Robert E. Leet and Clara Guthrie Patterson Trust
Mentored Research Award
Bank of America, N.A., Trustee

2025 – 2027 Grant Cycle Application Guidelines

Submission Deadline Tuesday, August 6th, 2024 12:00 PM, Eastern Time	Terms of the Award Application Instructions

Award Summary

Award Amount and Duration:	$200,000 ($100,000 per year) for 2 years
Award Dates:	January 31, 2025 – January 30, 2027
Eligibility:	**Who:** Mentored senior postdoctoral researchers with 3-6 years postdoctoral research experience and mentored clinician-scientists with up to 6 years postdoctoral research experience without a tenure-track faculty position. **Where:** Working in Connecticut, New Jersey, and Rhode Island See Eligibility Criteria for more details.
Research Focus:	Clinical research with human subjects across a diverse range of disciplines that involves patient-oriented research, epidemiological studies, behavioral studies, outcomes research, or health services research. **Exclusions:** Applications with animal research or with a predominant focus on fundamental aspects of phenomena without direct clinical application.

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Program Overview and Statement of Purpose

The Robert E. Leet and Clara Guthrie Patterson Trust was established in 1980 to support **"research relating to human diseases, their causes and relief thereof"**. In alignment with this mission, the goal of the program is to support pilot studies and innovative research conducted by postdoctoral researchers and mentored clinician scientists and promote their transition towards independence. The program supports projects and studies spanning a broad range of disciplines involving patient-oriented and clinical research.

The **Patterson Trust Mentored Research Award Program** is administered by Health Resources in Action (the Administrator), on behalf of the Trustee, Bank of America, N.A. (the Funder). HRiA is a non-profit organization that partners with individuals, organizations, and communities to transform the practices, policies, and systems that improve health and advance equity.

Research Focus

This program is designed to support research and pilot studies in clinical research that focus on the causes of human disease and/or improving treatment. Investigators interested in population health research that seeks to address social determinants of health and/or health inequities as a lever for improving health, are encouraged to apply.

Below we outline guidance regarding the scope of supported topics. Please note, that while most of the definition aligns with that of the NIH, there may be research topics that are not eligible towards Patterson funding. Please use the NIH Decision Tool: Am I Doing Human Subjects Research?[1] and reference our FAQs for additional guidance.

The program follows a similar definition as the NIH[2] of clinical research which includes:
1. Patient-oriented research. Research conducted with human subjects (or on material of human origin such as tissues, specimens, and cognitive phenomena) for which an investigator (or colleague) on the proposed study directly interacts with human subjects. It includes: (a) patient-based studies of mechanisms of human disease, (b) therapeutic interventions, (c) clinical trials, or (d) development of new technologies. Excluded from this definition are in vitro studies that utilize human tissues that focus on fundamental aspects of phenomena or cannot be linked to clinically relevant health outcome or endpoint. Research conducted with human subjects data from biorepositories and/or electronic health records is allowable.
2. Epidemiological and behavioral studies.
3. Outcomes research and health services research.

Exclusions: Proposals utilizing animal studies or those with a predominant focus on fundamental aspects of phenomena without direct clinical application are ineligible.

Eligibility Criteria

All applicants must meet the following requirements by the <u>funding start date</u>.

Geographic/Institutional Eligibility: Applicants must work in a non-profit academic, medical or research institution in the states of Connecticut (CT), New Jersey (NJ) or Rhode Island (RI). There are no institutional limitations on the number of applicants who may submit to this program, however the number of awards per institution may be limited to a maximum of 2.

