Smith Family Awards Program for Excellence in Biomedical Research
A program of the Richard and Susan Smith Family Foundation

$300,000 Awards over three years ($100,000 per year), inclusive of 5% overhead
Only two applications per institution will be accepted.

Application Guidelines

Award Period: December 1, 2019 – November 30, 2022

Online Application Deadline: Friday, August 2, 2019 at 12:00 PM, Eastern Time

Up to five $300,000 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 nonprofit 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 requires the approval 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 Boston Children's Hospital).

The Medical Foundation fully supports ethnic and gender parity throughout its grants programs and applications from women scientists are particularly encouraged.

Program Overview and Mission
The Smith Family Foundation is committed to effecting permanent positive change in the lives of the residents of Greater Boston, particularly individuals and families in economically disadvantaged communities. In the area of health, the Foundation supports the advancement of biomedical research and the expansion of access to high-quality health care at safety net institutions serving low-income individuals and communities of Greater Boston.

The Smith Family Awards Program for Excellence in Biomedical Research was created in 1991 to launch the careers of newly independent biomedical researchers with the ultimate goal of achieving medical breakthroughs. Since 1992, the Program has funded 169 outstanding scientists and has provided $34.7 million in research support.

The Smith Family Awards Program for Excellence in Biomedical Research is managed by The Medical Foundation at 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 faculty 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 within 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 is not required.

Applications will be accepted from <u>full-time faculty</u> who have received or will receive their first **independent** faculty appointment on or between July 1, 2017 and December 1, 2019.

For the purpose of this Award, the first independent faculty appointment is the first faculty appointment after completing either postdoctoral fellowship training (for PhDs) or an ACGME-certified subspecialty training program, or equivalent (for MDs and MD, PhDs).

If an Applicant has been on medical or family leave, or if research was interrupted for other reasons, this period of absence does not count towards eligibility. <u>Please address any gaps in work history in the Personal Statement on the Biosketch</u>. The Department or Division Chair's letter must also confirm the leave of absence as well as applicant eligibility.

All applicants must have completed their postdoctoral training by the funding start date of December 1, 2019.

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 Applicant was promoted internally, the Chair 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 institution will contribute to the Applicant's research career.

Current, Pending and Post Award Funding

Concurrent Federal and Non-Federal Support

Applicants are ineligible if, at the time of application, they have combined federal and non-federal funding totaling $500,000 or more in direct costs in either of the first two years (12/1/19 - 11/30/20 or 12/1/20 - 11/30/21) of the three-year Smith Award. This figure refers to external funding only and not an Applicant's start-up package, other intramural support or the Smith Award.

Applicants are also ineligible if they were previously or are currently a Principal Investigator or Co-P.I. on an R01, P01, Pioneer Award, New Innovator Award or similar large awards from other federal agencies or national foundations.

Pending Federal and Non-Federal 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 9/1/2019** that they have been successful in securing federal or non-federal grant support which, when combined with other support, totals $500,000 or more in direct costs in either of the first two years of the Smith Award, applications to the Program will be ineligible for review. Notification of funding **after** 9/1/19 will not impact eligibility for a Smith Family Award. **It is the responsibility of all applicants to contact LPhelan@hria.org as soon as any new funding is received.**

Award Selection Criteria

The Scientific Review Committee uses the following criteria to evaluate applications.

- A clearly stated hypothesis, based on sound precedents and supported by relevant literature
- Objectives that are technically feasible and personnel who are qualified to carry out the proposed research
- Project's scientific merit and the applicant's familiarity with the pertinent literature and the work of other investigators in his/her field of study
- Applicant's potential to carry out independent research and clear ability to develop a sound research plan
- Applicant's level of independence and Institutional commitment to her/him

Typically, up to 10% of submissions are funded.

Notification to Applicants

The online application system will notify applicants once the application is received. Final notification to Award Recipients will occur in November followed by an emailed Award Notification and Award Agreement. Unsuccessful applicants will also be notified at that time.

PLEASE NOTE: If the Applicant is unable to accept the Award, the Award will not be transferred to another investigator involved in the research project.

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, Newton, MA.**

Publications

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

Terms of the Award

Please download "Terms of the Award" from https://hria.org/tmf/Smith for information regarding use of the Award funds, indirect costs, payment schedule, reporting schedule, and other Awardee and Institutional requirements.

A listing of prior **Award Recipients** and their research summaries as well as **Frequently Asked Questions** may also be found at this site.

Application Instructions

Please note that a mailed hard copy is no longer required for submission.

