Dr. Ralph and Marian Falk Medical Research Trust – Catalyst Award Program

Bank of America, N.A., Trustee

Application Guidelines | Grant Cycle 2026

SUBMISSION DEADLINE	Terms of the Award
Thursday, June 4 2:00 PM, Eastern Time	Application Instructions

	Catalyst Award	**Transformational Award**
Award Duration:	1 – 2 years	2 - 3 years
Maximum Award Amount:	Up to $350,000 (inclusive of 10% indirect costs)	Up to $1,000,000 (inclusive of 10% indirect costs)
Award Start Date:	November 30, 2026	November 30, 2026
Eligible candidates:	Invited institutions (please see page 7) may internally select and nominate up to two projects.	Prior Catalyst awardees who meet eligibility criteria

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HEALTH RESOURCES IN ACTION

Program Overview and Statement of Purpose

The Dr. Ralph and Marian Falk Medical Research Trust was created by Marian Falk in 1979 and was fully funded upon her death in 1991. Mrs. Falk created the Trust to support **"medical research to improve treatments of the past and eventually find cures for diseases for which no definite cure is known."**

In 2014, the Falk Medical Research Trust launched a new program to fund transformational research focused on increasing the impact of its funding. This program provides support to move insights gained from basic science into clinical practice. In keeping with the intention to fund breakthrough research designed to overcome roadblocks in scientific progress, there are two separate linked awards:

- The ***Catalyst Research Award*** provides seed funding over one to two years, to help investigators lay the foundation for the Transformational Award. Select institutions are invited to submit up to two applications per grant cycle.
- The ***Transformational Research Award*** provides two to three years of additional research funding to support successful projects funded by a Catalyst Award and help them move a healthcare innovation toward the next step in commercial development. Applications will be accepted only from prior Catalyst awardees who have successfully achieved the proposed benchmarks and milestones outlined in their Catalyst Award proposals.

The Dr. Ralph and Marian Falk Medical Research Trust Awards Programs are administered by Health Resources in Action (the Administrator), on behalf of the Trustee, Bank of America, N.A. (the Funder). Health Resources in Action (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 high-risk, high-reward projects that address critical scientific and therapeutic roadblocks. If successful, these projects will have high impact outcomes that open new avenues for treating, curing, and improving the lives of individuals suffering from disease. The Program has three principal areas of focus:

1. Identification of biological markers of disease activity and progression,
2. Identification of targets for therapeutic interventions, and
3. Development of therapeutic agents that will disrupt, arrest, or prevent the disease process.

Applications should be responsive to one of the three principal areas of Research Focus and have high translational potential. Proposals that are not responsive to the mission of the Trust will not be reviewed and the nominating institution may be removed from eligibility.

Investigator-initiated trials: In addition to pre-clinical research studies as described above, proposals for investigator-initiated trials (human clinical studies that are initiated, managed, and sponsored by the investigator or investigator's institution) may be considered if the following criteria are met:

- The study is original, hypothesis driven, sufficiently powered to produce a result that could change clinical practice or support the implementation of a larger confirmatory trial, rigorously conducted, and supported by strong preliminary data.
- Investigators have evidence of a credible plan in place to acquire the necessary regulatory and safety approvals and to recruit subjects so that the work will be feasibly completed within the study period. For reasons of feasibility, studies without IND approval (if needed) and studies without evidence of a robust participant recruitment pipeline or an existing cohort in place before application submission are discouraged. If the timing of regulatory approvals or recruitment is in doubt the project will not be approved for funding.
- The investigator and institution assume all legal liability and regulatory responsibilities as sponsor-investigator. All trials must be registered at ClinicalTrials.gov.

Examples of acceptable research areas include the human clinical testing of:

- An already licensed drug, nutraceutical, physical or psychologic therapy, or medical device for a different or new therapeutic indication (repurposing).
- A currently approved therapy in a new patient population (e.g., pediatric use of an adult therapy).
- A combination of individual therapies to improve clinical outcomes.
- A small open label trial likely to show a human signal that could lead to a funded randomized, controlled trial.
- Methods of improving diagnostic success.
- A comparison of two different treatment options for a disease to improve physician-patient decision-making.
- The tracking or testing of new biomarkers or endpoints.
- Therapeutic impact over time to improve clinical decision-making and/or outcomes.
- New imaging modalities/agents.
- Use of digital health technologies to improve diagnostic success or enhance therapeutic outcomes.

