



## Child Health Research Awards Program

### Terms of the Award

**Overview:** The Charles H. Hood Foundation was established in 1942 to improve the health and quality of life for children through grant support of New England-based pediatric researchers. Since 1942, the Foundation has funded over 600 Child Health Research Awards in clinical, basic science, public health, health services, and epidemiology research providing over \$70 million in research support.

Awards are made to nonprofit academic, medical or research institutions in the six New England states on behalf of the Award Recipient. The Award Recipient Institution is responsible for the administrative and financial management of the Award, including any subcontracts, and maintaining adequate supporting records and receipts of expenditures.

**Award Amount and Funding Period:** Two-year grants totaling \$165,000 (\$82,500 per year) will be made for the period of July 1, 2021 – June 30, 2023. The start date of the grant may be postponed for up to three months without a formal request. Any longer delays must be approved by the Charles H. Hood Foundation. A delayed start date will not reduce the total Award Period (i.e., a project start date of October 1, 2021 will revise the project end date to September 30, 2023).

**Institutional Assurances:** The Award Recipient must adhere to all federal, state, and local regulations regarding the use of human subjects or biologic samples including informed consent, when appropriate, animals, radioactive or hazardous materials, and recombinant DNA in this research project. It is the Award Recipient Institution's responsibility to make sure that all animal use, human subjects and other required institutional approvals are in place prior to releasing any Award funds. The signatures of the Authorized Institutional Representative on the Application Face Sheet and the Institutional Officer on the "Institutional Officer Acceptance Agreement" confirm this oversight.

**Liability:** The Charles H. Hood Foundation does not assume any liability or responsibility for activities supported by this Award including, without limitation, incidents or accidents involving any project personnel or study subjects (whether on travel, in the laboratory, classroom, or elsewhere).

**Scientific Misconduct:** The appropriate federal, state, and local guidelines with regard to scientific misconduct must be in place and enforced at the Award Recipient Institution. In the unlikely event that an Award Recipient is involved in an investigation of scientific or financial misconduct, he or she will be subject to the procedures in place at the Institution. To the extent legally permissible, the Institution must notify the Hood Foundation of both the investigation and the procedures that the Institution will follow.

A finding of scientific and/or financial misconduct must be reported to the Hood Foundation and may affect the Award Recipient's continued eligibility for support for the project.

**Research Misconduct:** The 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 an Award

Recipient is involved in an investigation of research misconduct directly related to the funded 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 Hood Foundation of a finding of research and/or financial misconduct related to the funded project and may affect the Award 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 Award 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.

**Financial Responsibilities of Award Recipient Institution:** The 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 Award Recipient Institution for three (3) years after the close of the Award period and will be available for inspection by representatives of the Charles H. Hood Foundation during normal business hours and upon reasonable notice throughout this period. The Hood Foundation may, at its own expense, examine, audit, or have audited the records of the Award Recipient Institution insofar as they relate to activities supported by this Award.

**Use of the Award Funds:** Award funds may be used only for the research project and budget as submitted in the Award Recipient's project proposal. 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 earned interest, may only be used for the purposes stated in the Agreement and in accordance with the approved budget. Funds will be paid directly by the Hood Foundation to the Institution on behalf of the Awardee. Funds may not be expended for any other purpose without the prior written approval of the Hood Foundation.

Expenses eligible for support include the Award 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.

Award Recipients are required to devote at least 20% effort to the Hood research project. 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 Hood Foundation.

**Indirect costs** (institutional overhead) may not exceed 10% of direct costs or up to \$7,500 each year of the two-year Award period. The annual amount, including overhead, is \$82,500 per year for a total of \$165,000 over the two-year period of the Award.

In instances where there is a subcontract, the combined dollar amount for indirect costs taken by both the Award Recipient Institution and contracting institution may not exceed \$7,500 each year of the two-year Award.

**Re-Budgeting:** Expenditures are expected to be within reasonable range of the Budget that was submitted with the grant application. Requests for re-budgeting or reallocation of Award funds over \$20,000 must be conveyed by email to the Hood Foundation. The request must include the current allocation of funds along with specific detail and justification for the reallocation. Any line item change to the budget must receive prior approval from the Hood Foundation.

**Reporting Requirements:** Awards are made for a two-year period; award payments will be made once a year. **Funding for Year 2 of the Award** is contingent upon the timely submission of Progress and Financial Reports and a satisfactory assessment of the Award Recipient's progress by the Scientific Review Committee.

**Scientific and Fiscal Progress Reports** will be due in April 2022, regardless of the start date of the Award. **Final Reports** are due sixty (60) days following conclusion of the Award Period or an approved no-cost extension. **The Award Recipient will receive an email notice and forms for all yearly reports approximately three weeks prior to their due dates.** The Hood Foundation reserves the right to place a hold on funds in cases where the Award Recipient is non-compliant with these Reporting Requirements.

The Award Recipient also may be asked to present on the progress of their funded project during or following the completion of their award period, to an audience consisting of Foundation Trustees, Scientific Review Committee Members, and/or other members of the Hood Foundation's stakeholder community ("Network"). In addition, the Award Recipient will be invited to and is expected to participate in at least one annual Foundation Networking event as well as potential Mentorship opportunities with senior investigators from the Foundation's Network over the course of the funded period.

