats and information related to the platform can be obtained through <https://github.com/HumanCellAtlas/>, and CZI staff will contact grantees with further information and instructions.

**Intellectual Property:** CZI promotes policies that enable technologies to have the broadest reach and impact. In support of that goal, intellectual property should be made freely available for all academic and noncommercial use. Specifically, funded work may result in the creation of software and other works of authorship (“Developed Software”) and may also result in other intellectual property, both non-software inventions and patentable inventions, as described further below:

**Developed Software:** To encourage sharing and reuse, code produced for new software and tools must be made available through open source licenses wherever possible. Specifically, we assume code used and developed for this project will include some combination of newly developed code (“Developed Code”), preexisting software or code that was previously developed by Grantee (“Pre-Existing Code”), and code licensed from a third party (“Third Party Code”). All Developed Code must be released under a permissive open-source license (MIT, BSD 2-Clause, BSD 3-Clause, or Apache v2.0). All Pre-Existing Code, including any derivatives, shall be licensed under the most permissive license possible given any existing licensing terms and conditions applied to the code. Grantees will ensure that they only use or incorporate Third Party Code into the funded project that allows for further distribution (e.g. is provided under such a permissive open-source licensing program), and Grantees will comply with the terms of the licensing program. To promote open collaboration, grantee shall ensure that all code is developed in the open using a code sharing site like GitHub from the start of the project in order to coordinate among grantees, engage the community, and facilitate outside contributions. We encourage Grantees to work collaboratively with CZI and the rest of the community to ensure that the full results of the project are made as widely available as possible.

**Non-Software Inventions (data):** All raw data (sequencing, imaging, etc.) and metadata must be deposited into a publicly accessible repository through mechanisms and formats specified by the data platform developers. CZI staff can answer questions about such data repositories and platforms.

**Patentable Inventions:** In some cases, commercialization of intellectual property rights in the form of patents provides the best route for the broadest availability and dissemination of technology arising from the Grant. Grantee’s policies and procedures for intellectual property management should be followed by Grantee, and in all cases, non-exclusive patent licensing shall be given preference over exclusive licensing. All patentable and non-patentable intellectual property must be made freely and openly available for all academic use and openly available for non-commercial use, including non-commercial research use by for-profit companies. Per the foregoing requirements that all intellectual property arising from this grant be made openly available for non-commercial use, CZI, by way of this Grant Agreement, shall be granted a non-commercial, royalty-free, perpetual and sublicensable license to all intellectual property arising from the Grant.

**Reagent Sharing:** Grantees must make all data and replicable materials available, in a timely manner, from the date of publication. We encourage the use of existing community repository where possible (e.g. Jackson Labs, the Drosophila Stock Center at Bloomington, the Developmental Studies Hybridoma Bank, Addgene). The requirement for sharing applies to clones, and to transgenic organisms and cell lines (including monoclonal antibodies).

**Publication:** CZI supports full publication and public availability of research findings without conditions or restrictions on academic and publication freedom. Grantee will submit all manuscripts for any publications that were funded in whole or in part by the Grant as preprints to bioRxiv, or a similar service for sharing preprints, before or upon first submission to a journal. Grantee will make experimental protocols publicly available through a protocol sharing service such as protocols.io (<https://protocols.io>). Grantees will notify CZI regarding all publications submitted or published as part of the annual report. We advocate and support open access, such as outlined in the 2012 San Francisco Declaration of Research Assessment (<http://www.ascb.org/dora/>). Costs associated with open access publication may be charged to this grant as direct costs. Acknowledgements of support will be included in publications referencing research sponsored under the Grant. We suggest you use the following wording: “This project has been made possible in part by grant number «GrantNumber» from the Chan Zuckerberg Initiative DAF, an advised fund of Silicon Valley Community Foundation (or the Chan Zuckerberg Initiative Foundation)”.

**Indirect Cost Rate:** Indirect costs are limited to 15% of direct costs. Indirect costs may not be assessed on capital equipment or subcontracts, but subcontractors may include up to 15% indirect costs of their direct costs.

**Special conditions for international grant recipients:** Grantee agrees that all grant funds will be used exclusively for activities conducted outside the United States of America. Grantee must contact CZI/SVCF before grant funds are expended if any grant funds are intended to be used within the United States of America, at which point CZI/SVCF will determine if tax withholding may be required under United States tax law, or whether any exceptions to withholding are available.

Grantee does not knowingly employ or have links to any entities or individuals known to support terrorism or to be in violation of US Sanctions. In addition, Grantee is prohibited from using the grant to make payments to officials for the purpose of obtaining or retaining business with, or directing business to, any company, organization, entity, or person, within the meaning of the Foreign Corrupt Practices Act. Additionally, Grantee affirms that the grant is not related to the funding, promotion or procurement of terrorism or banned activities or of any business interest on behalf of any third party including any known terrorists or Specially Designated Nationals and that the grant itself is solely limited to the stated purposes of the grant.

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**APPLICANT ORGANIZATION CERTIFICATION:** Executed by a person authorized to sign on behalf of the applicant organization.

*I certify that the statements herein are true, complete, and accurate to the best of my knowledge, and accept the obligation to comply with CZI requirements listed above if a grant is recommended for funding as a result of this application.*

Name:

Title:

Signature:

Date: