

Harold S. Geneen Charitable Trust Awards Program  
for Coronary Heart Disease Research  
2019 Grant Cycle

**Application Submission Instructions and Terms for Invited Institutions**

**INTENT TO APPLY DEADLINE:** Wednesday, June 5, 2019 at 2:00 P.M., Eastern Time

**APPLICATION DEADLINE:** Monday, July 15, 2019 at 12:00 P.M., Eastern Time

**FUNDING START/END DATE:** December 31, 2019 – December 30, 2021

**AWARD:** \$300,000 distributed over two years (inclusive of 10% indirect costs)  
Year 1: \$150,000 Year 2: \$150,000

**Program Focus and Overview**

The Harold S. Geneen Charitable Trust Awards Program for Coronary Heart Disease Research supports research in the area of the prevention of coronary heart disease or circulatory failure, and improving care for patients with these medical conditions. The Program focuses on basic and translational scientific research. Clinical studies are currently ineligible.

In accordance with Mr. Geneen’s directives the Program seeks to establish “...a more direct and personalized relationship with grant recipients than is normally possible in dealing with the diffuse and bureaucratic administrations through which large organizations are managed,...and to support smaller institutions rather than major universities or medical complexes which have a demonstrated capacity to raise funds from the public generally.” Thus, eligible institutions represent mid-size institutions conducting relevant and innovative cardiovascular research.

**Each invited institution may only submit one application to the Program** which meets the eligibility requirements for the 2019 Grant Cycle. Applicants must be full-time faculty at an invited nonprofit academic, medical, or research institution. United States citizenship is not required. Junior faculty are encouraged to apply.

As Co-Trustee, U.S. Trust has retained The Medical Foundation at Health Resources in Action (HRiA) to manage the administrative aspects of the Harold S. Geneen Charitable Trust Awards Program for Coronary Heart Disease Research. The Medical Foundation, at **Health Resources in Action** (HRiA) is a Boston-based nonprofit organization that advances public health and medical research. Established in 1957 as a not-for-profit organization to support medical research, The Medical Foundation creates and administers high quality grant programs for private individuals, trusts and foundations. In 2017, these programs awarded over 23 million dollars to support scientists throughout the United States and internationally.

## Invited Institutions 2019 Grant Cycle

The following medical schools are invited to submit one candidate to the Program:

Brown University Warren Alpert Medical School	RI
Dartmouth College Geisel School of Medicine	NH
Mayo Medical School	MN
University of Arizona College of Medicine	AZ
University of California - Davis	CA
University of California - Irvine	CA
University of Chicago - Prizker	IL
University of Connecticut School of Medicine	CT
University of New Mexico School of Medicine	NM
University of Kentucky College of Medicine	KY
University of Rochester School of Medicine and Dentistry	NY
University of Utah School of Medicine	UT
University of Vermont College of Medicine	VT
Wake Forest University School of Medicine	NC

### Eligibility

Each invited institution may submit a single application from a full-time faculty member. United States citizenship is not required. Institutions with current awardees are ineligible.

To encourage the support of junior faculty, 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 during the first year of the Geneen Award. This figure refers to external funding only and not an Applicant's start-up package, other intramural support, or the Geneen Award itself. Applicants may hold a K Award or be in the R00 phase of a K99/R00 as long as those Award amounts, combined with other funding, do not exceed these specified limits.

### 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 Geneen Trust. Notification of funding **after** the application date will not impact eligibility for a Geneen Award. **However, it is the responsibility of applicants to contact [kgamache@hria.org](mailto:kgamache@hria.org) soon as they are notified of any new funding.**

## **Terms of the Award**

The Award will be in the amount of up to \$300,000 over two years. The Award funding start date of December 31, 2019 may be postponed by the Award Recipient for up to three months. Award Recipients may postpone the start date for up to three months without an approval but the revised date must be noted either on the Award Agreement signature page or by an email notification to the Program Officer. Longer delays must be approved by The Medical Foundation, at Health Resources in Action (Boston, MA), administrator of the Harold S. Geneen Charitable Trust Awards Program for Coronary Heart Disease Research.