Research Stage

All stages of the translational research pipeline are eligible for Falk funding. Applicants will be asked to make clear in the application which stage of translation the proposal is targeting.

Early stage	Early preclinical development from biomarker or target identification and validation to proof of concept, up to development of a lead therapeutic
Late stage	Lead optimization through drug candidate selection and IND-enabling studies
Pre-transition	Late-stage projects that need one or more critical experiments (e.g., lead candidate testing in non-human primates) to satisfy a transition requirement (i.e., FDA IND filing, venture capital investment, etc.)
Investigator-initiated trial	Proposals for human clinical studies that are initiated, managed, and sponsored by the investigator or investigator's institution

Catalyst Award Guidance to Applicants

Purpose: Catalyst Awards provide an opportunity to conduct preliminary work on high-risk, high-reward research addressing a wide variety of clinical disease areas. The target of the Falk Catalyst Award's funding are projects at the intersection of technology and clinical science, intended to move from basic science insights towards solutions, techniques, and tools that can be transferred to clinical practice in the near term. The Catalyst Research Award Program provides one to two years of seed funding to enable planning and development of projects, teams, tools, techniques, and management infrastructure necessary to successfully compete for two- to three-year awards through the Transformational Research Award Program. The work proposed in the Catalyst submission will serve to demonstrate the scientific promise, infrastructure, methods, and preliminary data in support of further transformational research.

Award Transition: Successful applications will describe the objectives of an overall research program and provide a detailed timeline describing the **milestones and benchmarks** expected to be achieved during the Catalyst Research Award. Investigators and institutions must have the appropriate skills, expertise, facilities, equipment, and staff in place to conduct the proposed research. The Catalyst Awards are a steppingstone to eligibility for the Falk Transformational Awards Program. If **milestones and benchmarks** are successfully met, recipients are encouraged to apply for additional 24-36 months of funding through the Transformational Awards program. *Due to the budgetary limitations of the Trust, even if all Catalyst Award milestones and benchmarks are met, Transformational Award funding is not guaranteed.*

Budget and Feasibility: To ensure the best chance of receiving funding, applicants should request the amount of time and budget that is essential to the proposed research, up to the stated limits, and clearly justify these choices in the application and budget justification section. Falk Catalyst and Transformational funding is intended to support the time-limited project proposed, not the long-term general infrastructure of the institution. If institutions do not have the required equipment to conduct a project, researchers should seek collaborators to help them access it.

The number of Catalyst Awards available will be determined by the Trustee each year, depending on the availability of funds and the merit of the applications received. The Trustee will ultimately have the right to determine whether the use of funds is appropriate and in line with the terms of the Trust.

Eligibility Criteria

Translational research projects must be nominated by invited Institutions (maximum 2 per institution) and conducted by an investigative team including an administrative lead based at the nominating institution.

- The administrative lead applicant (Principal Investigator) must hold a full-time faculty appointment at the nominating institution. The nominating institution must be where the lead applicant's research will be conducted and must be the primary funding recipient if the application is awarded.
- PIs and multi-PIs must be independent investigator(s) with demonstrated institutional support and the specialized space and facilities needed to conduct the proposed research.
- Applicants and key personnel may not have funding support for a similar project.
- At the time of application, the lead applicant must not currently hold an award from the Catalyst or Transformational programs. Former awardees may apply, but only with a new project that is not related to their previous Falk Catalyst or Transformational award.
- United States citizenship is not required; visa documentation is not required.
- Each PI may only submit one application.

