Robert E. Leet and Clara Guthrie Patterson Trust

Mentored Research Award
Clinical, Health Services and Policy Research
And
William O. Seery Clinical Investigator Award

Bank of America, N.A., Trustee

BANK OF AMERICA

Two-year Awards of $90,000 ($45,000 per year)

2021 – 2023 Grant Cycle

Online Application Deadline:
Tuesday, July 21, 2020
12:00 Noon, U.S. Eastern Time

Application Guidelines

Award Period
January 31, 2021 – January 30, 2023

Award Amount
Two-year Awards of $90,000 ($45,000 per year) for applicants working in Connecticut, New Jersey and Rhode Island.

Program Overview and Statement of Purpose
The Robert E. Leet and Clara Guthrie Patterson Trust was created in 1980 to support research "relating to human diseases, their causes and relief." As steward of the Patterson Trust, Bank of America Private Bank works with the Scientific Review Committee selected by The Medical Foundation, at Health Resources in Action, to decide upon the most qualified candidates. HRiA is a non-profit organization in Boston, MA that advances public health and medical research.

The primary goal of the Program is to support research that focuses on the causes of human disease and/or improving treatment. To achieve this goal the Patterson Trust supports mentored clinical investigators in the early stages of their research careers to promote the pursuit of academic research careers as successful independent investigators. The Program supports innovative research and pilot studies spanning a broad range of disciplines including

both patient-oriented clinical research[1] and translational laboratory research. Any cancer-related proposals submitted for consideration to the Patterson Program will also be eligible for consideration for the Seery Foundation Clinical Investigator Award.

Additional Support for Cancer-Related Research
William O. Seery Clinical Investigator Award
The William O. Seery Foundation, founded in 2010, has directed and authorized the Bank of America, Private Bank to support qualified charitable organizations devoted to its mission to "support research for the treatment and cure of cancer of all types." As steward of the Seery Foundation, Bank of America, Private Bank works with The Medical Foundation at Health Resources in Action in the selection of an award that addresses the Foundation's mission.

Proposals submitted to the Patterson Program which are focused on understanding cancer and improving its treatment will also be eligible to be considered for support from the **William O. Seery Foundation**. The amount and duration of the Seery Awards will be identical to those of the Patterson Trust. Proposals selected for support by the William O. Seery Foundation will be notified and provided Award documentation in accordance with the Seery Foundation's Terms of the Award.

Exclusions
- Basic science applications or those using animal models are not eligible.
- Prior recipients of Patterson Trust Awards are not eligible.

Eligibility Requirements
All applicants must meet the following requirements by the application due date:
- Work in a non-profit academic, medical or research institution in the states of Connecticut (CT), New Jersey (NJ) or Rhode Island (RI);
- Apply for the Award under the guidance of a Mentor or Division Chief who is an established investigator with an active research program. Mentors/Division Chiefs are expected to directly support the proposed research;
- Must have a doctoral degree (MD, MD/PhD, DMD, PhD, PharmD or equivalent); Degrees obtained outside the United States must be equivalent to these doctoral degrees;
- There are no institutional limitations on the number of applicants who may submit to this Program;
- United States citizenship is not required; Visa documentation is not required.

Note: For all Applicants with and without clinical responsibilities, if research was interrupted for family or medical leave or for other reasons (including COVID-19), these months are not considered part of the full-time employment experience.

The following specific Eligibility Requirements must be confirmed by the Mentor or Division Chief.

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[1] *As defined by the NIH, "Research that directly involves a particular person or group of people, or that uses materials from humans, such as their behavior or samples of their tissues".*

By the funding start date,

    Applicants with Clinical Responsibilities
- ➢ Must have protected time of at least 70% for research
- ➢ Must have completed clinical or research fellowship
- ➢ Maximum full-time employment since completion of training is five (5) years

**Note: During the COVD-19 Pandemic, Applicants with Clinical Responsibilities remain eligible if they typically have 70% protected time for research but had an increase in clinical responsibilities necessitated by the COVID-19 response that has reduced their protected research time.

    Applicants without Clinical Responsibilities
- ➢ Must commit at least 90% time to research
- ➢ Must have completed at least three (3) years and no more than six (6) years of postdoctoral research
  - ▪ **Postdoctoral research** is defined as employment, after receiving one's doctoral degree, as a postdoctoral fellow in a research laboratory or similar professional setting (e.g. biotechnology and pharmaceutical industries). All postdoctoral research experience completed domestically and abroad is counted.

