

# Smith Family Foundation: Odyssey Award

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

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## Invited Full Proposal Guidelines

2024 Grant Cycle

Full Proposal Deadline:  
Thursday, April 25, 2024  
12:00 Noon, U.S. ET

**Award Period:** November 1, 2024 – October 31, 2026

Up to five **\$400,000 two-year awards** will be made to support pre-tenure junior faculty with the potential to generate breakthroughs and drive new directions in biomedical research.

### Eligibility

- Based at a nonprofit academic, medical, or research institution in Massachusetts or at Brown or Yale University.
- Applicants must have received their first independent faculty appointment (normally tenure-track Assistant Professor) on or between November 1, 2015 and November 1, 2020.
- Have less than \$750,000 in combined federal and non-federal funding in direct costs per year, excluding the institutional start-up package and other intramural support.
- As of the 2023 grant cycle, researchers may apply a maximum of two times during their window of eligibility. The second application may be a resubmission of the first with substantive changes, or a new proposal.

Health Resources in Action promotes diversity of gender, ethnicity, and perspectives, among many other forms, across its grant programs. Applications from women and people of color are particularly encouraged.

### Program Overview and Mission

The Smith Family Foundation is committed to effecting permanent positive change in the lives of the residents of Greater Boston, particularly individuals and families in economically disadvantaged communities. In the area of health, the Foundation supports the advancement of biomedical research and the expansion of access to high-quality health care at safety net institutions serving low-income individuals and communities of Greater Boston.

The Smith Family Foundation Odyssey Award was created in 2017 to fuel creativity and innovation in junior investigators in the basic sciences. The Award supports the pursuit of high impact ideas to generate breakthroughs and drive new directions in biomedical research. The awards will fund high-risk, high-reward pilot projects. **Projects should be conceptualized as a novel research line and a distinct and novel off-shoot from the applicant's current research. The review committee weighs this criterion heavily in making final funding decisions.** Both the applicants

as well as any institutional review committees should bear this in mind in preparing/vetting applications.

The Smith Family Foundation: Odyssey Award is managed by Health Resources in Action (HRiA). HRiA is a nonprofit organization in Boston that advances public health and medical research.

### **Research Focus**

The two-year Award supports established pre-tenure junior 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. While biomedical research projects involving human subjects, data, and samples are eligible, clinical trials 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.

### **Institution**

- Researchers must have their primary appointment at a nonprofit academic, medical, or research institution in Massachusetts, or at Brown University or Yale University.
- Research projects must be conducted within the 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).

### **Career stage**

- Applications will be accepted from full-time, independent faculty at academic research institutions. Applicants must have received their first independent faculty appointment on or between November 1, 2015 and November 1, 2020.
- We understand that there is a continuum of independence at many institutions beginning with emerging independence at the Instructor level. However, to level the playing field and ensure that all applicants have only one window of eligibility, **we consider the tenure track Assistant Professor appointment to be the first independent faculty appointment.**
- 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 Office of Sponsored Research must confirm the leave of absence as well as applicant eligibility.
- **Researchers may apply to the Smith Family Foundation: Odyssey Award no more than 2 times** during their window of eligibility. The second application may be a resubmission of the first with substantive changes, or a new proposal.

### **Current, Pending and Post Award Funding**

#### **Concurrent Federal and Non-Federal Support**

- Applicants are ineligible if, at the time of application, they will have combined federal and non-federal funding totaling \$750,000 or more in direct costs in either of the years

(11/1/24 - 10/31/25 or 11/1/25 - 10/31/26) of the two-year Smith Odyssey Award. This figure refers to external funding only and not an Applicant's start-up package, other intramural support, or the Smith Award.

#### Pending Federal and Non-Federal Support

- If notified on or prior to September 1, 2024 that they have been successful in securing federal or non-federal grant support, which, when combined with other support, totals \$750,000 or more in direct costs in either of the first two years of the Smith Award, applications to this program will be ineligible for review. Notification of funding **after** September 1, 2024 will not impact eligibility for a Smith Family Award. **It is the responsibility of all applicants to contact [SmithOdyssey@hria.org](mailto:SmithOdyssey@hria.org) as soon as any new funding is received.**
- 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. However, if a Smith Odyssey Award is made, **neither the Institution nor the awardee may accept funding that results in an overlap of funding for the proposed aims of the Smith Odyssey project.** To avoid conflicts if your proposal receives a funding recommendation, we strongly suggest that you do not propose the same aims and budget in different grant applications. **If the work proposed in the Smith Odyssey proposal is funded by another source before the Smith awards are announced, the applicant must notify HRiA at [SmithOdyssey@hria.org](mailto:SmithOdyssey@hria.org) and withdraw the application immediately.**

#### Award Selection Criteria

The Scientific Review Committee uses the following criteria to evaluate applications:

##### **Innovation**

- The project is a creative and novel research line and is *a new and distinct off-shoot from the applicant's current research*. Innovation is an essential prerequisite to a favorable score.