Collaborations

The Trust encourages investigative teams that involve synergistic collaborations between industry, government, academic and disease-advocacy organizations. Collaborations should combine complementary expertise capable of addressing roadblocks and accelerating achievement of critical research objectives. Investigators are encouraged to integrate teams horizontally across different disciplines, to involve both PhD and MD researchers, and to integrate teams vertically in terms of investigator seniority. Proposals may extend or apply such ongoing collaborations or establish new ones.

Awards will be made via a contract awarded to a single invited institution responsible for satisfying the administration, performance, and reporting requirement of the contract. Other collaborating organizations, both non-profit and for-profit, may be subcontracted to the lead institution and must designate a lead principal investigator who is responsible for performance under the contract.

In support of this collaborative approach, the Catalyst Program may provide funding to investigators for:

- Identifying any competencies necessary to complete the project that are not available within the applicant institution,
- Identifying collaborators who will provide those competencies,
- Building relationships and negotiating contracts between institutions,

- Internal development of critical expertise or tools that are not available from external sources, and
- Building the management infrastructure to support future project proposals.

Project Key Personnel, Definitions

- **Principal Investigator (PI):** One principal investigator (Applicant) must be identified as the lead or administrative PI of the award, who will be responsible for all grant reporting and fiscal management. The lead or administrative PI will be the main contact for budget and reporting management.
- **Multiple Principal Investigators (Multi-PIs):** Multi-PIs may be proposed for projects that involve a team science leadership approach. The application should describe the need for multiple PI management.
- **Collaborators:** Collaborators may share Award funding.

Review Criteria

Translational Potential	Project moves a basic science insight toward a solution, technique, or tool that can be transferred to clinical practice in the near term. *Catalyst Award* projects must be poised to successfully transition into a *Transformational Award. Transformational Award* projects must have achieved their *Catalyst Award* benchmarks and milestones and should move an exciting healthcare innovation toward the next step in commercial development. High translational potential is an essential prerequisite for a favorable score.
Impact	The proposed research project addresses a critical scientific or therapeutic roadblock, will open a new avenue for treating or curing a disease, and will have high impact on improving the lives of patients, if successful. May be high risk.
Investigative Team	The investigative team has the right combination of expertise and high potential to successfully carry out the project, and access to necessary infrastructure. Collaboration with synergistic industry, government, academic, or disease-advocacy organizations that integrate complementary expertise is an additional, but not required, positive factor.
Project	The proposed work is based on sound precedents and a clear rationale. Objectives are technically feasible. Research methodology is realistic and sufficiently powered. *Catalyst Award* milestones and benchmarks should have potential to demonstrate that the innovation warrants further investment through a subsequent *Transformational Award*. Requested budget and duration are appropriate and realistic for the research proposed.

2026 Invited Institutions

The list of eligible institutions was developed in line with the wishes of the Trust's founder. It focuses on research institutions located in the Midwestern United States with a few exceptions for historical reasons.

Brown University	RI
Case Western Reserve University	OH
Cincinnati Children's Hospital	OH
Cleveland Clinic	OH
Henry Ford Health	MI
Indiana University	IN
Lurie Children's Hospital (formerly Children's Memorial Hospital)	IL
Loyola University	IL
Mayo Clinic	MN
Medical College of Wisconsin	WI
Michigan State University	MI
Nationwide Children's Hospital	OH
Northwestern University	IL
Purdue University	IN
Rush University	IL
Shirley Ryan AbilityLab (formerly Rehabilitation Institute of Chicago)	IL
Stanford University	CA
The Ohio State University	OH
Thomas Jefferson University	PA
University of Chicago	IL
University of Cincinnati	OH
University of Illinois – Chicago	IL
University of Illinois – Urbana-Champaign	IL
University of Iowa	IA
University of Kansas Medical Center	KS
University of Michigan	MI
University of Minnesota	MN
University of Missouri	MO
University of Nebraska Medical Center	NE
University of Wisconsin	WI
Washington University in St. Louis (WUSTL)	MO
Wayne State University	MI
Yale University	CT

Notification Schedule

Final notification to applicants will occur in mid-September for the November 30th funding start date. Applicant ranking and scores will not be provided. Key points from reviewer feedback will be provided.

