

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

Bank of America, N.A., Trustee



Application Guidelines and Instructions

2023 Grant Cycle

Application Deadline

Thursday, July 14, 2022

12:00 PM, Eastern Time

Funding Period: January 1, 2023 – December 31, 2024

Awards: Three (3) Two-Year Awards of \$250,000 distributed over two years, inclusive of 10% indirect costs (**Year 1:** \$125,000 – **Year 2:** \$125,000)

❖ Program Focus and Overview

The Harold S. Geneen Charitable Trust Awards Program for Coronary Heart Disease Research supports research in 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.

Applications examining the intersection of coronary heart disease and/or congestive heart failure and COVID-19 or similar viral illnesses are highly encouraged to apply.

Each invited institution may only submit one application to the Program which meets the eligibility requirements for the 2023 Grant Cycle. Applicants must be full-time faculty at an invited non-profit academic, medical, non-governmental or research institutions. United States citizenship is not required. Junior faculty are encouraged to apply.

The Co-Trustees of the Harold S. Geneen Charitable Trust (Funder) have retained Health Resources in Action (HRiA - Administrator) to manage the administrative aspects of the Harold S. Geneen Charitable Trust Awards Program for Coronary Heart Disease Research. 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, HRiA creates and administers high quality grant programs for private individuals, trusts, and foundations. HRiA also offers life sciences consulting services to clients who wish to understand the latest scientific discoveries in a specific field of medical research.

❖ Invited Institutions

The following medical schools are invited to submit one candidate to apply for the Geneen Trust Award:

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 Kentucky College of Medicine	KY
University of New Mexico School of Medicine	NM
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.

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 GeneenAwards@hria.org as soon as they are notified of any new funding.**

❖ Review Criteria

- The proposed research has the potential to improve the prevention and treatment of coronary heart disease or circulatory failure (understanding, prevention/treatment).
- Hypothesis and Research Aims are clearly stated, based on sound precedents, and supported by relevant literature and preliminary data (if applicable).
- Objectives that are well thought out, realistic, and technically feasible.
- Research methodology, data collection, and data analyses are appropriate, thorough, well-specified and appropriate to the proposal's aims.
- The research project is of high quality and originality.
- The timeline and budget align with a scope of work that can be completed within a two-year timeframe.
- The applicant is qualified and support the conduct of an innovative and successful research project. The research award would positively impact the development of the applicant's cardiovascular research program.

❖ Terms of the Award

Award Amount and Funding Period: The Award will be in the amount of up to \$250,000 over two years (Year 1: \$125,000 – Year 2: \$125,000). Recipients may postpone the start date of January 1, 2023 for up to three (3) months without an approval, but the revised date must be noted either on the Award Agreement signature page or by an email notification to Health Resources in Action, Boston, MA, Administrator of the Harold S. Geneen Charitable Trust Awards Program for Coronary Heart Disease Research. Longer delays must be approved by the Administrator. A delayed start date will not reduce the total award period but will adjust the schedule out to include the entire period.

Awards are made to non-profit academic, medical, non-governmental or research institutions within the United States on behalf of the Recipients. The 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: Recipients must adhere to all federal, state, and local regulations regarding the use of human subjects, animals, radioactive or hazardous materials, and recombinant DNA in this Project. It is the responsibility of the Recipient's Institution to ensure that all approvals (IRB, IACUC, other) are in place prior to releasing any award funds. The confirmation of the representative of the Institution on the application forms confirms this oversight.

Liability: Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, agents, or directors, to the extent allowed by law.

Research Misconduct: Institution certifies that it has established administrative policies as required by Public Health Service Policies on Research Misconduct, 42 CFR § 93, and will comply with the policies and requirements (collectively, the "Policy") set forth therein. In the unlikely event that a Recipient is involved in an investigation of research and/or financial misconduct directly related to the Project, he or she will be subject to the procedures in place at the Institution as applicable. According to the Policy, research misconduct is defined as the "fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. It does not include honest error or difference of opinion."

To the extent legally permissible, the Institution must notify the Administrator of a finding of research and/or financial misconduct related to the Project. Research misconduct may affect the Recipient's continued eligibility for support for the Project.

Other Funding: Neither the Institution nor the Recipient will accept funding from another source which will result in an overlap of funding for this Project or result in greater than 100% effort of the Recipient or Key Personnel. The Institution and the Recipient are responsible for determining whether acceptance of this award will jeopardize support they may receive from other sources and ensuring that the Recipient has the capacity required to perform the Project within the proposed timeline. The Recipient will immediately report to the Administrator any additional funding available for activities related to this Project.

Use of the Award Funds: The laws of the United States place certain restrictions on the way funds awarded by charitable trusts and foundations may be expended. **Award funds and any interest earned may be used only for the research project and budget as submitted in the Recipient's Project proposal.** Funds may not be expended for any other purpose without the prior written approval of the Administrator.