##### **Impact**

- The proposed research addresses an important problem and has high potential for driving new directions in research and/or generating a biomedical breakthrough in the longer-term. May be high risk.

##### **Applicant**

- The applicant has high potential to successfully carry out the proposed research. (Applicants are encouraged to propose projects in areas outside their primary expertise.)
- The Institution has demonstrated an appropriate level of commitment to her/him.
- Collaboration is an additional, but not required, positive ancillary factor.

##### **Research project**

- Hypothesis is clearly stated, based on sound precedents and a clear rationale, and supported by relevant literature. Preliminary data may be minimal.
- Objectives are technically feasible, and personnel are qualified to carry out the proposed research

## Innovation Score

In addition to assigning a numeric score for overall impact, reviewers will assign a color rating for innovation that is used to guide discussion at the review meeting. This metric is based on the following criteria, **both** of which must be met to receive a favorable score:

- Is the proposed work a creative and novel research line? Does it have potential to establish a new ground-breaking direction of inquiry or research paradigm?
- Is this a distinct or novel off-shoot from the applicant's current research?

## Proposal Writing Tips

**Dream big.** Odyssey projects must be a distinct and novel off-shoot from your current research. Reviewers do not look favorably on proposals that look and feel like a shrunken, repurposed R01. The program is intended to give you the freedom to be creative and ambitious.

**Applicants are strongly encouraged to prioritize good grant writing in drafting their applications to maximize their chances of being funded.** The Review Committee is composed of a diverse group of researchers who can assess a wide range of biological proposals, including biologists whose work focuses on cancer genetics, the microbiome, regenerative biology, transcriptional regulation, mitochondria, neuroscience, epigenetics, and immunology. Characteristics of a well-written proposal include the following:

- Main points are communicated clearly and concisely. The big picture of what will be done, why it is important, and how it will advance the field is clear.
- The language is understandable to a general scientific audience. When jargon must be used, it is clearly explained, and complex technical points are put in context.
- Specific aims and concise/essential background, experiments, and analysis plan are connected with clear logic, and key choices are justified. Sufficient detail about the approach is provided that the reviewers can clearly understand the proposed experiments.
- The novel and innovative aspects of the work are clearly explained and put in context. Impact and novelty in the field *should not be overstated*. Reviewers typically check this.
- For applicants in crowded fields, the proposal makes clear how the study will bring a fresh perspective.
- The explanation of how the proposal is distinct from the applicant's ongoing work is clear and supported by the biosketch.
- The longer-term goals of the project are clear, including where it is expected to take the research program in 5-10 years.
- Goals and metrics of success are well-defined.
- Any scientific or budgetary overlap with other current or pending support is clearly described, including a clear plan to avoid duplication of funding.

Applicants are encouraged to seek grant writing advice within their institutions and externally, and to read examples of successful proposals, such as those found in the grant-writing tip sheets for NIH research grants. Institutions and colleagues may also be willing to provide examples of well-written and successful grant applications.

### Suggested resources:

Secrets to Writing a Winning Grant: <https://www.nature.com/articles/d41586-019-03914-5>

NIH grant writing tips:

<https://www.nlm.nih.gov/ep/Tutorial.html>

<https://www.nlm.nih.gov/funding/grant-writing-and-application-process/grant-writing-tips.shtml>

<https://grants.nih.gov/grants/how-to-apply-application-guide/format-and-write/write-your-application.htm#Important%20Writing%20Tips>

### **Notification to Applicants**

The online application system will notify applicants once the Full Proposal upload is received. Final notification to Award Recipients will occur in late October followed by an emailed Award Notification and Award Agreement. Unsuccessful applicants will also be notified at that time.

**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 Foundation Odyssey Award** 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 <https://hria.org/tmf/SmithOdyssey> for information regarding use of the Award funds, indirect costs, payment schedule, reporting schedule, and other Awardee and Institutional requirements. A listing of **Frequently Asked Questions** may also be found at this site.

## Application Instructions

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### APPLICATION DEADLINE

Thursday, April 25 2024 (12:00 PM, U.S. Eastern Time)

Before beginning the online submission, **download and save the “Odyssey Application Forms”** which can be found at <https://hria.org/tmf/SmithOdyssey>.