Historical Success Rate

Historical Statistics	2025	2024	2023	2022	2021	2020
Catalyst Submissions	59	54	53	47	45	44
Catalyst Award Recipients	19	8	17	18	16	11
Funding Rate:	32%	15%	32%	38%	36%	25%
Transformational Submissions	18	8	8	10	7	6
Transformational Award Recipients	5	2	5	5	3	3
Funding Rate:	28%	25%	63%	50%	43%	50%

Proposal Writing Tips

Applicants are strongly encouraged to prioritize good grant writing in drafting their applications to maximize their chances of being funded. The quality of the written proposal is an important factor in the scoring of proposals, in addition to the quality of the science and the team, and the impact the work will have on patients. The Review Committee is composed of a multi-disciplinary group of professionals such as venture capital investors, biotech executives, and academic researchers, with translational expertise and the ability to assess a wide range of proposal topics. 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 a project to the next stage of translation 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.
- Concise/essential background, aims, experiments, milestones, and analysis plan are connected using clear logic, and key choices are justified.
- For products that aim to enter a competitive environment, the proposal makes clear how the eventual product will be differentiated in a way that supports commercialization.
- Institutions should ensure that the proposed product has potential to fulfill an unmet need before nominating. Proposals for products that are not sufficiently differentiated, or which are not likely to improve upon equivalent products currently in development, are unlikely to be successful. Researchers and institutions are encouraged to research and/or seek advice from professionals who are aware of the currently available therapeutics and the product pipeline in the relevant area.
- Goals and metrics of success are well-defined.

- The impact of the work and how it will lead to a substantial advance in translational research should be clear.
- Any scientific or budgetary overlap with other current or pending support is clearly described, including a plan to avoid duplication of funding.
- Budgets should reflect the amount needed to conduct the proposed research. The maximum budget should not be requested unless it is genuinely needed.
- The timeline should be feasible, as no cost extensions will only be awarded in exceptional cases.

Applicants are encouraged to seek feedback on their proposals within their institutions and externally. 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

Application Instructions

Deadline: Thursday, June 4, 2026 at 2:00 PM, U.S. Eastern Time

Online Application Instructions:
Applicants will submit their proposals in the HRiA Award Manager: https://hria.us-1.smartsimple.com/. Detailed instructions for how to register for and use the Award Manager can be found at https://hria.org/grants/FalkCAP.

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

The following information will be required for online submission:

- ☐ **Lead Organization/Applicant Information**
  - Organization Tax ID, Name, and Contact Information
  - Applicant Information
    - Contact and Demographic Information
    - Degree(s)
    - Full Academic Title
    - Department
    - ORCiD Number
    - Publications Link – Please provide a link to a publication repository (such as the MyNCBI My Bibliography or Google Scholar)
    - Education
  - Institutional Officials Contact Information
    - Department or Division Chair
    - Authorized Institutional Representative – This individual is responsible for research oversight and is often in the Office of Sponsored Programs. This person signs off on the application to ensure that the Applicant and the Organization have met the eligibility requirements. Applications may not be submitted without Authorized Institutional Representative completing Certification within application.
- ☐ **Key Personnel (Collaborators, if any)**
  - Please list names and institutional affiliations of all Key Personnel including lead applicant (PI), Multi-PIs and Collaborators.
- ☐ **Project Information**
  - Award Program
  - Project Title
  - Amount Requested: Please list the total amount you will be requesting for the duration of the grant cycle. This should match the amount provided in the Excel Budget.
  - Project Duration: Indicate whether the project is for one (1) or (2) years
  - Institution where the Proposed Research will be Conducted
  - Research Stage, Health Area, Research Classification
  - Keywords