Applicant Eligibility:
- Applicants must have a doctoral degree (MD, MD/PhD, PhD, DO, DMD, PharmD, DPT, or equivalent). Degrees obtained outside the United States must be equivalent.
- Postdoctoral researcher OR Clinician scientist
  1) <u>without clinical training</u> – must have at least three (3) years and no more than six (6) years of full-time postdoctoral research experience*.
       OR
  2) <u>with clinical training</u> – must have no more than 6 years full-time postdoctoral (or equivalent) research experience* since completion of residency (or similar clinical training). Clinicians in fields without formal internship and residency requirements (e.g., PhD Psychologists and PharmD applicants) may have up to six (6) years of cumulative research experience after completion of all clinical education required for licensing. Patterson Trust Award support may overlap with fellowship support with approval from the funding agency.
- Clinician scientist applicants must have completed residency and clinical training at the time of the funding start date.
- Must not have a tenure-track faculty position or equivalent (no start up package or lab space).
  1) Candidates may hold a junior faculty appointment (Lecturer, Instructor, Assistant Professor-non-tenure track, etc.) that are not tenure track appointments.
  2) The program recognizes that some postdoctoral fellows may hold non-independent, mentored training positions with different titles, and some clinicians may hold an independent clinical faculty position but not an independent research position. To confirm eligibility, applicants are encouraged to contact program staff before preparing their applications.
- Must not have previously been a Patterson Award recipient.
- United States citizenship is not required; visa documentation is not required.

*Postdoctoral research experience is defined as full-time research experience after receiving one's doctoral degree, or completion of residency or equivalent. Experience includes research in a laboratory or similar professional setting (e.g., biotechnology and pharmaceutical industries). Research conducted during research intensive years of clinical fellowship training where time spent on research was greater than 50% effort is counted. All postdoctoral research experience completed domestically and abroad is counted. In some cases, postdoctoral research may occur after the first doctoral degree but prior to starting residency/fellowship clinical training. For more information on determining completed years of research experience see our FAQs document.

Pauses in Research Experience: For all applicants with and without clinical responsibilities, if research was interrupted for family or medical leave, or for other extenuating circumstances (including COVID-19, military leave), these months are not considered part of the full-time employment experience. Pauses in research experience due to COVID-19 related disruptions cannot extend for longer than 6 months. Part-time employment may be cumulative towards these eligibility requirements. All research experience must be documented by the mentor.

Level of Effort: Applicants without clinical responsibilities must have at least 90% protected time for research. Applicants with clinical responsibilities must have protected time of at least 70% time for research.

Mentor(s): Applicants must apply for the award under the guidance of a primary mentor who is an established investigator with an active research program where the applicant will be conducting research. Mentors are expected to directly support the proposed research, and guide the candidate in planning, directing, monitoring, and executing the proposed project. Applicants are encouraged to identify a mentorship team and may nominate co-mentors as appropriate to the goals of the project.

Concurrent Funding: Applicants may not hold a concurrent career development award, the equivalent of an R01 or other major source of research funding that covers more than half of their salary. Applicants should check concurrent funding restrictions for existing awards and are encouraged to contact program staff to confirm eligibility.
- Applicants who have pending applications to the NIH and/or other funders are encouraged to submit proposals to the Patterson Trust. If notified on or prior to **January 31, 2025,** that they have been successful in securing such funding, applications to the program must be withdrawn. **It is the responsibility of applicants to contact program staff as soon as they are notified of any new funding**.
- Scientific and budgetary overlap is not allowable. Any scientific or budgetary overlap with other current or pending support should be clearly described, including a plan to avoid duplication of funding.

Previous Funding: Applicant may not have held a previous R, K, or DP2 award. Applicant may not have held any previous career development award (such as those performed under the guidance of mentor with the goal of a transition to independence), including those from foundations.

Diverse and Inclusive Research: To promote and enable diversity in biomedical research, the Patterson Trust is committed to awarding researchers of all backgrounds, including racial/ethnic groups that are underrepresented in science. The National Science Foundation and the National Institutes of Health have established that individuals from the following groups are underrepresented in science: Blacks or African Americans, Hispanics or Latinos, American Indians or Alaskan Natives, Native Hawaiians, and other Pacific Islanders. Applicants that identify as a member of these groups are encouraged to apply. In addition, applicants and mentors are encouraged to speak to their commitment to diversity, equity, and inclusion within the application.

Please see the University of California, Irvine site for helpful guidance on writing a diversity and inclusion statement: https://ap.uci.edu/faculty/guidance/ieactivities/.

Consistent with current NIH policies[3], funded clinical research must include women and minority groups as well as a rationale that speaks to composition of the study population. Any exclusions within the study population need to be described and scientifically justified.