The Award is made to a nonprofit academic, medical or research institutions on behalf of the Award Recipient. The Award Recipient Institution is responsible for the administrative and financial management of the project, including any subcontracts, and maintaining adequate supporting records and receipts of expenditures.

**Institutional Assurances:** The Award Recipient must adhere to all federal, state and local regulations regarding the use of animals, radioactive or hazardous materials, and recombinant DNA in their research projects. If applicable, the Recipient is expected to adhere to all federal, state and local regulations regarding human studies, including informed consent. The appropriate federal, state, and local guidelines with regard to scientific misconduct must also be in place and enforced at the Award Recipient's institution.

### **It is the responsibility of the Award Recipient Institution to make sure that all approvals regarding use of animals or human subjects are in place prior to releasing any Award funds.**

The signature of the Authorized Institutional Representative on the Application Face Sheet confirms this oversight.

**Financial Responsibilities of Award Recipient Institution:** The Award Recipient Institution will keep systematic records of all expenditures relating to this Award. Vouchers consisting of bills, invoices, cancelled checks, receipts, etc. will be retained by the Institution for three (3) years after the close of the Award period and will be available for inspection by representatives of The Medical Foundation, during normal business hours and upon reasonable notice throughout this period. The Trustees, may at their expense, examine, audit, or have audited the records of the Institution insofar as they relate to activities supported by this Award.

**Use of the Award Funds and Payment Schedule:** The laws of the United States place certain restrictions on the manner in which funds awarded to organizations by charitable trusts and foundations may be expended. The Award may be used to support salaries and fringe benefits; laboratory and data processing supplies; other direct expenses including equipment essential to the project; travel to scientific meetings; and publication of scientific data. Salaries must be in proportion to the percent effort on the research project. However, percent effort may exceed the percent of total compensation requested. Funds may not be used for new construction, the renovation of existing facilities, general operating costs or fundraising, accumulated deficits or endowments. The grant monies which have been awarded, including any interest earned thereon, may only be used for the purposes stated in this document.

Indirect costs (institutional overhead) may not exceed 10% of direct costs of the \$300,000 (\$150,000 per year) Two-Year Award.

**Reporting Requirements:** Acceptance of an Award from the Geneen Charitable Trust includes a commitment to provide both Year 1 and Final Research Reports. The Progress Report is due two months prior to the end of the award year. Second year funding is contingent upon a satisfactory assessment of the Award Recipient's progress. Final Reports are due 60 days after the end of the award period.

The Award Recipient will receive an email reminder, including the forms and format for these reports, approximately three weeks prior to their due dates. It is the responsibility of the Award Recipient to insure completion of the Expense Report Form by the Fiscal Officer and submit both Reports as requested.

**Re-Budgeting:** Expenditures are expected to be within reasonable range of the Budget that was submitted with the application. Requests for re-budgeting or reallocation of grant funds over \$20,000 must be conveyed by email to the Grants Staff and include the current and revised allocation of funds along with specific detail and justification for the reallocation.

**Carryover of Funds and No-Cost Extension:** Any funds remaining at the end of Year 1 of the Award period may be carried over to Year 2. A **no-cost extension** for **up to nine months** may be granted upon email notification to the Grants Staff at least thirty days prior to the project end date. This communication must include an explanation for the extension, the unexpended balance, and a timeline for expenditure of the remaining funds. Final Scientific and Financial Reports will be due at the completion of the extension period. Any funds remaining at the completion of the extended project period must be returned to The Medical Foundation within sixty (60) days.

**Transfer or Termination of Award:** Awards are made to the Institution on behalf of the grant's designated Award Recipient. If the Award Recipient moves to another nonprofit research institution during the Award period, the funds may be transferable to the Award Recipient's new institution at the discretion of The Medical Foundation, administrator of the Award Program. If the Award Recipient is not continuing his/her research in another nonprofit research setting, the Award will be cancelled and unused funds must be returned within sixty (60) days. Disposition of any equipment purchased by the Award Recipient with Award funds will be evaluated on a case by case basis.

**Unused Funds and Reversion:** Should any of the following events occur, The Medical Foundation, on behalf of the Trustees, may demand repayment of all unexpended portions of the Award; moreover, all unpaid installments may be cancelled.