- Project Summary (300 words max): State the project's broad, long-term objectives and specific aims. Describe concisely the research design and methods for achieving these goals. This abstract is meant to serve as a succinct and accurate description of the proposed work when separated from the application and will be posted on our website if the project is funded.
- Non-Technical Summary (350 words max): Prepare a lay-language description of the proposed research and its impact that can be understood by the general public.
- Non-Technical Overview
    - Answer the following questions in ONE SENTENCE EACH, in terms understandable to a non-specialist. 1) What big question(s) will your work answer? 2) Why does this question matter? 3) How will your work answer the big question?
- Experimental System(s), Key Tools and Techniques to be Utilized (350 words max)
- Research Focus (check all that apply):
    - Identification of biological markers of disease activity or progression
    - Identification of targets for therapeutic interventions
    - Development of therapeutic agents that will disrupt, arrest, or prevent the disease process
- Translational Stage: Indicate which stage of translation the proposal is targeting (check all that apply):
    - Early - Preclinical from biomarker or target identification and validation to proof of concept up to development of a lead therapeutic
    - Late - Lead optimization through drug candidate selection and IND-enabling studies
    - Pre-transition - Projects that need one or more critical experiments to satisfy a transition requirement
    - Investigator-initiated trial - Proposals for human clinical studies that are initiated, managed, and sponsored by the investigator or investigator's institution
- Description of Translational Potential (350 words max): The Falk Research Award Programs fund high-risk, high-reward projects that address critical scientific and therapeutic roadblocks. Projects should have the potential to lead to meaningful impact on human health. High translational potential is an essential prerequisite to a favorable score. Please address the following within your response:
    - Which stage of translation the project is at.
    - Which critical roadblock(s) this project addresses and sufficient context for a non-subject matter expert to understand the importance of addressing this.
    - How it will move a basic science insight toward a solution, technique, or tool that can be transferred to clinical practice in the near term.
    - The nature of the risk involved with this project.
    - If successful, how it would be used in clinical medicine to open a new avenue for treating or curing a disease.
- Resubmission Response (if applicable, maximum 300 words)

- For project resubmissions, please provide a high-level description of the issues that were raised previously by reviewers and how those concerns were addressed in the current proposal. This should not be a point-by-point rebuttal but rather a summary of how the new application addresses key issues raised by the reviewers, including changes to the overall hypothesis, specific aims, and if new preliminary data were added.

Attachments

The online application system will have individual upload fields for the following attachments. Any required application templates for the following sections can be found in separate documents located at https://hria.org/grants/FalkCAP.

☐ **Research Proposal:** Outline succinctly how the proposed research project addresses critical scientific and therapeutic roadblocks that may open new avenues for treating and curing disease. Arial 11 black font and size must be used in the text of the research proposal section. 1-inch margins on all four sides. Research Proposal sections include both word count AND page limit maximums. Figure legends do not count towards word limits, however any figures, graphs, tables or pictures, including their legends must fit within the indicated page limits for each section. For these visuals, the minimum is an 8 point-font size. Supplementary material (e.g. reprints of publications, appendices, and additional data) are not permitted.

Utilize headings provided in the application template. Include these sections:

1. **Background and Significance** (maximum 1000 words and 2 pages including figures): Provide a detailed rationale for the entire transformational research program, while providing a context for the proposed Catalyst Research Award. Include sufficient background information to allow non-subject matter experts to assess the proposal.
2. **Preliminary data** (maximum 1000 words and 3 pages including figures): Data should support the research aims and clearly show relevance to the project. Critical information and metrics describing proposed markers, targets or therapeutics should be clearly described (e.g. target or marker validation, lead optimization, pharmacology and toxicology studies, etc.).
3. **Specific Aims** (maximum 500 words and 1 page including figures): These should be specific, measurable, and necessary preliminary steps for the overall research effort. These aims will form the basis of the Catalyst Award milestones.
4. **Research design, experimental methods, and analytical plan** (maximum 2000 words and 4 pages including figures)
5. **Research limitations and contingencies** (maximum 300 words)
6. **Community engagement** (maximum 250 words): Briefly explain how the patient and payer voice has been involved in developing the project if relevant. Explain how you intend to include patient input going forward including any plans for patient or community engagement and dissemination of results. Please note that award funding may be budgeted for this purpose.