Review Criteria

The criteria used by reviewers to evaluate the application include:

Significance and Impact:
- Project will advance knowledge relating to human diseases, their causes, and relief.
- Research hypothesis is novel and innovative. The proposal describes the impact and value of the research.
- The proposed work demonstrates transparency in the sharing of research findings and/or the outcomes of the project.
- The project and career development activities support the training and growth of the applicant and the project goals.

Investigator:
- Applicant is fully capable of carrying out the proposed research based on background, experience, and current academic position.
- Role of the mentorship team is appropriate, well-defined, and aligns with the research aims and career goals described in the proposal.
- The applicant has meaningfully contributed and engaged in activities that benefit the wider research community and shows a strong commitment to fostering a positive research culture, including activities that support a diverse, equitable, and inclusive research environment.
- Applicant has shown research productivity and potential for a career in research based on research time and opportunities to date.
- The mentor's letter of support describes their commitment to support the applicant during the research period and in subsequent career transitions, including the mentor's commitment to the applicant's ownership of the project and resources for subsequent career transitions.
- Strength of additional letters of recommendation.

Project and Related Activities
- The proposed scope of work is a logical extension of the literature review.
- Objectives are well conceived and realistic.
- Research methodology, data collection, and analytical plan are feasible and appropriate to the proposal's aims.
- Any recruitment plan for the study participants is appropriate and feasible and shows sensitivity towards the target population. Human subjects' protections and study participant inclusion are clear and justified.
- Proposal suggests next steps in terms of positive, negative, or null results.
- Timeline and budget are realistic and appropriate (including IRB approvals, if needed prior to funding start date).

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[3] NIH Grants and Funding: Inclusion of Women and Minorities as Participants in Research Involving Human Subjects. https://grants.nih.gov/policy/inclusion/women-and-minorities.htm

Notification Schedule

Final notification to applicants will be made in late fall 2024. If available, critiques of the grant applications will be provided. Applicant ranking in the review process will not be provided.

Historical Success Rate

Historical Statistics	January 2020	January 2021	January 2022	January 2023	January 2024
Submissions	27	34	27	32	47
Award Recipients	7 Patterson 1 Seery	13 Patterson 1 Seery	11 Patterson 1 Seery	8 Patterson	8 Patterson
Success Rate	30%	41%	44%	25%	17%

Note: Historical program statistics provided may not be reflective of success rates for the more recent cycles, as the program has undergone significant revision since 2022.

Proposal Writing Tips

Applicants are strongly encouraged to practice and work towards enhancing their grant writing in drafting their applications to maximize their chances of being funded. Mentors should be actively engaged in the preparation of the proposal. While grammar will not be directly assessed, please be mindful that clarity of the writing enhances the ability of the reviewers to follow the logical progression of the proposal and assess the impact the work will have on human disease, the applicant's qualifications, ability to conduct the proposed work, and support from the mentor/mentorship team. It is recommended that applicants have their mentor and others review their application for clarity and scientific rigor.

The review committee is composed of a multi-disciplinary group of academic researchers and clinicians, with clinical research expertise, and the ability to assess a wide range of proposal topics.

Characteristics of a well-written proposal include the following:
- Funding via non-governmental agencies is different. Make sure the proposal is reflective of the program goals and review criteria.
- Tell the story and _sell_ the proposed work; make sure the background outlines why the proposed questions are important to answer, and the proposed approach is promising.
- The language should be understandable to a general scientific audience. When jargon must be used, it is clearly explained, and complex technical points are put in context.
- Any other personnel included in the project should be clearly justified. Similarly, the composition and oversight of the mentorship team should be reflective of an applicant's research and career goals.
- Don't fall victim to proposing to complete too much work. Reflect on the timeline of the work to ensure it can be feasibly completed.
- Provide enough time to obtain feedback and allow for proofing prior to submission.