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

Continue 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
3. **Collaborators:** *This is read-only based on the names entered in the Initial Proposal. If this section needs to be edited, please email the Grants Officer with the correct information at [SmithOdyssey@hria.org](mailto:SmithOdyssey@hria.org).*
4. **Research Project Information:** Project Title; Key Words; Research Project Summary; Non-Technical Summary; Non-Technical Overview; Experimental System(s), Key Tools and Techniques to be Utilized; Description of Novel Research Direction; and Brief Biographical Statement
5. **Institutional Contact Information:** Department/Division Chair and Authorized Institutional Representative
6. **Letter of Recommendation:** Follow the online instructions, as well as page 8 of this document, for obtaining your confidential letter of recommendation.
7. **Attachments:** (1) PDF Proposal and (2) Excel Budget
  - **PDF Proposal Upload:** The following documents and forms must be converted into ONE PDF file, in the order noted, 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 Cover Sheet as Page #1.
    - **Application Cover Page**
    - **Table of Contents:** Follow the Table of Contents and number ALL pages consecutively.
    - **Collaborators:** Collaborator information (this should match the Key Personnel tab on the online form. If this section on the online form needs to be edited, please email the Grants Officer at [SmithOdyssey@hria.org](mailto:SmithOdyssey@hria.org)
    - **Research Project Summary, Performance Sites, Non-Technical Overview, and Description of Novel Research Direction:** Complete these sections according to the instructions on the template. The Research Project Summary will be posted on our website if the project is funded (*suggested length of 200 words*).

- **Research Proposal:** A maximum of 5 pages is permitted, **not 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.
    - Include all figures, graphs, tables, and images related to the project within the 5 pages. 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 or double line spacing within paragraphs, double line spacing between paragraphs, and 0.75 inch or larger margins on all four sides. Figures, legends, and tables may use a font size of 8. Include the Applicant's name at the top of each page.
  - **Grants Program Budget Template:** Complete this form for the two years of the project. Total support from the Smith Family Foundation, including overhead, is \$200,000 per year for two years.
    - Indirect costs (institutional overhead) may not exceed 5% of direct costs or \$9,524 per year. Please fill in all relevant sections of this form and provide clear itemization and detail within line items as requested.
    - For projects whose total costs exceed \$200,000 per year, list the other sources of support in the "Other Support" tab.
    - Applicants must disclose all current, pending, and completed support regardless of relationship to the current Smith request on the "Other Support" tab.
    - **The Budget Template must be (1) included in the PDF for committee review and (2) uploaded separately as an Excel document** to be used in expenditure tracking if the grant is funded. Please ensure that the numbers you have entered are identical in both formats, or we will not be able to process the application. *Incomplete forms will not be processed.*
  - **Applicant Biosketch:** Use the current NIH Biosketch (<https://grants.nih.gov/grants/forms/biosketch.htm>).
  - **Letters of Collaboration(s):** Collaboration letters must be forwarded to the Applicant for inclusion in the document upload. Applicants are required to submit letters confirming the availability of resources outside their institutions, and a letter confirming any significant collaborative relationship, either within or outside the Applicant's institution. These are brief letters (up to one page) addressing the collaboration. These letters are included in the PDF upload because they do not need to be kept confidential.
- **Grants Program Budget Template:** The budget form should also be attached in the online application system as a separate Excel file. The budget figures in the Excel file must exactly match the figures included in the PDF upload. The Excel file must be named LastName\_FirstName\_Budget.xlsx (for example, Doe, Jane\_Budget.xlsx).

**Please note: Supplemental materials are not permitted and will be removed (e.g., letters of collaboration or recommendation).**

### Letter of Recommendation Upload

**ONE confidential letter** is required which must be submitted through the online system, from a Recommender of your choice. The Recommender does not need to be based at your institution. We encourage you to choose someone who knows your work well, and who can

present some aspect of your professional background or project that we might not appreciate otherwise, and/or who can explain why you are a great match for this funding opportunity and its focus on innovation. Department Chair letters are no longer required for this program. Only one Recommender letter may be submitted.

The Applicant must send an email request via the online system and the Recommender must use the website link provided in the email to upload their letter of recommendation. It is critical that you contact your Recommender early on in the application process to allow them sufficient time to prepare and upload the letter.

#### **Instructions for Sending an Email Request to a Recommender:**

- On the “Recommenders” page, input the names and emails of the one Recommender.
- Check the “Send Email” box for the specific individual you are contacting.
- Click on the “Send” button.
- This will bring you to the “Notify Selected Recommenders” page. Here, you will customize the subject line and email message for your Recommender.
- Draft your email.
- Click on the “Send” button again. This will send the email to your Recommender. Included in the sent email is an automatically generated link that will allow him/her to upload their confidential letter.
- After sending your email, you will be redirected back to the “Recommenders” page.