The Recipient Institution must exercise proper stewardship over award funds and ensure that costs charged to the award are allowable, allocable, reasonable, necessary, and consistently applied in line with the Project's accepted proposal and budget. The Institution shall be liable for reimbursement to the Funder of any award funds associated with any inappropriate or unauthorized expenditures or fraudulent or improper conduct involving the use of award funds. The grant monies which have been awarded, including any interest earned therein, may only be used for the purposes stated in this Agreement.

Expenses eligible for support include the Recipient's salary and fringe benefits; salaries and fringe benefits of personnel essential to the Project for only their work as it directly relates to the Project; publication of scientific data; travel to scientific meetings; laboratory and data processing supplies; and other direct expenses such as equipment essential to the Project. Award funds may only be used for salaries in proportion to the percent effort on the Project. However, percent effort may exceed the percent of total remuneration requested.

Funds may not be used for new construction, the renovation of existing facilities, fundraising projects, or endowments. Funds may not be used for any political activity, accumulated deficits, or for any other purpose prohibited by the Internal Revenue Service Code. Funds awarded for the direct costs of the Project may not be used for general operating costs. Research-related expenses not directly related to the Project, general office supplies, individual institutional administrative charges in addition to indirect costs (e.g. telephone, other electronic communication, IT network), professional membership dues, and pre-award charges are **not** allowable expenses.

Indirect Costs (institutional overhead): Indirect costs may not exceed 10% of direct costs. In instances where there is a subcontract, the combined dollar amount for indirects taken by both the Recipient Institution and the contracting institution may not exceed total allowed indirects of the accepted budget.

Re-Budgeting: Expenditures are expected to be within reasonable range of the Project budget as accepted by the Administrator. All requests for re-budgeting or reallocation of grant funds over \$20,000 must be clearly justified in the annual financial report or conveyed in an update to the report to the Administrator a minimum of thirty (30) days prior to the requested effective date of change. The request must include the current allocation of resources along with specific detail and justification for the reallocation. If the Institution makes a request for re-budgeting or reallocation outside of the annual progress reporting process, the Institution must contact Program Staff to obtain the required forms.

Financial Responsibilities of Award Recipient Institution: The Institution will keep systematic records of all expenditures relating to the Project. 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 Funder during normal business hours and upon reasonable notice throughout this period. The Funder may, at their expense, examine, audit, or have audited the records of the Institution insofar as they relate to Project activities supported by this award.

Carry Forward of Funds: All requests to carry forward unspent funding from one year's budget to the next must be clearly justified in the annual financial report. Amounts greater than \$50,000 will be scrutinized and may be disallowed if adequate justification is not provided.

No-Cost Extension (NCE): A no-cost extension (NCE) for up to nine (9) months may be granted upon receipt and approval of a no-cost extension request. **NCEs will only be granted in exceptional circumstances.** The NCE request form must be submitted between 45 and 90 days prior to the end of the award period. Incomplete forms will not be processed. The NCE request form includes a section for justifying the

extension, the unexpended balance, and a timeline for expenditure of the remaining funds. A final scientific report is due at the completion of the extension period. Any portion of the award not expended at the conclusion of the extended period must be returned to the Administrator within sixty (60) days.

Changes in Award Status: Any changes in the Project's research design including changes to/omission of specific aims described in the Recipient's accepted Project proposal require a formal written request and prior approval before implementation. Changing of Project plans without prior approval may result in the suspension of payments, early termination of the award, and/or reimbursement to the Funder of any expended or unexpended funds. Any change in percent effort of the Recipient, or other personnel providing a substantial intellectual contribution to the Project (collectively, the "Key Personnel") requires prior written request and approval. Requests should include the reason for the change and a description of how the change will affect the scope of work, implementation, and timeline of the Project. All requests for changes to the Project design, aims, or percent effort of the Recipient or Key Personnel must be received by the Administrator at least thirty (30) days prior to the desired effective date of the change.

Transfer or Termination of Award: Awards are made to the Institution where the named Recipient is conducting research. If the Recipient plans on moving to another non-profit academic, medical, non-governmental or research institution during the award period, Recipient will notify and seek approval from the Administrator to continue the Project at the Recipient's new institution. If approved, the Institution will return unexpended Project funds, subject to allowable costs and non-cancelable obligations, to the Administrator to coordinate the transfer of unexpended funds to the new institution.

In the event of early termination of this Agreement, for any reason, Institution will be reimbursed for allowable costs and non-cancellable obligations incurred prior to the date of termination.