Applicants are encouraged to seek feedback on their proposals within their institutions. Examples of successful proposals can be 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.nimh.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

Related Documents and Materials

Download and review the following items at www.hria.org/tmf/Patterson
- Frequently Asked Questions
- Application Forms
- Program Budget and Other Support Form
- Application Checklist
- **Direct any Questions to Program Staff:** PattersonAwards@hria.org

Application Instructions

Deadline: Tuesday, August 6, 2024 at 12:00 PM, U.S. Eastern Time

Online Portal:
Use this link to begin a NEW application:
https://www.grantrequest.com/SID_738?SA=SNA&FID=35341
Return to a **SAVED application:** https://www.GrantRequest.com/SID_738?SA=AM

Online Application Form:
The following sections must be completed within the online application form:
- ☐ **Institutions Tax ID Number**
- ☐ **Eligibility Quiz:** Applicants must confirm that they meet the eligibility requirements as stated in the Guidelines.
- ☐ **Applicant Data:** This includes Applicant Institution, Contact Information, Demographic and Educational background information, ORCID identification number (if available).
- ☐ **Project:** Project Title, Keywords, Project Summary, Non-technical Summary and Experimental System(s), Key Tools and Techniques Utilized
- ☐ **Mentor**/Chair/Division Chief Information
- ☐ **Institutional Contact Information**
- ☐ **Letters of Recommendation**: Using the online request system, request three (3) confidential letters of recommendation from your mentor (letter of support), and two additional recommenders of your choice.
  Please Note: It is the responsibility of the applicant to obtain these three (3) letters prior to the application deadline. Members of the review committee give considerable weight to these letters. Please notify your recommenders early in the application process to allow them sufficient time to prepare your letter. It is advisable that you begin an online application immediately, enter the names and emails of your mentor and two recommenders and then send each the email request from the

online system. Please confirm with your recommenders that they have received your request. For additional instructions regarding the monitoring and upload of letters, please see the troubleshooting steps below.

☐ **Attachments:** Two uploads are required. See instructions below.
- o Application document (PDF) – please name as "LastName, FirstName.pdf"
- o Budget and Other Support Form – please name as "LastName, FirstName_Budget.xlsx"

Download the Application Forms and templates: www.hria.org/tmf/Patterson

Application Document (PDF)

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

Instructions: This document includes some of the same information that is submitted in the online form. However, the proposal sections listed below must be combined and converted into one PDF file and uploaded in the online application. This document does not include the three (3) required confidential letters of recommendation, which will be appended separately by HRiA staff upon receipt.
Name this document "LastName, FirstName.pdf" (for example: Smith, Jane.pdf).

The required application forms containing templates for the following sections can be found in a separate MS Word document located at www.hria.org/tmf/Patterson.

Include all items in the following order:

1. **Application Face Sheet:** (page 1) The face sheet must be completed and signed, and the contents of the application confirmed by the applicant, mentor, and the Office of Sponsored Programs or the Institutional Officer administratively responsible for research oversight.

    The acknowledgement of the applicant and mentor on the face sheet will confirm responsibility for obtaining any required human subjects (IRB) and other institutional approvals. In addition, the mentor's and Institutional Officer's acknowledgement will confirm that all eligibility requirements have been met. Endorsement by the Institutional Officer also confirms that the Institution will commit to appropriate oversight if the project is funded.

2. **Table of Contents:** Follow the table of contents and number all pages.

3. **Applicant Eligibility, Research Experience, Clinical Research Eligibility, and Career Trajectory:** Complete the form according to the instructions. The career trajectory section is optional.

4. **Contributions to Research Community and Promotion of Positive Research Culture** *(maximum 250 words)*: Complete the form according to the instructions.

5. **Project Ownership Plan** *(maximum of 350 words)*: Complete the form according to the instructions.

6. **Project Title, Summary, and Performance Sites** *(maximum 300 words)*: Complete the form according to the instructions at the top of that page. This summary will be posted on the HRiA website if the project is funded.

7. **Non-Technical Summary** *(maximum 350 words)*: Prepare a lay-language description of the proposed research that can be understood by the general public.

8. **Applicant's Biosketch** *(maximum 6 pages)*: Use the current NIH Biographical Sketch form.

