

# Smith Family Awards Program for Excellence in Biomedical Research

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

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**\$300,000 awards over three years (\$100,000 per year), inclusive of 5% overhead**

## **Application Guidelines**

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**Award Period:** December 1, 2015 – November 30, 2018

**Online Application Deadline:** Thursday, September 3, 2015 at 12:00 Noon, 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 Face Sheet requires the signature of an Authorized Institutional Representative verifying that the selection has been made. Applications from women scientists are encouraged.

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).

### **Program Overview and Mission**

The Smith Family Awards Program for Excellence in Biomedical Research was created in 1991 by the Richard and Susan Smith Family Foundation, a major funder in the Greater Boston community for over 40 years. The mission of the Awards Program is to launch the careers of newly independent biomedical researchers with the ultimate goal of achieving medical breakthroughs. Since 1992, the Program has funded 143 outstanding scientists and has provided \$26.9 million in research support.

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

## Research Focus

The three-year Award supports newly independent 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 full-time faculty who have received their first **independent** faculty appointment on or between July 1, 2013 and December 1, 2015.

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 the 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. Please address any gaps in work history in the Personal Statement on the Biosketch. The Department or Division Chair's letter must also confirm any leave of absence.

Applicants must be **full-time faculty** at a nonprofit academic, medical, or research institution in Massachusetts, at Brown

University or at Yale University (or one of these two institutions' affiliates). They must have completed their postdoctoral training by the funding start date of December 1, 2015.

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 carried out.

**Institutional commitment** is also important. In addition to describing the Applicant's qualifications, the Department or Division Chair must explain how the Award will enhance the Applicant's research career.

## Current, Pending and Post Award Funding Concurrent Federal and Non-Federal Support

Applicants are ineligible if they have combined federal and non-federal funding totaling \$500,000 or more in direct costs at any time during the first two years (12/1/15 through 11/30/17) 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 equivalents from federal agencies such as the National Science Foundation (NSF) or Department of Defense (DOD).

### 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 10/1/2015** that they have been successful in securing federal or non-federal grant support which, when combined with other existing support, totals \$500,000 or more in direct costs at any time within the first two years of the Smith Award, applications to the Program will be ineligible for review. Notification of funding **after 10/1/15** will not impact eligibility for a Smith Family Award. **It is the responsibility of applicants to notify [GLockwood@hria.org](mailto:GLockwood@hria.org) as soon as any new funding is received.**

### **Award Selection Criteria**

The Scientific Review Committee uses the following criteria to evaluate applications. Last year, 12% of submissions were funded.

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

### **Notification to Applicants**

The online application system will notify applicants once the upload is received. Final notification to Award Recipients will occur in mid-November by telephone followed by an emailed Award Notification and Award Agreement. Non-funded applicants will be notified by email. 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.

### **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 [www.tmfgrants.org/Smith](http://www.tmfgrants.org/Smith) for information regarding use of the award funds, indirect costs, payment schedule, reporting schedule, and other Awardee and Institutional requirements.

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

## **Application Instructions**

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### **DEADLINES**

**September 3, 2015 (12:00 Noon, U.S. Eastern Time)**

**Online Submission**

**September 8, 2015 (5:00 p.m., U.S. Eastern Time)**

**Printed Materials to be received by  
The Medical Foundation division**

### **Online Submission**

The complete application process requires an online submission as well as two printed copies of the uploaded PDF with signatures (scanned or electronic signatures are acceptable). The online version must be uploaded by **Thursday, September 3, 2015 at 12:00 Noon, U.S. Eastern Time**. Before beginning the online submission, **download and save the “Application Guidelines” and “Application Forms” which can be found at [www.tmfgrants.org/Smith](http://www.tmfgrants.org/Smith)**.