- The Award Recipient Institution fails to perform any of its duties, in the judgment of The Medical Foundation or its Scientific Review Committee, required by the Terms of the Award. In such cases, The Medical Foundation shall provide no less than thirty (30) days termination notice in writing to the Institution, upon which the

Institution shall have an additional thirty (30) days following receipt of such notice within which to cure any deemed failures.

- The Award Recipient Institution ceases to be exempt from income taxes under the United States Internal Revenue Service Code.
- There is a material change in the purpose, character, or method of operation of the Award Recipient Institution such as to jeopardize its tax status.

**Patents, Copyright and Intellectual Property:** Award Recipients should follow their Institutions' patent, copyright, and intellectual property policies regarding discoveries that result from research conducted under this Award. The Geneen Charitable Trust and The Medical Foundation will not retain any rights to any intellectual property including patents, copyrights, trademarks, or other proprietary rights that result from the research.

**Confidentiality and Third Party Release:** Application materials, Scientific Progress Report and Final Reports are considered confidential. The Medical Foundation engages third parties who have the necessary expertise to review the submitted materials and evaluate the Progress and Final Research Reports. Although The Medical Foundation endeavors to protect the confidentiality of the reports by requiring reviewers to sign confidentiality agreements, confidentiality cannot be guaranteed. The division is not responsible for any consequences resulting from the disclosure of the content of these materials to such third parties.

The Medical Foundation reserves the right to public acknowledgement of Award information. This information includes the recipient name, institution, project title, Award amount and research project summary. Award information may be made available at <https://hria.org/tmf/Geneen> and other affiliated organization websites, printed publications and other media.

**Additional Information:** Trustees of the Harold S. Geneen Charitable Trust may wish to meet with the Award Recipient at the Award Recipient place of employment. During this meeting, the Award Recipient will be asked to present their research project to the trustees in non-technical language.

**Acknowledgements:** The Award Recipient is expected to share research findings in a timely manner through professional meetings and/or publications. Publications or presentations resulting from research work supported by the Award must acknowledge support from the **Harold S. Geneen Charitable Trust Awards Program.**

*(Revised 05.08.2019)*

## Application Instructions

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### **Deadlines:**

Wednesday, June 5, 2019 (by 2:00 P.M. ET)

Intent to Apply Submitted

Monday, July 15, 2019 (by 12:00 P.M., ET)

Online Submission Completed

*You must have an account to submit an application online. Please use a reliable email address and choose a password. You will be able to save your work and complete it over multiple sessions.*

### **ONLINE APPLICATION INSTRUCTIONS**

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

**Use this link to fill out the Intent to Apply form:**

<https://hria.org/tmf/2019-harold-s-geneen-charitable-trust-awards-program-for-coronary-heart-disease-research-intent-to-apply/>

**Use this link to begin a NEW application:**

[https://www.GrantRequest.com/SID\\_738?SA=SNA&FID=35080](https://www.GrantRequest.com/SID_738?SA=SNA&FID=35080)

**Use this link to go to your account page to return to a SAVED application:**

[https://www.GrantRequest.com/SID\\_738?SA=AM](https://www.GrantRequest.com/SID_738?SA=AM)

### **Sharing/Transferring your application with your Institutional Representative(s) for Certification**

- The Applicant is considered the “Owner” of this request. The Applicant/Owner is required to secure sign off from their Institutional Representatives, such as OSP and Finance, by “transferring ownership” temporarily to complete the Institutional Representative Information
- Transfer takes place on the applicant’s account page  
[https://www.GrantRequest.com/SID\\_738?SA=AM](https://www.GrantRequest.com/SID_738?SA=AM)
- All contacts must have an Account to share applications
- New users will Create an Account with their own email and password
- Use the transfer  icon under the **Action** heading to transfer ownership
- The Institutional Representative will transfer ownership back to the Applicant prior to submission

**Please complete the following tabs in the online form:**

- Institution’s Tax ID Number**
- Eligibility Quiz**
- Applicant Data:** Institution, Contact, and Educational background information. Provide the PI’s ORCID identification number, if available
- Key Personnel:** Co-Investigator’s/Mentor’s name and institutional affiliation should be supplied in the Key Personnel fields, if applicable.

