

Charles H. Hood Foundation, Inc.
Child Health Research Awards Program

Terms of the Award

Overview: 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 \$150,000 (\$75,000 per year) will be awarded for the period of July 1, 2016 – June 30, 2018. 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 September 1, 2016 will revise the project end date to August 31, 2018).

Institutional Assurances: The Award Recipient must adhere to all federal, state, and local regulations regarding the use of human subjects or biologic samples, 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. The Institution must notify the Hood Foundation of both the investigation and the procedures that the Institution will follow.

According to the NIH/U.S. Department of Health and Human Services, research misconduct is defined as the "fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results." 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 under this Program.

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: The laws of the United States place certain restrictions on the manner in which funds awarded by charitable trusts and foundations may be expended. The Hood Foundation Child Health Research Award, including any interest earned thereon, may be used to support salaries and fringe benefits, laboratory and data processing supplies, publication of scientific data, travel to scientific meetings, and other direct expenses such as equipment essential to the project.

Award Recipients are required to devote at least 20% effort to the Hood research project. Scientific overlap with already funded projects is permissible if there is justification that existing funding does not adequately cover the full cost of the work. 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.

Funds may not be used for: new construction, the renovation of existing facilities, fundraising, endowments, accumulated deficits or any political activity. Funds awarded for the direct costs of the project may not be used for general operating costs.

Indirect costs (institutional overhead) may not exceed 10% of direct costs or up to \$6,818 each year of the two-year Award period. The annual amount, including overhead, is \$75,000 per year for a total of \$150,000 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 \$6,818 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 Program Officer. The request must include the current allocation of funds along with specific detail and justification for the reallocation.

Carryover of Funds: Funds remaining at the end of Year 1 of the Award period may be carried over to Year 2 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 Program Officer. 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 at the completion of the extension.

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 2017, regardless of the start date of the Award. **Final Reports** are due sixty (60) days following conclusion of the Award Period. **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.

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 Program Officer. 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 information 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: The Award Recipient may continue to expend any Award funds allocated to salary during medical or parental leave consistent with the Institutional level of

paid leave for such purposes. Similarly, budgeted costs for maintaining the research study may be expended during the leave, subject to institutional policies. Re-budgeting of these expenses during leave requires 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 by the Foundation. The Charles H. Hood Foundation engages third parties who have the necessary expertise to review these 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 such as Award Recipient Name, Current Institution, Project Title, and Research Project Summary. This information will be made available through the website of The Medical Foundation, *a division of Health Resources in Action* (www.tmfgrants.org/Hood) and may 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 "Hood Foundation Child Health Research Award" and credit financial support to the **Charles H. Hood Foundation, Inc., Boston, MA.**

Publications: 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 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 sent to the Charles H. Hood Foundation.

Post Award Reporting: Award Recipients agree to update the Foundation about research progress following the Award period as well as any new position, affiliation and contact information (email address changes must be reported). 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:

Gay Lockwood, Senior Program Officer
Charles H. Hood Foundation
95 Berkeley Street, Suite 202
Boston, MA 02116 / Tel. 617-695-9439 / GLockwood@hria.org