Concurrent Funding

Applicants may concurrently hold a Career Development Award or be in the R00 phase of a K99/R00. Applicants are ineligible if they are currently or have previously been designated as Principal Investigator or Co-PI on an R01, P01, Pioneer Award, New Innovator Award, Early Independence Award or similar large, multi-year awards from other federal agencies or national foundations.

Applicants who have pending R01s or other large independent investigator applications to the NIH and other funders are encouraged to submit proposals to the Patterson Trust. If notified on or prior to **October 31, 2020** that they have been successful in securing such funding, applications to the Program will be withdrawn. **It is the responsibility of applicants to contact Program Staff as soon as they are notified of any new funding**.

Review Criteria
- ▪ Project will advance knowledge relating to human diseases, their causes and relief;
- ▪ Applicant's demonstrated competency and potential for a career in clinical research;
- ▪ Strength of the Mentor's/Division Chief's Letter of Support;
- ▪ Qualifications of the Mentor/Division Chief and the degree of commitment to support the Applicant during the research period;
- ▪ Strength of additional Letters of Recommendation;
- ▪ Research hypothesis is novel and important;
- ▪ Proposal reviews the relevant literature;
- ▪ Objectives are well conceived and realistic;
- ▪ Research methodology, data collection, and analytical plan are feasible and appropriate to the proposal's aims;
- ▪ Realistic timeline (including IRB approval, if needed) prior to funding start date;
- ▪ Project will contribute to the professional training and growth of the Applicant.

Notification to Applicants

The online grant system will notify applicants once the upload is received. Notification of Award funding will occur by November 2020. If available, critiques of the grant applications will be provided. Applicant ranking in the review process will not be provided.

Historical Statistics	2017 Jan	2017 Oct	2019 Feb	2020 Jan
# of Submissions	29	20	24	27
# of Award Recipients	**8** Patterson **1** Seery	**9** Patterson **1** Seery	**12** Patterson **1** Seery	**7** Patterson **1** Seery

Terms of the Award

Please visit www.hria.org/tmf/Patterson for the "Terms of the Award" for both the Patterson and Seery Awards for details regarding use of the Award funds, reporting schedule, and other Awardee and institutional requirements.

Frequently Asked Questions may also be found at this site.

Continue to the following page for Application Submission Instructions

Application Instructions for Patterson Award

Deadline: July 21, 2020 at 12:00 Noon, U.S. Eastern Time

Create an Account or login: Account provides access to Save, Submit or Share your application

Begin a New application: https://www.GrantRequest.com/SID_738?SA=SNA&FID=35066
Return to a Saved application: https://www.GrantRequest.com/SID_738?SA=AM
Download the **Application Forms:** www.hria.org/tmf/Patterson

Sharing/Transferring your application with your Institutional Contacts

o   The Applicant is considered the "Owner" of this request. The Applicant/Owner share the application with their Institutional Contacts, such as OSP and Finance, by "transferring ownership" temporarily to complete the online form
o   Transfer takes place on the applicant's account page
    https://www.GrantRequest.com/SID_738?SA=AM
o   All contacts must have an Account to share applications
o   New users will Create an Account with their own email and password
o   Use the icons under the **Action** heading to transfer ownership

The following sections must be completed within the online application form:
☐   **Enter Tax Identification Number:** Applicants must enter the tax identification number of the nonprofit Institution or Organization overseeing the project.

☐   **Eligibility Quiz**: Applicants must confirm that they meet the eligibility requirements as stated in the Guidelines.

☐   **Applicant Data:** This includes Applicant Institution, Contact Information, Demographic and Educational background information, ORCID identification number (if available).

☐   **Project**: Project Title, Keywords, Project Summary, Non-technical Summary and Experimental System(s), Key Tools and Techniques Utilized

☐   **Mentor/Division Chief Information**

☐   **Request 3 Confidential Letters of Recommendation**: Using the **online request system,** request letters of recommendation from your Mentor or Division Chair, your Thesis Advisor (*PhD Scientists*), Residency or Fellowship Director (*Physician Scientists*) and a third recommender of your choice.
    Please Note: It is the responsibility of the Applicant to obtain these three (3) letters prior to the Application Deadline. Members of the Review Committees give considerable weight to these letters. Please notify your Recommenders early in the application process to allow them sufficient time to prepare your letter. It is advisable that you begin an online application immediately, enter the names and emails of your Mentor/Division Chair and two recommenders and then send each the email request from the online system. Please confirm with your recommenders that they have received your request. For additional instruction regarding the monitoring and upload of letters, please see the last page of this document.