If the Recipient is not continuing the Project in another nonprofit research setting, the award will be canceled, and unused funds must be returned within sixty (60) days. Transfer of the award to another PI, if applicable, is not permitted. Disposition of and title to any equipment purchased by the Recipient with award funds will be evaluated on a case-by-case basis. If the Project is terminated for any reason, any unused funds, subject to allowable costs and non-cancelable commitments incurred in the performance of the Project but not yet paid for, must be returned to the Administrator within sixty (60) days. Performance under this Agreement may be terminated by either party upon thirty (30) days written notice to the other.

It is the responsibility of the Recipient as well as the Institution to notify the Administrator of any change in employment status of the Recipient in a timely manner and usually not less than thirty (30) days prior to such change.

Unused Funds and Reversion: Should any of the following events occur, the Administrator, on behalf of the Funder, may demand repayment of all unexpended portions of the award; moreover, all unpaid installments may be cancelled. The Institution is also required to give written notice if there is a change in the Institution's status as noted below.

- A determination, preliminary or otherwise, is made by the United States Internal Revenue Service that the award does not constitute a qualifying distribution.
- The Institution fails to perform any of its duties, in the judgment of the Funder, the Administrator, or its Scientific Review Committee, required by this Agreement. In such cases, the Administrator 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 Institution ceases to be exempt from income taxes under the Internal Revenue Service Code or becomes a private foundation.

- There is a material change in the purpose, character, or method of operation of the Institution such as to jeopardize its tax status.

Unexpended Funds: Any unspent funds remaining at the close of an extended Project period must be returned to the Administrator within sixty (60) days.

Medical and Family Leave: The Recipient may continue to expend any award funds allocated to salary during medical or parental leave consistent with the Institution's policies.

Reporting Requirements and Payment Schedules: A Progress Report is due sixty (60) days prior to the end of the Funding Year 1 for continuing awards. Subsequent years of funding is contingent upon a satisfactory assessment of the Recipient's progress. A Final Report is due sixty (60) days after the end of the Year 2 of the Original Award Period. Should a No-Cost Extension be granted, an Interim Report is required at the time of the No-Cost Extension request in addition to a Final Report due sixty (60) days after the end of the revised award period.

The Recipient will receive access to the required online report forms by email approximately three (3) weeks prior to their due dates. It is the responsibility of the Recipient to email the financial report form to the Institution's Financial Officer and ensure that the Administrator receives this completed form. The Funder and Administrator reserve the right to place a hold on funds where the Recipient is non-compliant with these reporting requirements.

Requests for a no-cost extension or re-budgeting should be made to the Administrator a minimum of thirty (45) days and a maximum of ninety (90) days prior to requested effective date of change. In cases where an extension has been granted, Recipients may be required to file an interim status report.

Patents, Copyright, and Intellectual Property: The Recipient should follow the Institution's policies regarding discoveries or any other intellectual property that results from research conducted under this Project. Neither the Administrator nor the Funder of this Project will retain any rights to intellectual property including patents, copyrights, trademarks, or other proprietary rights that result from the Project.

Confidentiality and Third-Party Release: Application materials as well as scientific progress and final reports are considered confidential. The Administrator engages third parties who have the necessary expertise to review the submitted materials and evaluate each project. Although the Administrator endeavors to protect the confidentiality of the reports by requiring reviewers to sign confidentiality agreements, confidentiality cannot be guaranteed. The Administrator and the Funder are not responsible for any consequences resulting from the disclosure of the content of these materials to such third parties.

The Administrator and the Funder reserve the right to public acknowledgement of Project information (Recipient Name, Institution, Project title and research summary). This information will be made available through the website of the Administrator (hria.org/tmf/geneen) and may be posted on other affiliated organization websites, publicly accessible databases of privately funded awards, or published in print form or other media. As noted in the application guidelines, the Project summary submitted with the application will be posted on the Administrator's website if the Project is funded.

Scientific Poster Sessions and Events: The Recipient is expected to share research findings in a timely manner through professional meetings and/or publications.

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: Professional publications or presentations resulting from Project work supported by the award must acknowledge, the **Harold S. Geneen Charitable Trust Awards Program for Coronary Heart Disease Research**.

Post Award: Recipient shall make good faith efforts to respond to the Administrator's reasonable requests for information on their research progress, new position, affiliation, or contact information (especially email address) following the award period. The Recipient may be requested to provide a current Biosketch or update information in an online database. The Recipient understands that this obligation survives the award period.