**IMPORTANT:** It is the Applicant’s responsibility to monitor the status of the online recommendation prior to the application deadline. Applicants will not be able to complete the application process if the letter is not submitted. Late submissions will be rejected.

#### **Additional Information:**

- Notify your Recommender to expect the email request from you. If they do not receive the email within the same day as the request, they should check their Junk Mail folders.
- The Recommender must use the link provided in the email request and log-in with the email address that the email was sent to.
- The letter of recommendation must be in PDF format on institutional letterhead. Letters must not be password-protected.
- When the Recommender submits the letter, it will become part of your application. You may log into your My Account page ([https://www.grantrequest.com/SID\\_738?SA=AM](https://www.grantrequest.com/SID_738?SA=AM)) to view the status of the letter. The file will appear on this page but you will not be able to open or read it.
- If a Recommender is unable to find the email with the link or if you want to change the Recommender, use the My Account page to access your application, remove that request and restart the process.
- Paper copies of the letter of recommendation will not be accepted.



# Smith Family Foundation: Odyssey Awards

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

## Terms of the Award

### Overview:

The Smith Family Foundation is committed to effecting permanent positive change in the lives of the residents of Greater Boston, particularly individuals and families in economically disadvantaged communities. In the area of health, the Foundation supports the advancement of biomedical research and the expansion of access to high-quality health care at safety net institutions serving low-income individuals and communities of Greater Boston.

The new Smith Family Foundation Odyssey Award was created in 2017 to fuel creativity and innovation in junior investigators in the basic sciences. The Award supports the pursuit of high impact ideas to generate breakthroughs and drive new directions in biomedical research. The awards will fund high-risk, high-reward pilot projects solicited from our brightest junior faculty in the region.

Junior investigators that are beyond 4 years from their first independent faculty appointment are eligible to apply for this award. There is also an upper eligibility limit at 9 years past the first independent faculty appointment. Those investigators who are beyond the 9-year limit, are ineligible to apply for this award.

Awards are made to nonprofit academic, medical or research institutions in Massachusetts as well as at Brown University and Yale University (or one of their affiliated entities) on behalf of the Award Recipients. 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.

The Smith Family Foundation Odyssey Award is managed by Health Resources in Action (“the Administrator”), for the Richard and Susan Smith Family Foundation (“the Funder”). Health Resources in Action (HRiA) is a nonprofit organization in Boston that advances public health and medical research.

**Award Amount and Funding Period:** Awards are made according to the stated schedule. Recipients may postpone the start date for up to three (3) months without an approval, but the revised date must be noted either on the signature page of this Agreement or by an email notification to the Administrator. Longer delays must be approved by the Administrator. A delayed start date will not reduce the total award period; the end date will be adjusted 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.

**Research Disturbances:** Upon award funding recommendation notification, the Recipient or recommended principal investigator (“PI”) and the Institution shall confirm that the Recipient’s laboratory (and any laboratories/facilities/staff included in the proposed Project) will be operational, and able to start the work described in the Project’s research proposal by funding start date or within the standard three (3) month delayed start timeframe. Start

dates beyond the three (3) month timeframe will be considered with assurances from the Institution.

### **Institutional and Recipient Assurances:**

**Regulatory Compliance:** Institution and 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.

**Research Misconduct:** Institution certifies that it has established administrative policies as required by Public Health Service Policies on Research Misconduct, 42 CFR § 93, and that Institution and Recipient 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."

**Conflict of Interest:** Institution certifies that it has policies and procedures in place with respect to conflicts of interest applicable to research and the Project.

**Not Barred:** Institution and Recipient each certify that (i) it is not excluded from participation in any state or federal healthcare program, as defined in 42 U.S.C. §1320a-7b(f) for the provision of items or services for which payment may be made by a federal healthcare program; (ii) it has not contracted for the performance of any services or the provision of supplies required for the performance of the Project with any employee, contractor, agent, vendor or vendor's affiliate knowing that the contracting party is excluded from participation in any state or federal healthcare program; and (iii) it is not the subject of any final or pending adverse action, as defined in 42 U.S.C. § 1320a-7a(e) and 42 U.S.C. § 1320a-7a(g).