**Carryover of Funds:** Funds remaining at the end of Year 1 of the Award period may be carried over to Year 2, without the need for prior approval from the Hood Foundation, and incorporated into that year's budget.

**No-Cost Extension:** Following the two-year period, a **no-cost extension for up to nine months** may be granted upon email notification to the Hood Foundation. Requests for a no-cost extension should be made at least 30 days prior to the conclusion of the Award period. This communication must include an explanation for the extension, the unexpended balance, and a timeline for completing the project. Any funds remaining at the close of the extended project period must be returned to the Charles H. Hood Foundation within sixty (60) days.

Final Scientific and Fiscal Reports will be due 60 days following completion of the extension.

**Changes in Award Status:** Any changes in the project's research design including changes to/omission of specific aims described in the Award 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 Award 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 Award Recipient or Key Personnel must be received by the Hood Foundation 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 Award Recipient is conducting research. If the Award Recipient is planning a move to another nonprofit research institution during the Award period, transfer of funds to continue the project must be requested via email to the Hood Foundation. This communication must include a Fiscal Report stating the remaining fund balance as well as a letter from the proposed Department Chair confirming the availability of resources to continue the project. If the transfer is approved, the Award Recipient will be responsible for notifying the Hood Foundation of the new payee and oversight contact and coordinating the fund transfer.

If the Award Recipient is not continuing the research in another nonprofit research setting, the Award will be cancelled and unused funds must be returned within sixty (60) days. If the project is terminated for any other reason by either party, any unused funds must be returned to the Hood Foundation within sixty (60) days. Disposition of any equipment purchased by the Award Recipient with Hood Award funds will be evaluated on a case by case basis.

Transfer of the Charles H. Hood Foundation Award to another PI is not permitted.

**Change in Award Recipient Status:** It is the responsibility of the Award Recipient as well as the Award Recipient Institution to notify the Hood Foundation of any change in employment status of the Award Recipient **at least thirty (30) days** prior to such change.

**Unused Funds and Reversion:** The Award Recipient Institution is also required to give written notice if there is a change in the Institution's status as noted below. Should any of the following occur, the Charles H. Hood Foundation may demand repayment of all unexpended Award funds; moreover, all unpaid installments may be cancelled.

- A determination, preliminary or otherwise, is made by the United States Internal Revenue Service that the Award does not constitute a qualifying distribution.
- The Award Recipient Institution fails to perform any of its duties, in the judgment of the Charles H. Hood Foundation required by the Terms of this Award. In such cases, the 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 or becomes a private foundation.
- 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.

**Family and Medical Leave:** Budgeted costs for maintaining the research study, except for principal investigator salary, may be expended from the Hood Foundation award funds during medical or family leave, subject to institutional policies. Re-budgeting of these expenses during leave requires the approval of the Charles H. Hood Foundation.

**Patents, Copyright and Intellectual Property:** The Award Recipient should follow the Institution’s policies regarding discoveries or other intellectual property that results from research conducted under this Award. The Charles H. Hood Foundation will not retain 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 as well as Scientific Progress and Final Reports are considered confidential. The Charles H. Hood Foundation engages third parties who have the necessary expertise to review the submitted materials and evaluate each project. Although the Hood Foundation endeavors to protect the confidentiality of the reports by requiring reviewers to sign confidentiality agreements, confidentiality cannot be guaranteed. The Hood Foundation is not responsible for any consequences resulting from the disclosure of the content of these materials to such third parties.

The Charles H. Hood Foundation reserves the right to public acknowledgement of Award information (Award Recipient Name, Institution, Project Title, and Research Project Summary). This information will be made available on two websites: [www.charleshoodfoundation.org](http://www.charleshoodfoundation.org) and [www.hria.org/tmf/Hood](http://www.hria.org/tmf/Hood) and may also be posted on other affiliated organization websites, included in publicly accessible databases of privately funded awards, or published in print form or other media.

**Acknowledgement of Support:** The Award Recipient and Institution are encouraged to announce receipt of this Award entitled, the “Charles H. Hood Foundation Child Health Research Award” and credit financial support to the **Charles H. Hood Foundation, Inc., Boston, MA.**

**Publications:** Award Recipients are expected to share research findings in a timely manner through professional meetings and/or publications. To facilitate tracking of publications over time, the Award Recipient must obtain and provide to the Hood Foundation an Open Researcher and Contributor (ORCID) ID number. In addition, publications or presentations resulting from research supported by this Award must also acknowledge support from the **Charles H. Hood Foundation, Inc., Boston, MA.**

Upon publication, we ask that a copy or link to the full text be emailed to the Charles H. Hood Foundation.

**Post Award Reporting:** Award Recipient agrees to update the Foundation about research progress following the Award period as well as any new position, affiliation and contact information. Award Recipients may be requested to provide a current C.V. or update information in an online database. The Recipient understands that this obligation survives the Award Period.

**Contact information:**

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