7. **Clinical impact and commercialization potential** (maximum 300 words): Briefly explain how the eventual product will be used in clinical medicine if successful, including how it will build on standard of care. Explain the value proposition in the context of the competitive environment (e.g., value compared to the nearest competitor or alternate approaches), the market potential for the proposed product, and/or any current or future plans for licensing of technology. Discuss any current industry relationships that may facilitate commercialization, including creating a company for this purpose. How will the cost of the product relate to the value gained in improved quality and length of life?
8. **Investigative team**
    a) Using the table provided, list all Key Personnel including lead applicant (PI), multiple-PIs and collaborators.
    b) (maximum 200 words): Briefly describe how the team will function including the relevant qualifications of the investigative team and how the team members, including collaborators, will contribute to the project. Include how the team will bring diverse perspectives and promote diversity, equity, and inclusion within the team and/or in the research process.
9. **Award transition plan** (maximum 200 words): Include a brief description for how the proposed project will lay the foundation for and be successfully transitioned into a Transformational Award. Refer to specific milestones and benchmarks that if successfully met, would then enable the Applicant to apply for additional funding through the two-year Transformational Awards program.
10. **Catalyst Project Milestones and Research Plan Tab**le (maximum 1 page): Create a summary table (no more than one page) based on the specific aims, that shows each milestone, the associated benchmark measure(s) of success, estimated timeline; it may also include other explanatory material (including key personnel or collaborators). The successful completion of these activities will form the basis of subsequent Transformational Award applications. Please include specific data, methods, and benchmarks that will demonstrate achievement of each milestone. Quantitative benchmarks must include reference to statistical methods including sample size justification. Note: All personnel and collaborations should be related to the achievement of milestones.
11. **Optional Sections, not included in page limit**:
    a) **Management plan** – required for multiple-PI projects, optional for others.
    b) **Human or animal studies** considerations, as applicable.
        - Research involving Human Subjects must include the possible risks of the study (e.g., potential adverse or off target effects, complications, etc.) as well as steps planned to protect patient safety. Justification for the sample size included in the research design must be provided. Human studies must include an enrollment table that describes participant recruitment. Funded clinical research must include women and racially and ethnically diverse participants in proportions that reflect how the disease affects the population. Any exclusions within the study population need to be described and scientifically justified.

- Research involving Vertebrate Animals must include a description of the proposed procedures on live animals; justification for animal use and why the research cannot be accomplished using an alternative model; circumstances of, and methods to minimize animal pain and distress; and methods of euthanasia if not consistent with American Veterinary Medical Association guidelines.

c) **Trial Approvals** - For Investigator-Initiated Trials, explicitly state the status of or plan for obtaining FDA and/or IRB approvals.

12. **Literature Cited** (not included in page limit)

☐ **Letter(s) of Support or Collaboration**

- **Department or Division Chair's Letter**: This letter (forwarded to the Applicant for upload) must address the applicant's qualifications to conduct the proposed research as well as note the space and equipment available for the completion of the project. If the applicant is Chair of his/her department, a letter of recommendation from the Dean should be submitted. The letter should include a section summarizing the institution's commitment to creating a positive and inclusive research environment with a representative scientific workforce.
- **Letter(s) of Collaboration (if applicable)**: When applicable, letters confirming the availability of resources outside the Applicant's institution or letters confirming any significant collaboration may be included (forwarded to the Applicant for upload). These are not additional letters of recommendation but are brief letters (up to one page) addressing the collaboration.

☐ **Budget and Other Support Form –** The budget should be uploaded as an Excel document in the online portal. Complete the following sections using the Budget template provided on the program website.