☐ **Attachment**: One PDF document is required for upload

Attachment (Document Upload): The documents and forms listed below must be combined and converted into ONE PDF file for upload **with the exception of the THREE required confidential** letters of recommendation.

This document must be named LastName, FirstName.pdf (for example: Smith, Jane.pdf).

The required **Application Forms** can be found in a separate MS Word document located at www.hria.org/tmf/Patterson. Include all items in the following order:

1. **Application Face Sheet:** The Face Sheet is page 1 of the upload. The Face Sheet must be completed, and the contents of the application confirmed by the Applicant, Mentor/Division Chief, and the Office of Sponsored Programs or the Institutional Officer administratively responsible for research oversight.

   The acknowledgement of the Applicant and Mentor/Division Chief on the Face Sheet will confirm responsibility for obtaining any required human subjects (IRB) and other institutional approvals. In addition, the Mentor's/Division Chief's and Institutional Officer's acknowledgement will confirm that all eligibility requirements have been met. Endorsement by the Institutional Officer also confirms that the Institution will commit to appropriate oversight if the project is funded.

2. **Table of Contents:** Follow the Table of Contents and number all pages.

3. **Research Project Summary and Performance Sites:** Complete the 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 300 words)*.

4. **Non-Technical Summary:** Prepare a lay-language description of the proposed research that can be understood by the general public *(maximum of 350 words)*.

5. **Budget Forms (D & E)**: Complete Form D (Budget Template) for years One and Two of the Award. A Budget Summary and Budget Justification must also be supplied on this form. Indirect costs are not allowed.

   All applicants must demonstrate sufficient salary support to protect 70% time (with clinical responsibilities) or 90% time (without clinical responsibilities) for research. Patterson Trust Award funds may be used for salary support, research supplies and certain ancillary costs specific to the Applicant's project. Equipment purchase may not exceed $2,000 (see "Terms of the Award").

   Form E (Other Support)
   - PI/Applicant should list all active and pending support, addressing potential overlap for each at the level of the specific aims with the submission.

- Other Support includes all financial resources, whether Federal, non-Federal, commercial or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.
- Effort devoted to projects must be measured using person months. Indicate calendar, academic, and/or summer months associated with each project.
- If applicable, please also provide grant overlap for co-investigator's/key personnel.

6. **Applicant's Biosketch**: Use the current NIH Biographical Sketch form. We recommend using SciENcv software to generate the biosketch (http://www.ncbi.nlm.nih.gov/sciencv/).

7. **Mentor's or Division Chief's Biosketch**: Use the current NIH Biographical Sketch form and forward this document to the Applicant for inclusion in her/his document upload.

8. **Research Proposal** *(maximum of 6 pages, not including Human Subjects Section or Resubmission Summary (if applicable) and References)*: Research Proposal Format: Format this section in Arial 11. Use single or double line spacing within paragraphs, double line spacing between paragraphs, and one inch or larger margins on all four sides. Any figures, graphs, tables or images may use a font size of 8. Appendices are not permitted. Include the Applicant's name at the top of each page.

   Prior Applicants: If submitting a proposal previously submitted in a prior cycle on the same topic, provide a summary of changes from the original application. Place this information *(maximum of one page)* as the first item in the Research Proposal section prior to the Specific Aims. This page is not counted in the 6-page proposal limit.

   - Specific Aims
   - Background
   - Preliminary Data *(if available)*
   - Research Design, Experimental Methods and Analytical Plan
   - Limitations and Contingencies
   - Expected Outcomes and Future Directions
   - Project Timeline
   - Human Subject *(if applicable)*
   - Bibliography
   - Any figures, graphs, tables, and images must be included within the six pages

   Research involving **Human Subjects** must include the possible risks of the study as well as steps planned to protect patient safety. Justification of the sample size and a power calculation must also be included.

9. **Letters of Collaboration** *(if applicable):* Collaboration letters must be forwarded to the Applicant for inclusion in the uploaded document. These are brief letters (up to one page) addressing the nature of the collaboration and the role of the Collaborator. Do not include the Collaborator's C.V.