9. **Mentor, Chair, or Division Chief's Biosketch** *(maximum 6 pages each)*: Use the current NIH Biographical Sketch form and forward this document to the applicant for inclusion in their document upload. A maximum of 3 co-mentor biosketches will be allowed*.

10. **Research Proposal** *(maximum of 5 pages, not including Human Subjects Section and References)*:

    Research Proposal Format: Arial 11 font and size must be used in the text of the research proposal section. Use single spacing within paragraphs, double spacing between paragraphs, and at least half-inch margins on all four sides. Any figures, graphs, tables or images may use an 8 point-font size and must be included within the page limit. Supplementary material (e.g., reprints of publications, appendices, and additional data) are not permitted. Include the applicant's name at the top of each page.
    Proposal components:
    - Specific Aims
    - Background and Significance
    - Preliminary Data *(if available)*
    - Research Design, Experimental Methods, and Analytical Plan
    - Research Limitations and Contingencies
    - Expected Outcomes and Future Directions
    - Human Subjects *(maximum 3 pages, not included in page limit)*
        - All research involving Human Subjects and/or requiring IRB approval must include the following:
            - Characteristics of the study such as interactions with and involvement of human subjects, study design and procedures, and information on sample or data collection.

- Possible risks of the study.
- Steps planned to reduce risks and protect subject safety.
- Justification for the sample size included in the research design must be provided. Consistent with current NIH policies[4], funded clinical research must include women and minority groups as well as a rationale that speaks to composition of the study population. Any exclusions within the study population need to be described and scientifically justified.
  o All proposals should include as much of the information required above as possible. If an applicant believes that this information is not applicable to the proposed project, the applicant should contact program staff.
- References *(not included in page limit)*

11. **Research and Career Development Plan** (*maximum of 1 page, not included in Research Proposal page limit*):
Create a table that outlines the project timeline, milestones, related research/career development activities, and mentor(s) contributions associated with the proposed specific aims, overall project goals, and other activities.

12. **Letters of Collaboration** *(if applicable, maximum of one page each):* Collaboration letters must be forwarded to the applicant for inclusion in the uploaded document. These are brief letters addressing the nature of the collaboration and the role of the collaborator. Do not include the collaborator's C.V. *Please note that these are separate and distinct letters from letters of recommendation outlined below.

13. **Program Budget and Other Support Form:**
The budget should be uploaded both as an Excel document in the online portal and converted to a PDF and included as the final section of the PDF Application Document. For instructions on converting the budget to a PDF see this document. Complete the following sections using the Budget template provided at https://hria.org/tmf/Patterson:
   a. Budget, Summary, and Justification: Complete the Budget Form for the Award Period. Detailed instructions can be found on the first tab of the spreadsheet. Detailed Year 1 and 2 tabs should be completed to reflect only the amount needed to conduct the proposed research. All applicants must demonstrate sufficient salary support to protect 70% time (with clinical responsibilities) or 90% time (without clinical responsibilities) for research. Patterson Trust Award funds may be used for salary support, research supplies and certain ancillary costs specific to the applicant's project. *Indirect costs are not allowed (see Terms of the Award).*

Justification for all budgeted items must be explained on the associated Narrative Justification tab. Please note that the Summary tab will be auto populated by information provided within the Detailed Year 1 & 2 tabs. Should there be any errors on the sheet, please contact program staff.

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[4] NIH Grants and Funding: Inclusion of Women and Minorities as Participants in Research Involving Human Subjects. https://grants.nih.gov/policy/inclusion/women-and-minorities.htm

b. Current and Pending Support: Complete the Current and Pending Support tab.
- <u>Duplication of funding is not allowable.</u> PI/Applicant should list all active and pending support, addressing potential overlap (if any) associated with the current proposed specific aims. If the research project is supported by other funding sources, a plan must be provided outlining how duplication of funding will be avoided.
- Other Support includes all financial resources, whether Federal, non-Federal, commercial, or institutional, available in direct support of an individual's research endeavors, including but not limited to research grants, cooperative agreements, contracts, and/or institutional awards. Training awards, prizes, or gifts do not need to be included.
- Effort devoted to projects must be measured as a percentage and indicated for each project.
- If applicable, please also provide grant overlap for co-investigator's/key personnel.

