

# Smith Family Awards Program for Excellence in Biomedical Research

*A program of the Richard and Susan Smith Family Foundation*

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**\$300,000 awards at \$100,000 per year, inclusive of 5% overhead**

## **Application Guidelines**

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**Award Period:** December 1, 2011 – November 30, 2014

**Online Application Deadline:** Thursday, September 8, 2011 at 12:00 Noon, Eastern Time

Up to five three-year awards will be made to newly independent junior faculty in nonprofit academic, medical, and research institutions in Massachusetts as well as at Brown University and Yale University.

**All applicants must be internally selected by their institutions.** Any School or College within an academic institution in Massachusetts may each submit up to two applications. Each hospital or free standing biomedical research facility in Massachusetts may also submit two applications. Departments within a hospital or academic setting do not constitute a separate entity. Due to these limitations, the Application Face Sheet requires the signature of an Authorized Institutional Representative verifying that the selection has been made.

Two applications will also be accepted from Brown University and two applications from Yale University. These applications may be submitted from any academic department or school within Brown or Yale or one of their affiliated entities after going through these institutions' internal review process.

Research projects must be conducted at the site within the School/College or other entity that is submitting the application. Award funds will go to that entity. For example, if an applicant submits from Harvard Medical School, the research project must be conducted at Harvard Medical School and not at an affiliate location (such as Massachusetts General Hospital or Brigham and Women's Hospital).

### **Program Overview and Mission**

The Smith Family Awards Program for Excellence in Biomedical Research (formerly known as the Smith Family New Investigator Awards Program) was created in 1991 by the Richard and Susan Smith Family Foundation, a major funder in the Greater Boston community for over 40 years. The mission of the Awards Program is to launch the careers of newly independent biomedical researchers with the ultimate goal of achieving medical breakthroughs. Since 1992, the Program has funded 120 outstanding scientists and provided over \$20 million in research support.

The Smith Family Awards Program for Excellence in Biomedical Research is administered by The Medical Foundation, a division of *Health Resources in Action* (HRiA). HRiA is a nonprofit organization in Boston that advances public health and medical research.

### **Research Focus**

The three-year Award supports newly independent scientists engaged in basic biomedical research. Investigators in the physical sciences (physics, chemistry and engineering) whose projects focus on biomedical science are also encouraged to apply. Clinical research is beyond the scope of this Program.

In recognition of the importance of research collaboration by the scientific community, collaboration is an additional, but not required, positive ancillary factor. These projects may involve researchers within and/or outside the applicant's institution.

### **Eligibility Requirements**

United States citizenship or residency is not required.

Applications will be accepted from investigators who have completed no more than two years of their first **independent** faculty appointment as of July 1, 2011. Eligible candidates will have received this appointment on or between July 1, 2009 and December 1, 2011. Recognizing that position titles vary among institutions, the level of experience and independence of the applicant, as detailed in the Department or Division Chair's Letter and accompanying form, will be given serious consideration.

Applicants must be **full-time faculty** at a nonprofit academic, medical, or research institution in Massachusetts, at Brown University or at Yale University (or one of these two institutions' affiliates). They must have completed their postdoctoral training.

The applicant's **level of independence** is critical. The Department or Division Chair's letter must be very clear about the applicant's autonomy. Space, start-up package, and institutional commitment will be used in evaluating independence. Although it is expected that a national search will have been conducted for this position, candidates may have been promoted within their current institutions. If the candidate was promoted internally, the Chair's letter must clarify why a national search was not conducted.

**Institutional commitment** is also important. In addition to describing the applicant's qualifications, the Department or Division Chair must explain how the Award will enhance the applicant's research career. The Chair must also complete the "Applicant Independence / Institutional Commitment" Form.

### **Current, Pending and Post Award Funding**

The Smith Family Awards for Excellence in Biomedical Research are targeted towards investigators who currently have limited funding.

#### Concurrent Federal and Non-Federal Support

Concurrent federal and non-federal grant support is acceptable as long as the Applicant does not have more than a total of \$250,000 in annual direct costs each year over the three-year duration of the Smith Family Award from federal and non-federal grants **combined**.

However, Applicants are **ineligible** if they were previously or currently a Principal Investigator or Co-P.I. on an R01, P01, Pioneer Award, or New Innovator Award.