10. **Mentor's or Division Chief's Letter of Recommendation** *(maximum of four pages and submitted confidentially through the online application system)*:

    The Mentor or Division Chief must have an active research program within the institution where the Applicant is conducting the proposed research.
    - Describe Applicant's qualifications *(scientific background/training; research ability/potential; self-reliance/independence; critical thinking skills)*
    - Provide a **clear mentorship plan** stating support that the Applicant will receive to further develop his/her scientific career and promote his/her independence
    - Include a brief description of the research facilities and equipment available to the Applicant for the completion of the proposed project
    - Publication and publication history will be used as criteria to judge the productivity of the Applicant. Please comment on the Applicant's publication history and include an explanation if the Applicant has limited or no publications.

11. **Two Additional Letters of Recommendation** *(maximum of two pages per letter and submitted confidentially through the online application system)*:
    Recommenders should describe their association with the Applicant and comment on the following:
    - Applicant's scientific background and training;
    - Research ability and potential;
    - Self-reliance and independence;
    - Critical thinking skills.

    For PhD Scientists: one of the two letters must be from the Thesis Advisor. If that person is unable to provide a letter, the Applicant must include an explanation as to why in the Research Proposal section of the application.

    For Physician Scientists: one of the two letters must be from the Residency or Fellowship Director. If that person is unable to provide a letter, the Applicant must include an explanation as to why in the Research Proposal section of the application.

IMPORTANT: It is the Applicant's responsibility to monitor the status of the online recommendations prior to the application deadline. Applicants will not be able to complete the application process if the letters are not submitted.

If you experience any issues or your **Recommenders** do not see the email from the online system or have had difficulty uploading the letters, review the troubleshooting steps below as a first step. We are available to ensure the timely submission of your application. **Please feel free to contact us with any concerns at grants@hria.org.**

Troubleshooting steps
1) Recommender should check their Spam or Junk Folder for the email link
2) Remove and re-add Recommender email to generate new link
3) Return to your Account link to see that letters have been uploaded and you are ready to submit: https://www.grantrequest.com/SID_738?SA=AM
4) White list the system email - Mail@grantapplication.com - to prevent the email from looking like Spam or Junk mail.

5) Helpful link regarding white listing:
   http://email.about.com/od/outlooktips/qt/et092904.htm

Please contact Program Staff with any questions or concerns. Late submissions will be rejected.

Direct any Questions to Program Staff:
grants@hria.org and/or
Jeanne Brown, Director, Grantmaking
The Medical Foundation at HRiA
2 Boylston Street, 4th Floor
Boston, MA 02116
jbrown@hria.org / 617-279-2255

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Requesting Confidential Letters of Recommendation

THREE confidential letters
1) your Mentor or Division Chair
2) your Thesis Advisor (*PhD Scientists*), Residency or Fellowship Director (*Physician Scientists*)
3) your choice of an additional Recommender

- ☐ Applicant sends email via the online application system to each Recommender
- ☐ The Recommenders must use the link provided in the email request to upload the confidential letters
- ☐ Recommenders provide official letters recommendation
- ☐ Application is ready of submission

Instructions for Sending an Email Request to each Recommender:
- On the "Recommenders" page of your application, input the names and emails of the three Recommenders.
- Check the "Write and Send Email" box for the specific individual you are contacting. (**Note**: the form default is to have all of the "Send Email" boxes checked so make sure you uncheck the others until you are ready to draft each individual message).
- Click on the "Send" button.
- This will bring you to the "Notify Selected Recommenders" page. Customize the subject line and draft your email message for each Recommender asking for comment on the required attributes for the program.
- Click on the "Email and Send" button again. This will send the email to your selected Recommender. Included in the sent email is an automatically generated link that will allow him/her to upload their confidential letter.
- After sending your email, you will be redirected back to the "Recommenders" page.

Additional Instructions:
- Notify your Recommenders to expect the email request from you. If they do not receive the email(s) within the same day as the request, they should check their Junk Mail folders.
- The Recommenders must use the link provided in the email request and <u>log in using the email address to which your request was sent</u>.
- The letter of support must be in PDF format on institutional letterhead. Letters must <u>not</u> be password protected.
- When the Recommenders submit their letters, they will become part of your application. You may log into your My Account page (https://www.grantrequest.com/SID_738/?SA=AM) to view the status of these letters. The files will appear on this page, but you will not be able to open or read them.
- If any Recommender is unable to find the email with the link or if you want to change the Recommender, use the My Account page to access your application, remove that request, and restart the process.