- ❑ **Research Project:** Project Title, Keywords, Project Summary, Non-technical Summary and Applicant's initials to certify the accuracy of submitted information
- ❑ **Institutional Contact Information:** Complete Institutional Contact fields. Certification by the Institutional Representative on the application will acknowledge understanding of the terms of the Program, and that the proposal has been reviewed and has been approved for submission to the Program.
- ❑ **Attachments:** All items must be combined into ONE PDF for upload to the Online Application. On the final PDF, make sure all pages are numbered sequentially starting with the Application Face Sheet as page #1. This PDF must be named LastName, FirstName 2019.pdf (for example, Doe, Jane 2019.pdf).

Templates are provided for items A-C (Word), D and E (Excel):

<https://hria.org/tmf/Geneen>

- A. Face Sheet:** The Face Sheet (Form A) template must be completed by the Applicant and the Office of Sponsored Programs or the Institutional Officer administratively responsible for the oversight of the project. The Applicant on the Face Sheet confirms their responsibility for obtaining any required human subjects (IRB), animal use (IACUC), or institutional equivalent approvals. In addition, the Institutional Officer confirms that all eligibility requirements have been met by certifying the online submission. The online endorsement by the Institutional Officer confirms that the Institution will commit to appropriate oversight if the project is funded. The Face Sheet is used as page 1.
- B. Table of Contents** (Form B): Follow the Table of Contents template and number all pages sequentially.
- C. Project Summary** (Form C): Copy the Project Summary from the Online Form into the Project Summary template. The 500-word summary should state the project's broad, long-term objectives and specific aims.
- D. Budget, Summary, and Justification** (Form D): Complete each tab in the Excel spreadsheet template. Indirect costs (institutional overhead) may not exceed 10% of direct costs or \$13,636 per year. In instances where there is a subcontract, the combined dollar amount for indirects taken by both the Award Recipient Institution and the contracting institution may not exceed total allowed indirects per award.
- E. Other Support Page** (Form E): Using the Other Support template:
- 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.
  - Guidance regarding the type and extent of information requested is included within the template. Please delete the example before submission.
  - **If applicable, please also provide grant overlap for co-investigator's/key personnel.**
- F. Research Proposal** (maximum of 6 pages, not including references cited): The six pages must include an Introduction, Background, Specific Aims, Preliminary Data (if available), Research Project Methods and Analysis, and Impact. The Impact section should address how funding from this Award will contribute to preventing coronary heart disease or circulatory failure, or improving care for patients with these medical conditions. For any projects involving collaboration, please include a brief description of these efforts within the 6 pages.

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

- G. Biosketch of PI/Applicant (use the latest NIH biosketch, max 5 pages):** If applicable, please also include Co-Investigator or Mentor Biographical Sketch(es) to the upload. It is not necessary to include a Collaborators biosketch unless they are key personnel.
- H. Department or Division Chair's Letter:** This letter (forwarded to the Applicant for upload) must address the applicant's qualifications to conduct the proposed research independently as well as note the space and equipment available for the completion of the project. If the applicant is Chair of his/her department, a letter of recommendation from the Dean should be submitted.
- I. Letter(s) of Collaboration (if applicable):** When applicable, 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.

*Out of fairness to applicants who adhere to the Guidelines, applications that do not conform to the stated instructions will be rejected.*

**Frequently Asked Questions:** <https://hria.org/tmf/Geneen>

Or Email: [kgamache@hria.org](mailto:kgamache@hria.org)

### **Notification to Applicants**

The online application system will notify applicants once the upload is received. Final notification of application status will occur by mid-November, 2019. Critiques of the grants are not provided to successful or unsuccessful applicants.

**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.

### **Direct any questions and submit application to:**

Geneen Charitable Trust Awards Program

The Medical Foundation, *at HRiA*

2 Boylston Street, 4<sup>th</sup> Floor

Boston, Massachusetts 02116

Kelly Gamache, Grants Coordinator

Telephone: (617) 279-2219

Email: [kgamache@hria.org](mailto:kgamache@hria.org)