APPLICATION DEADLINE
August 2, 2019 *(12:00 PM, U.S. Eastern Time)*

Before beginning the online submission, **download and save the "Excellence Application Forms", "Excellence Template F", and "Excellence Template G", which can be found at https://hria.org/tmf/Smith.**

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

Start a New Application: https://www.GrantRequest.com/SID_738?SA=SNA&FID=35022
Continue a Saved Application: https://www.GrantRequest.com/SID_738?SA=AM

The following sections must be completed for the online submission:

1. **Institution's Tax ID Number**

2. **Eligibility Quiz**

3. **Application Data**: Institution where proposed research will be conducted, Applicant's contact information and educational background

4. **Research Project Information**: Project title, key words, research project summary, and non-technical project summary

5. **Institutional Contact Information:** The following process will replace the need for signatures on the Face Sheet.

   Applicant Steps

       i.   Enter Department or Division Chair information
       ii.   Transfer this page to the Authorized Institutional Representative for completion
           i.   To transfer the page, click "Save and Finish Later" at the bottom of the screen, which will return you to your Application status page
           ii.   From there, you must click the button indicated in the photo below:

• Davis Foundation Awards Programs • King Trust Fellowship Programs • Smith Family Foundation Awards Program
• Falk Trust Awards Programs • LE&RN Fellowship Programs • Taub Foundation Awards Program
• Hood Foundation Awards Programs • Noonan Memorial Research Fund • Thome Foundation Awards Programs
• Jeffress Trust Awards Program • Patterson Trust Awards Program

Account: lphelan@hria.org | Change E-mail/Password   Contact Us | Logout
Last Log in: 5/24/2018 1:12 PM GMT-04:00

Applications

Show In Progress Applications ▼

☐ Hide Viewer Only Applications

Application Name	Project Title	Requested	ID	Last Updated	My Role	Action
Smith Family Awards Program for Excellence in Biomedical Research	fdasf	300,000	59075	5/24/2018	Owner	👥 🔧 🗑 💬

iii.   Enter the name and email address of the Authorized Institutional Representative, and click "Transfer" to send the email request

Authorized Institutional Representative Steps

i.   Upon receipt of the system email, click the link, and create an account to log in or log in with existing credentials

ii.   From the Application status page, click on the red check mark to accept the transfer (see photo below)

Applications

Show In Progress Applications ▼

☐ Hide Viewer Only Applications

✓ Accept All Transfers   ✗ Decline All Transfers

Application Name	Project Title	Requested	ID	Last Updated	My Role	Action
Smith Family Awards Program for Excellence in Biomedical Research	fdasf	300,000	59075	5/24/2018	Viewer (Pending Transfer)	✓ ✗ 💬

iii.   Click "yes" when prompted, then select the appropriate Application Name. You will be transferred to the Institutional Contact Information page to complete your section. You should also complete the section titled "Institutional Officer to Receive Funds".

iv.   Select "Save and Finish Later" to return to the Applicant status page

v.   Click the transfer of ownership button (first photo above)

vi.   Enter the applicant's name and email address to transfer the application back to the applicant

<u>Applicant Steps</u>

    i.   Upon receipt of the system email, click the link, and log in with existing credentials

    ii.   Click on the red check mark to accept the transfer (see second photo above)

    iii.   Click "yes" when prompted, then select the appropriate Application Name to resume your application.

Please note: The statements contained in the application must be certified by the Applicant as well as by the Institutional Contact administratively responsible for the conduct of the project. The certification by the Institutional Contact on the application will confirm that the proposal has been reviewed and has been approved for submission to the Program. Further, the Applicant's certification will confirm responsibility for obtaining animal use, human subjects and/or other required institutional approvals.

6. **Letter of Recommendation Instructions**: Follow the online instructions, as well as pages 8-10 of this document, when obtaining your confidential letters of recommendation.

7. **Recommenders**: Follow the online instructions, as well as pages 8-10 of this document, when obtaining your confidential letters of recommendation.

8. **Attachment (Document Upload)**: The following documents and forms listed in items A-I must be combined and converted into ONE PDF file, in the order noted, for upload. This document must be named LastName, FirstName.pdf (for example, Doe, Jane.pdf). Make sure all pages are numbered sequentially starting with the Face Sheet as Page #1.

Document Upload

A. **Application Face Sheet**: The Application Face Sheet must be completed (<u>type all information</u>). The Face Sheet is the first page of the Document Upload.

B. **Table of Contents**: Follow the Table of Contents and **number ALL pages consecutively**. The Table of Contents is page 2 of the Document Upload.