**Export Control:** Institution and Recipient each certify that Recipient (i) is not and has not been designated on any list of any U.S. governmental authority, including OFAC's Specially Designated Nationals and Blocked Persons List, U.S. Department of Commerce's ("Commerce Department") Denied Persons List, the Commerce Department Denied Entity List, and the U.S. Department of State's (the "State Department") Debarred List, (ii) has not participated in any transaction involving any designated person or entity, or any country that is subject to U.S. sanctions administered by OFAC, and (iii) will not export (including deemed exportation) or re-export, directly or indirectly, any good, technology or services in violation of any applicable U.S. export control or economic sanctions laws, regulations or orders administered by OFAC, the Commerce Department or the State Department.

**Right to Bind Recipient:** Recipient agrees to comply with Institution's policies and procedures, including as related to research integrity, conflict of interest, and compliance with laws. Institution certifies that it has the authority to bind Recipient

to Institution's policies and procedures. Institution will be fully responsible for, and will enforce, compliance with its policies and procedures and all applicable law.

**Disclosure:** 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.

**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.

**Indemnity:** To the extent permitted under the applicable federal, state, and local laws and regulations which govern the Recipient and Institution, the Recipient and Institution shall indemnify and hold HRiA, Trustee, and Funder, as well as their respective directors, officers, employees, and assigns (the "Indemnified Parties") harmless from and against any and all costs, losses, or expenses, including reasonable attorneys' fees, that the Indemnified Parties may incur by reason of the Recipient and Institution and/or PI's negligence or misconduct or any third-party claim arising out of or in connection with the project. If this provision is prohibited under the laws that govern the Recipient and Institution, then this provision shall be deemed unenforceable and shall have no force and effect.

**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 administered for any other purpose without the prior written approval of the Administrator.

The Recipient and 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. Funds may not be expended for any other purpose without the prior written approval of the Administrator.

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 5% of direct costs each year. In instances where there is a subcontract, the combined dollar amount for indirects taken by both the 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 submitted a minimum of thirty (30) days prior to requested effective date of change. Re-budgeting requests should be clearly justified in the annual financial report or conveyed in an update to the financial report to the Administrator. The request must include the current allocation of resources along with specific detail and reason for the reallocation. If the Institution makes a request for re-budgeting or reallocation outside of the annual progress reporting process, 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. Carry forward requests may be disallowed if adequate justification is not provided.

**No-Cost Extension:** A no-cost extension ("NCE") for up to nine (9) months may be granted upon receipt and approval of a NCE request. The NCE request form must be submitted between 30 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 made payable to the Funder, in care of 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 made payable to the Funder, in care of 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 the Application Guidelines and 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 funds over \$2,000 remaining at the close of an Award Period (extended via NCE or otherwise) must be returned to the Administrator within sixty (60) days and made payable to the Funder.

**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:** Final scientific and financial reports are due sixty (60) days following conclusion of the Award Period. Progress reports are due annually on September 2, sixty (60) days prior to the start of the continuing year, regardless of award start date. 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 NCE or re-budgeting should be made to the Administrator thirty (30) to sixty (60) 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.

In order for the Funder to understand the impact of the program in the longer term, Awardees will be expected to complete brief Alumni Reports as requested following the Award Period. Completing these forms will help ensure that all outcomes related to Smith research funding are captured, so that the Funder can fully understand the value of its investments in research.

**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 (<https://hria.org/tmf/smithodyssey/>) 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.

**Use of Name:** Except as explicitly stated, neither the Funder, the Administrator, nor the Recipient or Institution (collectively referred to as the "Parties" or individually as the "Party") shall use or register the other Party's name (alone or as part of another name) or any logos,

seals, insignia or other words, names, symbols or devices that identify the other Party, including any school, unit, division or affiliate of such Party (such Party's "Names"), except for the limited purpose of identifying and describing the funded Project. Except from when a Party is making a factual statement about the Funder funding the Recipient and Project at Institution, no Party shall use the other Party's Names in public communication without prior written approval of, and in accordance with any restrictions required by, the Party whose Names are to be used.

The Parties agree that each Party may respond to legitimate business inquiries with factual information regarding the existence and purpose of the relationship that is the subject of this Agreement, or disclose such information to satisfy any financial reporting obligations, without written permission from the other Party. In any such statement, the relationship of the Parties shall be accurately and appropriately described.

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

**Smith Video Communications Program:** The Recipient is expected to participate in the Smith Communications Program, where awardees will professionally produce a short video about their work.

**Acknowledgements:** Professional publications or presentations resulting from Project work supported by the award must acknowledge the **Richard and Susan Smith Family Foundation**. The Award Recipient and Institution are encouraged to announce receipt of this Award entitled the "**Smith Family Foundation: Odyssey Award**" and credit financial support to the Richard and Susan Smith Family Foundation.

**Post Award:** Recipient shall make good faith efforts to respond to the Administrator's reasonable requests for information on his/her 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.