

**Robert E. Leet and Clara Guthrie Patterson Trust
Mentored Research Award
Clinical, Health Services and Policy Research**

Bank of America, N.A., Trustee



Two-Year Awards of \$90,000 (\$45,000 per year)
Funding Period: October 1, 2017 – September 30, 2019

Terms of the Award

Program Overview and Statement of Purpose: The Robert E. Leet and Clara Guthrie Patterson Trust was created in 1980 to support research “relating to human diseases, their causes and relief.” As steward of the Patterson Trust, U.S. Trust, Bank of America Private Wealth Management works with The Medical Foundation at Health Resources in Action, to support the most qualified Applicants working in clinical, health services, policy or clinical translational research. HRiA is a non-profit organization in Boston, MA that advances public health and medical research. While the majority of funding comes from the Patterson Trust, support for cancer-related research will also be provided by the William O. Seery Foundation.

Award Amount and Funding 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.

Two-Year Awards, totaling \$90,000 (\$45,000 per year), will be made for the funding period of October 1, 2017 – September 30, 2019. Recipients may postpone the start date for up to three months without a formal request. Longer delays must be approved by The Medical Foundation. A delayed start date will not reduce the total Award Period (i.e., a project start date of January 1, 2018 will revise the project end date to December 31, 2019).

Institutional Assurances: Recipients must adhere to all federal, state, and local regulations regarding the use of human subjects or biologic samples including informed consent, when appropriate. It is the responsibility of the Institution to make sure that all human subjects and other required institutional approvals are in place prior to releasing any Award funds. The signatures of the Authorized Institutional Representative on the Application Face Sheet and the Institutional Officer on the “Institutional Officer Acceptance Agreement” confirm this oversight.

Liability: The Medical Foundation and the Robert E. Leet and Clara Guthrie Patterson Trust do not assume any liability or responsibility for activities supported by this Award including, without limitation, incidents or accidents involving the Award Recipient (whether on travel, in the laboratory or classroom, or elsewhere).

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

According to the NIH/U.S. Department of Health and Human Services, research misconduct is defined as the “fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.” A finding of scientific and/or financial misconduct must be reported to The Medical Foundation and may affect the Award Recipient’s continued eligibility for support under this Program.

Financial Responsibilities of Award Recipient Institution: The Institution will keep systematic records of all expenditures relating to this Award. Vouchers consisting of bills, invoices, cancelled checks, receipts, etc. will be retained by the Institution for three (3) years after the close of the Award period and will be available for inspection by representatives of Bank of America, N.A., Trustee during normal business hours and upon reasonable notice throughout this period. Bank of America may, at its expense, examine, audit, or have audited the records of the Institution insofar as they relate to activities supported by this Award.

Use of the Award Funds: The laws of the United States place certain restrictions on the manner in which funds awarded by charitable trusts and foundations may be expended. Patterson Trust Award funds may be used to support salaries and fringe benefits; publication of scientific data; travel to scientific meetings; laboratory and data processing supplies; and other direct expenses such as equipment (up to \$2,000) essential to the research project.

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 the Patterson Trust.

The grant monies which have been awarded, including any interest earned, may only be used for the purposes stated in this agreement and in accordance with the approved budget. Any change in the budget must receive prior written approval from The Medical Foundation.

Funds may not be used to support the Mentor’s or Division Chief’s salary. In addition, funds may not be used for new construction, the renovation of existing facilities, fundraising projects, endowments, any political activity, or for general operating costs.

Indirect costs (Institutional Overhead): Indirect Costs are not allowed.

Re-Budgeting: Expenditures are expected to be within reasonable range of the Budget that was submitted in the grant application. All requests for re-budgeting or reallocation of Award funds over \$5,000 must be conveyed by email to The Medical Foundation's Program Officer for approval. The request must include the current allocation of funds along with specific detail and justification for the reallocation.

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

Scientific and Fiscal Progress Reports will be due in early June 2018 regardless of the start date of the Award. **Final Reports** are due two months following completion of the Award period or an approved no-cost extension. Recipients will receive an email notice and forms for all yearly reports approximately three weeks prior to their due dates. Bank of America, N.A., Trustee and The Medical Foundation reserve the right to place a hold on funds in cases of non-compliance with these Reporting Requirements.