C. **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 300 words*).

D. **Applicant Biosketch**: Use the latest NIH Biographical Sketch form and include all pending support *(*https://grants.nih.gov/grants/forms/biosketch.htm*)*. Make sure that all active and pending support matches the support listed on the "Current and Pending Support" Form (Template G).

E. **Applicant Independence / Institutional Commitment Form**: The Department or Division Chair must complete this form, sign at the bottom, and <u>forward to the Applicant for upload</u>.

F. **Budget, Budget Summary, and Budget Justification (Template F)**: 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.

G. **Current and Pending Grant Support (Template G)**: Use a separate form for each active or pending grant. If the grant is pending, include the date of notification. **If the Smith Applicant is the PI on any current or pending grant, the total grant amount** *(direct costs only)* **must be included when calculating "Total active grants" and "Total pending grants." If the Smith applicant is not the PI, include only those direct costs allocated to the Applicant's research**. Do not include a start-up package, other intramural support or the Smith Award. Clearly describe any scientific or budgetary overlap with the proposed Smith project and outline a plan to avoid duplication of funding.

H. **Research Proposal**: A maximum of 9 pages is permitted, **inclusive of a bibliography of references**. Proposal sections include Specific Aims, Background and Significance, Preliminary Data *(if available)*, Research Design and Methods, Potential Limitations, Project Timeline, Future Direction of Laboratory over Next Five Years, and Bibliography.

Include all figures, graphs, tables, images and bibliography of references related to the project in the 9 pages. For any projects involving collaboration, please include a brief description of these efforts within the 9 pages.

Format this section with **Arial 11** as the font and size. Use single or double line spacing within paragraphs, double line spacing between paragraphs, and one inch or larger margins on all four sides. Figures, legends and tables may use a font size of 8. Include the Applicant's name at the top of each page.

I. **Letter(s) of Collaboration / Confirmation of Outside Resources**: *(forwarded to the Applicant for inclusion in the document upload)*

Collaborations are not required but are encouraged. If the Applicant has collaborators, letters of collaboration must be forwarded to the Applicant for inclusion in the document upload. These letters must confirm the availability of resources outside the Applicant's institution and confirm any significant collaborative relationship, either within or outside the Applicant's institution. These are brief letters (up to one page) addressing the collaboration.

Letters of Recommendation

1. ***Recommendation Letter from the Department or Division Chair** - *The Chair will receive a request for a Letter of Support through the online application system. Please submit this confidential letter on institutional letterhead and address the following:*
    a. Confirmation of Applicant's faculty appointment, date training was completed, any leaves of absence, and research independence
       i. For the purpose of this Award, the first independent faculty appointment is the first faculty appointment after completing either postdoctoral fellowship training (for PhDs)

or an ACGME-certified subspecialty training program, or equivalent (for MDs and MD, PhDs).

    b. Applicant's qualifications to conduct the proposed research and potential to carry out independent research

    c. Any comments regarding strength of Applicant's research project and/or academic accomplishments

2. ***Recommendation Letter from Postdoctoral Mentor or Residency Director**

3. ***Optional Recommendation Letter**: One additional recommendation letter may also be submitted. No more than three letters in total will be accepted.

Late letters will not be accepted.

***<u>Submitted confidentially through online system (not included in document upload)</u>**

Letters of Recommendation Upload

TWO confidential letters are required with an optional third, all of which must be submitted through the online system. They must be from 1) your Department Chair and 2) your Postdoctoral Mentor *(PhD Applicants)*, Residency or Fellowship Director *(MD Applicants)*. The third letter is optional and your choice.

The Department Chair may refer to the "Applicant Independence / Institutional Commitment" form for specific content for their Letter.

The Applicant must send an email request via the online system and each Recommender must use the website link provided in the email to upload their letter of recommendation. <u>It is critical that you contact your Recommenders early in the application process to allow them sufficient time to prepare and upload their letters</u>.

Instructions for Sending an Email Request to each Recommender:
- On the "Recommenders" page, input the names and emails of the two or three Recommenders.
- Check the "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 that person's message).
- Click on the "Send" button.
- This will bring you to the "Notify Selected Recommenders" page. Here, you will customize the subject line and email message for each individual contact.
- Draft your email. **Be sure to include a sentence informing your Recommender of what email address he/she should use to log into the system, in case of email forwarding. For example, if your Recommender's email address is john.doe@gmail.com, then include a sentence such as "Please log into the system using your email address: john.doe@gmail.com."**
- Click on the "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.

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. Late submissions will be rejected.

Additional Information:
- 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 with the email address that the request was sent to</u>.
- The letter of support must be in PDF format on institutional letterhead. Letters must not 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.
- Paper copies of the letters of recommendation will not be accepted.