- **Budget, Summary, and Justification:** Complete each tab in the Excel spreadsheet template as indicated in the instructions on tab 1. Indirect costs (institutional overhead) may not exceed 10% of direct costs or $31,818.18 on a $350,000.00 award. In instances where there is a subcontract, the subcontract budget must be included and combined dollar amount for indirects taken by both the Award Recipient Institution and the contracting institution may not exceed total allowed indirects per award. Budgets should reflect only the amount needed to conduct the proposed research. The justification for all budget items must be explained. The compensation for personnel funded by Falk awards cannot exceed the NIH salary cap. Salaries must be in proportion to the percent effort on the research project; however, percent effort may exceed the percent of total salary support requested from the Program.
- **Other Support Page:** Using the Other Support tab in the Excel spreadsheet template:
    - PI/Applicant should list all active and pending support, addressing potential overlap for each at the level of the specific aims with the submission.
    - 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.
    - **Please list current and pending support for all multi-PIs. Only provide information on current and pending support for other key personnel if there is a potential for overlap of funds with the proposed Falk Award.**

- ☐ **Biosketch of PI/Applicant (max 6 pages)**: If applicable, please also include Multi-PI Biographical Sketch(es) to the upload. It is not necessary to include a collaborator's biosketch. Applicants should use the current NIH Biographical Sketch Common Form, however older formats will also be allowed.

Please note: Supplemental materials are not permitted and will be removed.

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: FalkAwards@hria.org

Frequently Asked Questions: https://hria.org/grants/falkcap/

Revised February 2026

Terms of the Award

In order for Bank of America, Private Bank, as Trustee of the Falk Trust (the "Funder"), and Health Resources in Action (the "Administrator") to carry out our legal responsibilities, we must ask the award recipient (the "Recipient") and the Recipient's institution (the "Institution") as identified in the Application to read and acknowledge this award agreement (the "Agreement") for Recipient's proposed project submitted to the Administrator (the "Project"). The Agreement specifies the Recipient's and Institution's obligations for the duration of this award as identified above.

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 Assurances: The 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 unless the Application stipulates that seeking IRB approval is part of the project aims. 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 applicable federal, state, and local laws and regulations which govern the Institution, the Institution 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 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.

Anti-Harassment: The Institution shall have in place adequate controls and systems for assuring safe research environments carried out under the supervision of the Principal Investigator so that research is conducted in an environment free of all form of discrimination, harassment, intimidation, threat, and retaliation, expressly including those based on gender, sexual orientation, race, religion, national origin, disability or age. The Institution represents and assures the Administrator that (a) the Institution has in place adequate policy(ies) and procedures for reporting, investigating and addressing allegations of unlawful harassment or discrimination brought to its attention, (b) no member of the Recipient's research team has been determined to have violated its policy(ies) against unlawful harassment or discrimination, and (c) it is not aware that Recipient or anyone on the research team has been convicted or adjudicated as violating harassment or discrimination laws.

The Institution will notify the Administrator (d) if the Recipient or a member of the research team is placed on administrative leave or if any administrative action has been imposed on the Recipient or a member of the research team relating to any finding/determination of an alleged discrimination, harassment, and/or retaliation, and (e) it will promptly report to the Administrator any determinations that any member of the Recipient's research team has violated its applicable anti-harassment or antidiscrimination policy(ies).

The Administrator will review the finding/determination and/or administrative action, and determine the Institution's, Recipient's, and the research team's continued eligibility for support for the Project. Based on the Administrator's review, the Administrator reserves the right to take disciplinary action up to and including termination of the award.

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 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 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 10% of direct costs. In instances where there is a subcontract, the combined dollar amount for indirects taken by both the Recipient 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 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 the requested effective date of change. The request must include the current allocation of resources along with specific detail and justification 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. Amounts greater than $50,000 will be scrutinized and may be disallowed if adequate justification is not provided.

No-Cost Extension (NCE): A no-cost extension for up to twelve (12) months may be granted upon receipt and approval of a no-cost extension 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: 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, the 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, the 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 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 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 six (6) months after the award start date for one-year awards and in August for multi-year awards, 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 a minimum of thirty (30) days 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, Recipients will be expected to complete 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 (https://hria.org/grants/falkcap/ or https://hria.org/grants/falktap/) 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 **Dr. Ralph and Marian Falk Medical Research Trust, Bank of America, Private Bank.** The Award Recipient and Institution are encouraged to announce receipt of this Award entitled the Falk Medical Research Trust Catalyst Award and credit financial support to the **Dr. Ralph and Marian Falk Medical Research Trust, Bank of America, Private Bank**.

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.