Carryover of Funds: Funds remaining at the end of Year 1 of the Award period may be carried over to Year 2 and incorporated into that year's budget.

No-Cost Extension: Following the two-year Award period, **a no-cost extension for up to nine months** may be granted upon email notification to the Program Officer and approval by The Medical Foundation. This communication must contain an explanation for the extension, the unexpended balance, and a timeline for completing the project. Any portion of the Award not expended at the conclusion of the extension period must be returned within sixty (60) days. Final Scientific and Fiscal reports will be due 60 days following completion of the extension.

Transfer or Termination of Award: Awards are made to the Institution where the named Award Recipient is conducting research. If the Award Recipient is planning a move to another nonprofit research institution during the Award period, transfer of funds to continue the project must be communicated via email to the Program Officer. 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 the transfer is approved, the Award Recipient and the new Institution will be responsible for notifying The Medical Foundation of the new payee and oversight contacts as well as coordinating the fund transfer.

If the Recipient is not continuing the research in another nonprofit research setting, the Award will be cancelled and unused funds must be returned within sixty (60) days. If the project is terminated for any other reason by either party, any unused funds must also be returned within

sixty (60) days. Disposition of any equipment purchased by the Award Recipient with Patterson Trust funds will be evaluated on a case by case basis.

Transfer of the Patterson Trust Award to another individual is not permitted.

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

Unused Funds and Reversion: The Institution is required to give written notice if there is a change in the Institution's status as noted below. Should any of the following events occur, The Medical Foundation, on behalf of Bank of America, N.A., Trustee, may demand repayment of all unexpended portions of the Award; moreover, all unpaid installments may be cancelled.

- A determination, preliminary or otherwise, is made by the United States Internal Revenue Service that the Award does not constitute a qualifying distribution.
- The Institution fails to perform any of its duties, in the judgment of Bank of America, N.A., Trustee, The Medical Foundation or the Scientific Review Committee, required by the Terms of the Award. In such cases, The Medical Foundation shall provide no less than thirty (30) days termination notice in writing to the Institution, upon which the Institution shall have an additional thirty (30) days following receipt of such notice within which to cure any deemed failures.
- The Institution ceases to be exempt from income taxes under the United States Internal Revenue Service Code or becomes a private foundation.
- There is a material change in the purpose, character, or method of operation of the Institution such as to jeopardize its tax status.

Family and Medical Leave: The Award Recipient may continue to expend any Patterson Trust funds allocated to salary during medical or parental leave consistent with the Institutional level of paid leave for such purposes. Similarly, budgeted costs for maintaining the research study may be expended during the leave, subject to institutional policies. Re-budgeting of these expenses during leave requires approval of The Medical Foundation.

Patents, Copyright and Intellectual Property: The Award Recipient should follow the Institution's policies regarding discoveries or any other intellectual property that results from research conducted under this Award. Neither The Medical Foundation nor Bank of America, N.A., Trustee of the Robert E. Leet and Clara Guthrie Patterson Trust will retain any rights to intellectual property including patents, copyrights, trademarks, or other proprietary rights that result from the research.

Confidentiality and Third Party Release: Application materials as well as Scientific Progress and Final Reports are considered confidential. The Medical Foundation engages third parties who have the necessary expertise to review the submitted materials and evaluate each project. Although The Medical Foundation endeavors to protect the confidentiality of the reports by requiring reviewers to sign confidentiality agreements, confidentiality cannot be guaranteed. The Medical Foundation and Bank of America, N.A., Trustee are not responsible for any consequences resulting from the disclosure of the content of these materials to such third parties.

The Medical Foundation and Bank of America, N.A., Trustee reserve the right to public acknowledgement of Award information (Award Recipient Name, Institution, Project Title and Research Project Summary). This information will be made available through the website of The Medical Foundation at Health Resources in Action (<https://hria.org/tmf/Patterson>) and may be posted on other affiliated organization websites, included in publicly accessible databases of privately funded awards, or published in print form or other media.

Acknowledgment of Support: The Award Recipient is expected to share research findings in a timely manner through professional meetings and/or publications. Publications or presentations resulting from research supported by this Award must acknowledge the **Robert E. Leet and Clara Guthrie Patterson Trust Mentored Research Award, Bank of America, N.A., Trustee**. Upon publication, please send a link to the full text to The Medical Foundation's Program Officer.

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

Contact Information:

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