Letters of Recommendation: (submitted confidentially online)
14. **Mentor's Letter of Support** *(maximum of three pages and submitted confidentially through the online application system)*:

<u>Mentorship Team Participants</u>
The applicant must name a primary mentor who will guide the candidate in planning, directing, monitoring, and executing the proposed project. The applicant may also nominate co-Mentors as appropriate to the goals of the project.

<u>Mentor</u> – Primary mentor with an established and active research program. Mentors will provide leadership to the project PI and oversee the mentorship plan.

<u>Co-Mentor(s)</u> – The role(s) of any co-mentors with specific areas of expertise included on the project will describe how they will coordinate the mentoring of the candidate and provide adequate and appropriate capacity towards productive collaboration with the candidate. If any co-mentor is not located at the sponsoring institution, a statement should be provided describing the mechanism(s) and frequency of communication with the candidate, including the frequency of face-to-face meetings.

The primary mentor must confirm the following within their Letter of Support:
- **Applicant Qualifications:** Describe the applicant's research background and/or prior training and how the current project builds upon prior research efforts in their commitment to health-related research. Please include the following as it relates to the applicant:
  - Scientific background/training
  - Research ability/potential
  - Self-reliance/independence
  - Critical thinking skills
- **Eligibility:** Confirm the applicant's eligibility for the award; that they have completed the required amount of postdoctoral (or equivalent) research experience and/or completed clinical training by the award start date and can

commit the expected time to research. If the applicant has indicated any pauses to research experience, the mentor should comment and confirm, if applicable.

- **Mentorship Plan:** Provide a <u>clear mentorship plan</u> stating why the mentor has taken on this role for the applicant and how the mentor will be involved in the planning, execution, and supervision of the proposed research, and use their professional and scientific knowledge to support that the applicant to further develop their scientific career and promote their independence. It is encouraged that the mentor reference the applicant's Research and Career Development Plan.

- **Mentorship Team:** If the applicant has a mentorship team overseeing their research project, the roles of each member of the mentorship team should be described in this section. Provide assurance that appropriate time and support will be available for any proposed mentor(s) and/or other staff consistent with the career development plan (biosketches are not required for all members of the team).

- **Research Environment:** Provide a description of how the research environment (department and laboratory environment) is supporting diversity and inclusion, and a positive research culture to advance science.

- **Institutional Support:** Include a brief description of the institutional support available that confirms that the candidate will have access to <u>sufficient</u> office and laboratory space, equipment, and other resources and facilities (including access to clinical and/or other research populations) to carry out the proposed research plan.

- **Project Ownership:** Include a statement that describes what part of the proposed project belongs to the applicant, and state that the applicant will have overall responsibility for, and ownership of, this portion of the project and be able to take this portion of the project to an independent research position. The applicant may use this project to pursue additional grant funding, and that the mentor will not compete with the applicant on the project that is "owned" by the applicant.

15. **Two Additional Letters of Recommendation** *(maximum of two (2) pages per letter and submitted confidentially through the online application system)*. Additional letters of recommendation may be provided by any individual that is able to speak to the applicant's research potential:
    - Describe the recommender's association with the applicant.
    - Describe the applicant's research background and how the current project builds upon prior research efforts in their commitment to health-related research. Please include the following as it related to the applicant:
        - Scientific background/training
        - Research ability/potential
        - Self-reliance/independence
        - Critical thinking skills

Bias in Recommendation Letters

We are all working to reduce bias, and letters are sometimes biased in ways that systematically disadvantage people based on race and/or gender. As letters are being

prepared, we have provided a table that provides suggestions for letter writing to help avoid bias as modeled after the University of Arizona's guidance on this topic.