(Revised 04.29.2022)

❖ Application Instructions

Submission Deadline: Thursday, July 14, 2022 by 12:00 P.M., Eastern Time

Application Templates for Upload:

Two (2) file uploads are required for submission – **Application Form** (Word), **Budget and Other Support Form** (Excel). The templates are available for download here: <https://hria.org/tmf/Geneen>

Use this link to begin a NEW application:

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

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
- 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

The following sections must be completed for the online submission:

- Institution’s Tax ID Number**
- Eligibility Quiz**
- Applicant Data:** Institution, Contact, and Educational background information.
- Key Personnel:** Co-Investigator names and institutional affiliation, if applicable.
- Research Project:** Project Title, Keywords, Project Summary, Non-technical Summary and Overview, Experimental Systems, and Applicant’s initials to certify the accuracy of submitted information.
- Institutional Contact Information:** Complete Institutional Contact fields. The Institutional Representative administratively responsible for the oversight of the project must certify that the eligibility requirements have been met, that the Institution has reviewed the application and approved it for submission, and that the Institution understands the Terms of the Award. Endorsement by the Institutional Representative confirms that the Institution will commit to appropriate oversight if the project is funded, including ensuring that the Lead Applicant has obtained any required human subjects (IRB), animal use (IACUC), or institutional equivalent approvals.
- Attachments – Two Required Uploads:**
 1. **Application Form:** Include the items listed below combined into a single PDF for upload. On the final PDF, make sure all pages are numbered sequentially starting with the Application Cover Sheet. This PDF must be named ***LastName_FirstName2023.pdf***
 2. **Budget and Other Support Form:** This Excel file must be named ***LastName_FirstName2023Budget.xlsx***

Application Form (PDF upload)

- A. Cover Page:** The Cover Page form 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 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.
- B. Table of Contents:** Follow the Table of Contents [template](#) and number all pages sequentially.
- C. Project Summary, Key Words, and Performance Sites:** Please note that the 500-word Project Summary should be identical to the corresponding field in the online application form.
- D. Research Proposal** (maximum of 5 pages, not including references cited): The six pages must include an Introduction, Background, Significance, 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. *Contingency plans for unanticipated outcomes, methodological barriers, or research delays should be included.* For any projects involving collaboration, please include a brief description of these efforts within the 5 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.
- E. Project Timeline and Milestones** (form; 1 page) – Create a summary table (no more than one page) based on the specific aims, that shows each milestone, the associated benchmark measure(s) of success, estimated timeline, the project team member(s) involved, it may also include other explanatory material (including key personnel or collaborators), and associated budget expenditures. Please include specific data, methods, and benchmarks that will demonstrate achievement of each milestone. *The timing of activities, including reasonable contingencies and expenditures of funds should be consistent with the two-year funding period.* All personnel and collaborations should be related to the achievement of milestones. The successful completion of these activities will form the basis of continued funding.
- NOTE: Considerable review weight is given to the feasibility of the timeline and milestones such that the project aims should be completed within the two-year time frame. No-cost extensions will only be granted under exceptional circumstances.**
- F. Biosketch of PI/Applicant** (use the latest NIH biosketch, max 5 pages): If applicable, please also include Co-Investigator Biographical Sketch(es) to the upload. It is not necessary to include a Collaborator's biosketch unless they are key personnel.
- G. 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 their department, a letter of recommendation from the Dean should be submitted.

- H. 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.
- I. Budget and Other Support:** The Budget Form will be submitted as a separate Excel upload, ***as well as included in this PDF.*** Following the instructions for the Excel template below, complete and merge the final Budget into this PDF prior to upload.

Budget and Other Support Form (Excel upload)

- **Budget, Summary, and Justification:** Complete each tab in the Excel spreadsheet template as indicated in the instructions on tab 1. Indirect costs (institutional overhead) may not exceed 10% of direct costs. In instances where there is a subcontract, the subcontract budget must be included and combined dollar amount for indirects taken by both the Award Recipient Institution and the contracting institution may not exceed total allowed indirects per award. Budgets should reflect only the amount needed to conduct the proposed research. The maximum budget should not be requested unless it is genuinely needed. The justification for all budget items must be explained. The compensation for personnel funded by Geneen awards cannot exceed the NIH salary cap. For personnel whose institutional salary exceeds the applicable rate, the amount of salary charged to the Geneen award must be limited to their percent effort multiplied by the salary cap rate. Salaries must be in proportion to the percent effort on the research project; however, percent effort may exceed the percent of total salary support requested from the Program. If the requested salary for any personnel listed on the proposal exceeds the NIH salary cap the application will not be processed.
- **Other Support Page:** Using the Other Support tab in the Excel spreadsheet 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.**

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

Application Status Notification

The online application system will notify applicants upon submission of the proposal. Final notification of application status will occur by mid-November 2022. **NOTE:** If the Applicant is unable to accept the Award, the Award will not be transferred to another investigator involved in the research project.

Questions and Contact Information

Geneen Trust Awards Staff: GeneenAwards@hria.org

Frequent Asked Questions: hria.org/tmf/Geneen

Mailing Address:

Geneen Charitable Trust Awards Program
The Medical Foundation at Health Resources in Action
2 Boylston Street, 4th Floor
Boston, Massachusetts 02116