#### Pending Multi-Year Support

Applicants who have pending R01s or other large applications to the NIH and other agencies are encouraged to submit proposals to the Smith Family Foundation. If **notified on or prior to October 4, 2011** that the submission has been successful, the application to the Smith Family Program will be disqualified.

#### Pending Federal and Non-Federal Support

When applicants are **notified on or prior to October 4, 2011** that they have been successful in securing federal or non-federal grants with a combined total of \$250,000 in annual direct costs each year for the three-years, applications for the Smith Family Awards Program will be ineligible for review. **It is the responsibility of applicants to contact [GLockwood@hria.org](mailto:GLockwood@hria.org) as soon as they are notified of any new funding.**

#### Post Smith Award Support

Notification of funding **after** October 4, 2010 will not impact eligibility for a Smith Family Award. Selection as a Howard Hughes Medical Institute Investigator, at any time, may result in cancellation of the Smith Family Award.

#### **Award Selection Criteria**

The Scientific Review Committee uses the following criteria to evaluate applications. In the past, approximately 12% of submissions were funded.

- Project's scientific merit and the applicant's familiarity with the pertinent literature and the work of other investigators in his/her field of interest;
- Applicant's potential to carry out independent research and clear ability to develop a sound research plan;
- Objectives that are technically feasible and personnel who are qualified to carry out the proposed research; and
- Institutional commitment to the applicant.

#### **Notification to Applicants**

The online grant submission system will notify applicants once the upload is received. Final notification to Award Recipients will occur in mid-November 2011 by telephone followed by an emailed Award Notification and Award Agreement. Critiques of the grant applications are not provided to successful or unsuccessful applicants.

## **Acknowledgement of Support**

The Award Recipient and Institution are encouraged to announce receipt of this Award entitled, the **Smith Family Award for Excellence in Biomedical Research** and credit financial support to the **Richard and Susan Smith Family Foundation, Chestnut Hill, MA.**

## **Publications**

Publications or presentations resulting from research supported by this Award must also acknowledge support from the **Richard and Susan Smith Family Foundation, Chestnut Hill, MA.**

## **Terms of the Award**

Please download “Terms of the Award” from [www.tmfgrants.org/Smith](http://www.tmfgrants.org/Smith) for information regarding use of the grant funds, indirect costs, payment schedule, reporting schedule, and other Awardee and Institutional requirements.

**Frequently Asked Questions** may also be found at this site.

## **Application Instructions**

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### **DEADLINES**

**September 8, 2011 (12:00 Noon)      Online Submission**

**September 13, 2011 (12:00 Noon)      Hard Copy Materials to be received by The Medical Foundation division**

### **Online Submission**

The complete application process requires an online submission as well as three hard copies of the uploaded PDF with original signatures on one of the copies. The online version is due on **September 8, 2011 at 12:00 Noon, U.S. Eastern Time.** Before beginning the online submission, download and save the “Application Forms” which can be found at [www.tmfgrants.org/Smith](http://www.tmfgrants.org/Smith).

Use one of the following links to begin or continue the application process:

Begin a new application:                    [https://www.GrantRequest.com/SID\\_738?SA=SNA&FID=35022](https://www.GrantRequest.com/SID_738?SA=SNA&FID=35022)

Return to a saved application:           [https://www.GrantRequest.com/SID\\_738?SA=AM](https://www.GrantRequest.com/SID_738?SA=AM)

The following sections must be completed for the online submission:

1.      **Eligibility Quiz**
2.      **Application Data:** Applicant contact information, educational background and Tax ID of institution that will manage award funds

3. **Research Proposal Information:** Project title, key words, primary institution where proposed research will be conducted, scientific and non-technical project summaries
4. **Certification:** Applicant's initials to confirm accuracy of submitted information
5. **Attachments (Document Upload):** The documents and forms listed in items *i – xii* must be combined and converted into ONE PDF file in the order below for upload. This document must be named LastName, FirstName.pdf (for example, Jones, Bob.pdf).

- i.* **Application Face Sheet:** Signatures are required at the time of the upload. The Face Sheet is the first page of the application and all information must be typed.