Mention research & publications	Letters of reference for men are more likely to mention publications and to have multiple references to research. Put these critical accomplishments in every letter.
Don't stop too soon	On average, letters for women are shorter and more likely to make a minimal assurance ('she can do the job') rather than a ringing endorsement ('she is the best for the job').
We all share bias	Unconscious gender bias isn't exclusively a male problem. Research shows that women are as susceptible to these common pitfalls as men.
Keep it professional	Avoid gratuitous references to personal life and make sure you use formal titles and surnames for both men and women.
Stay away from stereotypes	Do not invoke negative stereotypes even indirectly ('she is not emotional'). Be careful evoking even positive gender stereotypes ('caring', 'compassionate', 'helpful'), as even these can potentially hurt a candidate.
Be careful raising doubt	Honest letters are crucial, but negative or irrelevant comments, such as 'challenging personality' or 'I have confidence that she will become better than average' are twice as common in letters for female applicants. Don't add doubt unless it is strictly necessary.

IMPORTANT: It is the applicant's responsibility to monitor the status of the online recommendations prior to the application deadline. Applicants will not be able to complete the application process if the letters are not submitted. See the information below on how to request letters of recommendation and troubleshooting steps for using our online system.

We are available to ensure the timely submission of your application and can help with any questions or concerns. Late submissions will be rejected.

HRiA is committed to making our resources accessible to everyone. If you require an accommodation or service to access our resources, please contact program staff.

Direct any questions to program staff:
PattersonAwards@hria.org

(5.2024)

THREE confidential letters
1) your mentor
2) your choice of two additional Recommenders
- ☐ Applicant sends email via the online application system to each Recommender
- ☐ The Recommenders must use the link provided in the email request to upload the confidential letters
- ☐ Recommenders provide official letters recommendation
- ☐ Application is ready of submission

Instructions for Sending an Email Request to each Recommender:
- On the "Recommenders" page of your application, input the Recommenders names and emails.
- Check the "Write and Send Email" box for the specific individual you are contacting. (Note: the form default is to have all the "Send Email" boxes checked so make sure you uncheck the others until you are ready to draft each individual message).
- Click on the "Send" button.
- This will bring you to the "Notify Selected Recommenders" page. Customize the subject line and draft your email message for each Recommender with your request.
- Click on the "Email and Send" button again. This will send the email to your selected 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.
- The Recommenders must use the link provided in the email request and log in using the email address to which your request was sent.
- Letters must be in PDF format on institutional letterhead and must not be password protected.
- When the Recommenders submit their letters, they will become part of your application. You may log into your My Account page (https://www.grantrequest.com/SID_738/?SA=AM) to view the status of these letters. The files will appear on this page, but you will not be able to open or read them.
- Notify your Recommenders to expect the email request. If you experience any issues or your Recommenders do not receive the email(s) from the online system within the same day as the request, or have difficulty uploading the letters, refer to the troubleshooting steps below as a first step before contacting Program Staff.

Troubleshooting steps:
1) Remove and re-add Recommender email to generate new link. Recommender should check their Spam or Junk Folder for the email link.
2) Safe list the system email – Mail@grantapplication.com – to prevent the email from looking like Spam or Junk mail. Helpful link regarding Safe listing: http://email.about.com/od/outlooktips/qt/et092904.htm
3) Re-send the request utilizing a personal email (non-institutional) for the Recommender.
4) Return to your Account link to see that letters have been uploaded and you are ready to submit: https://www.grantrequest.com/SID_738?SA=AM

If the troubleshooting steps above do not work, please contact Program Staff at: PattersonAwards@hria.org

Terms of the Award

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 the Award 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, or research institutions (the "Institution") within the states of Connecticut, New Jersey and Rhode Island on behalf of the Award Recipients (the "Recipient"). 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 principle 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 Assurances: The Institution and Recipient must adhere to all federal, state, and local regulations regarding the use of human subjects, animals, radioactive or hazardous materials, and recombinant DNA in this Project. It is the responsibility of the Recipient's Institution to ensure that all approvals (IRB, IACUC, other) are in place prior to releasing any award funds. The confirmation of the representative of the Institution on the application forms confirms this oversight.

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

Funding Provider and Not Sponsor: The Recipient and Institution acknowledges that the Administrator and Funder are solely a provider of certain funding for the research to be performed under an award and are not a sponsor of the research. The Recipient and Institution agrees that it will not make any statement, written or oral, alleging that the Administrator and/or Funder is a sponsor of the research under the award.