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

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

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

The following sections must be completed for the online submission:

1. **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, scientific and non-technical project summaries
5. **Certification:** Applicant’s initials to confirm accuracy of submitted information
6. **Research Classification +**
7. **Research Area +**
8. **Attachments (Document Upload):** The documents and forms listed in items *i – xii* must be combined and converted into ONE PDF file, in the order noted on the next page, 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.

*+ Research Classification and Research Area are used for administrative tracking purposes only and not included in the scientific review.*

## Document Upload

- i.* **Application Face Sheet:** Signatures are required at the time of the upload. The Face Sheet is Page #1 of the application and all information must be typed.

The Application Face Sheet must be completed and signed by the Applicant as well as the Authorized Institutional Representative administratively responsible for research oversight. The contact information for the Institutional Officer to Receive Funds must also be included (make sure to add emails).
- ii.* **Table of Contents:** Follow the Table of Contents and **number ALL pages consecutively**, including the reference letters. The Table of Contents is page #2.
- iii.* **Research Project Summary and Performance Sites:** Complete this form according to the instructions at the top of that page. This summary will be posted on our website if the project is funded (*maximum of 300 words*).
- iv.* **Non-Technical Project Summary:** Prepare a lay-language description of the proposed research that can be understood by the general public *300 – 350 words*).
- v.* **Applicant Biosketch** (*not to exceed 4 pages*): Please use the current 2014 NIH Biographical Sketch form. Include name, position title, education/training, personal statement, positions/honors and selected publications in chronological order. List publications in the following categories:

  - a) peer-reviewed articles,
  - b) non peer-reviewed articles, and
  - c) abstracts within the last two years.

Citations should include all authors, year, title, journal, volume and inclusive pagination. The **Applicant's name** should be in CAPS or bolded in the list of authors.

- vi.* **Applicant Independence / Institutional Commitment Form:** The Department or Division Chair must complete this form and forward it to the Applicant for upload with the Letter of Recommendation. This form must also comment on the Institution's level of support and long-term plans for the Applicant's independent, professional development.
- vii.* **Recommendation Letter from the Department or Division Chair** (*whose name is noted on the Application Face Sheet*).
- viii.* **Additional Recommendation Letter(s):** Up to two additional recommendation letters may also be forwarded to the Applicant for upload. One of these letters must come from the Applicant's postdoctoral mentor. A second letter is optional. No more than two letters, in addition to the Chair, will be accepted.
- ix.* **Letter(s) of Collaboration / Confirmation of Outside Resources:** 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 brief letters (**up to one page**) which may only address the issues above.
- x.* **Budget Summary and Key Personnel:** 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.

*xi.* **Current and Pending Support Form:** List active and pending projects along with the role of the Applicant. **Clearly describe any scientific or budgetary overlap.**

*xii.* **Research Proposal:** A maximum of 10 pages is permitted, **inclusive of a bibliography of references.** Proposal sections include Specific Aims, Background and Significance, Preliminary Data (*if available*), Research Design and Methods, Potential Limitations, Project

Timeline, Future Direction of Laboratory over Next Five Years, and Literature Cited.

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

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 smaller font size. Include the Applicant's name at the top of each page.

**Submission of Printed Copies:**

- On or before **September 8, 2015 at 5:00 p.m., U.S. Eastern Time** (please note different date from online deadline), The Medical Foundation division must receive two securely stapled, two-sided copies of the document that was uploaded. Signatures on the Application Face Sheet and letters of recommendation may be scanned or electronic.
- Do not include "cover sheets" or transmittal letters.
- Do not request a signature confirmation for any packages sent via the US Postal Service.

**Direct any Questions and Submit Printed Copies of Uploaded Document to:**

Gay Lockwood, Senior Program Officer  
The Medical Foundation, *a division of Health Resources in Action*  
Smith Family Awards Program for Excellence in Biomedical Research  
95 Berkeley Street, Suite 202  
Boston, MA 02116  
[GLockwood@hria.org](mailto:GLockwood@hria.org) ♦ 617-279-2240, x702

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