The Application Face Sheet must be completed and signed by the Applicant as well as the Authorized Institutional Representative administratively responsible for research oversight. The contact information for the Institutional Officer to Receive Funds must also be included. (make sure to add email)

On or before **Tuesday, September 13, 2011 at 12:00 Noon, U.S. Eastern Time** (please note different date from online submission deadline), The Medical Foundation division must receive three stapled copies of the document that was uploaded with original signatures on the Face Sheet. Signatures on the recommendation letters may be scanned signatures.

- ii.* **Table of Contents:** Follow the Table of Contents and **number ALL pages** (including the reference letters). The Application Face Sheet is page number one.
- iii.* **Research Project Summary and Performance Sites:** Complete this form according to the instructions at the top of that page. This summary will be posted on our website if the project is funded (*maximum of 350 words*).
- iv.* **Non-Technical Project Summary:** Prepare a lay-language description of the proposed research that can be understood by the general public (*maximum of 250 words*).
- v.* **Budget Summary:** Complete this form for the three years of the project. For projects whose total costs exceed \$100,000 per year, list the other sources of support in the last row. Indirect costs (institutional overhead) may not exceed 5% of direct costs or \$4,762 per year. Total support from the Smith Family Foundation, including overhead, is \$100,000 per year for three years.
- vi.* **Applicant Biosketch** (*not to exceed 4 pages*): The NIH PHS 398/2590 (Rev. 06/09) Biographical Sketch form may be used. Include name, position title, education / training, personal statement, positions / honors and selected publications in chronological order. List publications in the following categories: a) peer-

reviewed articles, b) non peer-reviewed articles such as reviews and book chapters, and c) abstracts within the last two years. Citations should include all authors, year, title, journal, volume and inclusive pagination. The **Applicant's name** should be in caps or bolded in the list of authors.

- vii. **Current and Pending Support Form:** List ongoing and pending projects along with their overall goals and responsibilities of the Applicant. **Clearly describe any scientific or budgetary overlap.**
- viii. **Applicant Independence / Institutional Commitment Form:** The Department or Division Chair must complete this form and forward it to the applicant for upload with the Letter of Recommendation. This form must also comment on the Institution's level of support and long-term plans for the applicant's independent, professional development.
- ix. **Recommendation Letter from the Department or Division Chair** (*whose name is noted on the Application Face Sheet*).
- x. **Additional Recommendation Letter(s)** – Up to two additional recommendation letters may also be forwarded to the Applicant for upload. No more than two letters, in addition to the Chair, will be accepted.
- xi. **Letter(s) of Collaboration:** Letters confirming the availability of resources outside the Applicant's institution or letters confirming any significant collaboration may be included (forwarded to the Applicant for upload). These are not additional letters of recommendation and a C.V. should not be appended.
- xii. **Research Proposal:** A maximum of 10 pages is permitted, inclusive of a bibliography of references. Proposal sections include Specific Aims, Background and Significance, Preliminary Studies, Research Design and Methods, Potential Limitations and/or Pitfalls, Project Timeline, Future Direction of Laboratory over Next Five Years, and Literature Cited.

Include all figures, graphs, tables, images and bibliography of references related to the project in the 10 pages. For any projects involving collaboration, please include a brief description of these efforts within the 10 pages.

Use a typeface no smaller than this one as the font size shrinks when converted to PDF. Use single or double spacing within paragraphs and double spacing between paragraphs with one inch or larger margins on all four sides. Figures, legends and tables may use a smaller font size. The Applicant's full name should appear at the top of each page.

## **IMPORTANT:**

- On or before **Tuesday, September 13, 2011 at 12:00 Noon, U.S. Eastern Time** (please note different date from online deadline), The Medical Foundation division must receive three securely stapled copies of the document that was uploaded. One copy must contain the original signatures on the Application Face Sheet and Letters of Recommendation.
- Do not include “cover sheets” or transmittal letters.
- Do not package the hard copies in boxes – use only your own large envelopes or soft mailers supplied by the various delivery services.

### **Direct any Questions and Submit Hard Copies to:**

Gay Lockwood, Senior Program Officer  
The Medical Foundation, *a division of Health Resources in Action*  
Smith Family Awards Program for Excellence in Biomedical Research  
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