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 (the "Indemnifying Party") shall indemnify and hold the Administrator 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 from any third party claim arising out of or in

connection with the Award to the extent caused by the Indemnifying Party's or its directors', officers', or agents' acts or omissions, or failure to comply with the terms of this Agreement.

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."

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

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

An NIH K Award (i.e. K08, K23, K99/R00), R01 or equivalent grant, awarded to the Recipient, cannot supplement the Award. In all circumstances, The Administrator must be notified of the receipt of additional funding at least 30 days prior to that Award start date. If such a grant is received prior to the start of funding, the application must be withdrawn and if the grant is awarded during the Award period, the Funder reserves the right to terminate the Award on a case-by-case basis. In the case of Award termination, any unexpended funds remaining from the Award must be returned to the Administrator or the Funder.

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

The Recipient 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.

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 to support the Mentor's of Division Chief's salary. In addition, 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 (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 are not allowed.

Protected Time: Award Recipients with clinical responsibilities must have protected time of at least 70% for research; Awardees without clinical responsibilities must commit at least 90% time to research. Salaries must be in direct proportion to the percent effort on the research project. However, percent effort may exceed the percent of total salary requested from this Award.

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 $10,000 must be clearly justified in the annual financial report or conveyed in an update to the report to the Administrator a minimum of thirty (30) days prior to requested effective date of change. 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.

Carryover of Funds: All requests to carry forward unspent funding from one year's budget to the next must be clearly justified in the annual financial report. Amounts greater than $20,000 will be scrutinized and may be disallowed if adequate justification is not provided.

No-Cost Extension: A no-cost extension ("NCE") for up to twelve (12) 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 returned to the Administrator, within sixty (60) days. *NCEs will only be granted in exceptional circumstances.*

Changes in Award Status: 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 at least thirty (30) days prior to such change. The Funder reserves the right to terminate the Award in the event of a significant change in the Recipient's academic status, including promotions conferring independent faculty status or its equivalent. In the case of fellowship termination, any unexpended funds remaining from the Award must be returned to the Administrator or the Funder.

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. This request must include a Fiscal Report stating the remaining fund balance as well as a letter from the proposed Division Chief / Mentor at the new institution confirming the availability of resources to continue the project. If approved, the Institution will return unexpended Project funds, subject to allowable costs and non-cancelable obligations, to the Administrator to coordinate the transfer of unexpended funds to the new institution.

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

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

to the Administrator within sixty (60) days. Performance under this Agreement may be terminated by either party upon thirty (30) days written notice to the other.

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

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

- A determination, preliminary or otherwise, is made by the United States Internal Revenue Service that the award does not constitute a qualifying distribution.
- The Institution fails to perform any of its duties, in the judgment of the Funder, the Administrator, or its Scientific Review Committee, required by 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 unspent funds in excess of $200.00 remaining at the close of an Award Period (extended via NCE or otherwise) must be returned to the Administrator within sixty (60) days.

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

Reporting Requirements and Payment Schedules: Final scientific and financial reports are due sixty (60) days following conclusion of the Award Period. Progress reports are due annually in November, 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. The Mentor/Division Chief is also required to complete a section of the Progress Report that addresses the Recipient's research and training plans during the second year of funding. 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 a minimum of thirty (30) and a maximum of ninety (90) days prior to requested effective date of change. In cases where an extension has been granted, Recipients may be required to file an interim status report.

In order for the Funder to understand the impact of the award in the longer term, the Recipient 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 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 (http://www.hria.org/tmf/Patterson) and may be posted on other affiliated organization websites, publicly accessible databases of privately funded awards, or published in print form or other media. As noted in the application guidelines, the Project summary submitted with the application will be posted on the Administrator's website if the Project is funded.

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

Acknowledgements: Professional publications or presentations resulting from Project work supported by the award must acknowledge the **Robert E. Leet and Clara Guthrie Patterson Trust Mentored Research Award, Bank of America, Private Bank, Trustee.**

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.

Revised (5.2024)