

Smith Family Foundation: Odyssey Award

A program of the Richard and Susan Smith Family Foundation

Full Proposal Guidelines

2026 Grant Cycle

Submission Deadline Thursday, June 25 th , 2026 12:00 PM, Eastern Time	Terms of the Award Application Instructions
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Award Summary	
Award Amount and Duration:	Up to five \$400,000 two-year awards will be made to support junior faculty with the potential to generate breakthroughs and drive new directions in biomedical research.
Award Dates:	December 1, 2026 – November 30, 2028
Eligibility:	<ul style="list-style-type: none">• Based at a nonprofit academic, medical, or research institution in Massachusetts or at Brown or Yale University and their affiliate research hospitals.• Full-time, independent faculty at academic research institution. Applicants must have received their first independent faculty appointment (normally tenure-track Assistant Professor) on or between November 1, 2017 and December 1, 2022• Have less than \$750,000 in combined federal and non-federal funding in direct costs per year, excluding the institutional start-up package and other intramural support.• Researchers may apply a maximum of two times during their window of eligibility. The second application may be a resubmission of the first with substantive changes, or a new proposal.• See Eligibility Criteria for more details.
Research Focus:	<p>The two-year Award supports established junior faculty engaged in basic biomedical research. Investigators in the physical sciences (physics, chemistry, and engineering) whose projects focus on biomedical science are also encouraged to apply.</p> <p>Exclusions: While basic research projects involving human subjects, data, and samples are eligible, clinical trials research is beyond the scope of this program.</p>



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Program Overview and Statement of Purpose

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

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

The Smith Family Odyssey Awards Program is managed by Health Resources in Action (HRiA). 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

The two-year Award supports established independent junior faculty engaged in **basic or translational biomedical research**. Investigators in the physical sciences (physics, chemistry, and engineering) whose projects focus on biomedical science are also encouraged to apply. While basic research projects involving human subjects, data, and samples are eligible, clinical trials research is beyond the scope of this program.

We invite proposals from early-mid career faculty members who study a wide range of problems in diverse biological systems. For example, we have supported research as diverse



as regulated translation in synapse formation, bacterial regulators of immunity, kinetochore function in centromere cohesion, neural codes for perception, and DNA damage pathways in tumors. We recognize that very basic biology discovered in systems ranging from bacteria to plants to human tumors can impact fields as distant as neural pathfinding and immune function. We welcome proposals that range from fundamental biology to translational research. Our review committees have traditionally been composed of researchers from diverse disciplines.

In recognition of the importance of research collaboration within the scientific community, collaboration is an additional, but not required, positive ancillary factor. These projects may involve researchers within and/or outside the applicant's institution.

Eligibility Criteria

United States citizenship is not required.

Institution

- Researchers must have their primary appointment at a nonprofit academic, medical, or research institution in Massachusetts, or at Brown University or Yale University and their affiliate research hospitals.
- Research projects must be conducted within the entity that is submitting the application. Award funds will go to that entity. For example, if an applicant submits from Harvard Medical School, the research project must be conducted at Harvard Medical School and not at an affiliate location (such as Massachusetts General Hospital or Boston Children's Hospital).

Career Stage

- Applications will be accepted from full-time, independent faculty at academic research institutions. Applicants must have received their first independent faculty appointment on or between November 1, 2017 and December 1, 2022. Tenured faculty who received their first appointment within this window are eligible to apply.
- We understand that there is a continuum of independence at many institutions beginning with emerging independence at the Instructor level. However, to level the playing field and ensure that all applicants have only one window of eligibility, **we consider the tenure track Assistant Professor appointment to be the first independent faculty appointment.**
- If an Applicant has been on medical or family leave, or if research was interrupted for other reasons, this period of absence does not count towards eligibility. Please address any gaps in work history in the Personal Statement on the Biosketch. The Office of Sponsored Research must confirm the leave of absence as well as applicant eligibility.
- **Researchers may apply to the Smith Family Foundation: Odyssey Award no more than 2 times** during their window of eligibility. The second application may be a resubmission of the first with substantive changes, or a new proposal.

Current, Pending and Post Award Funding

Concurrent Federal and Non-Federal Support



- Applicants are ineligible if, at the time of application, they will have combined federal and non-federal funding totaling \$750,000 or more in direct costs in either of the years (12/1/26 - 11/30/27 or 12/1/27 - 11/30/28) of the two-year Smith Odyssey Award. This figure refers to external funding only and not an Applicant's start-up package, other intramural support, or the Smith Award.

Pending Federal and Non-Federal Support

- If notified on or prior to October 1, 2026 that they have been successful in securing federal or non-federal grant support, which, when combined with other support, totals \$750,000 or more in direct costs in either of the first two years of the Smith Award, applications to this program will be ineligible for review. Notification of funding **after** October 1, 2026 will not impact eligibility for a Smith Family Award. **It is the responsibility of all applicants to contact SmithOdyssey@hria.org as soon as any new funding is received.**
- Applicants who have pending RO1s or other large applications to the NIH and other agencies are encouraged to submit proposals to the Smith Family Foundation. However, if a Smith Odyssey Award is made, **neither the Institution nor the awardee may accept funding that results in an overlap of funding for the proposed aims of the Smith Odyssey project.** To avoid conflicts if your proposal receives a funding recommendation, we strongly suggest that you do not propose the same aims and budget in different grant applications. **If the work proposed in the Smith Odyssey proposal is funded by another source before the Smith awards are announced, the applicant must notify HRIA at SmithOdyssey@hria.org and withdraw the application immediately.**

Review Criteria

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

Innovation

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

Impact

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

Applicant

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

Research project

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



- The proposal makes sense in the context of the pertinent literature and the work of other investigators in the field of study.

Innovation Score

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

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

Notification Schedule

The Smith Family Foundation: Odyssey Award is a two-stage proposal process. Final notification to applicants will be made in late October followed by an emailed Award Notification and Award Agreement. Funding begins on or about December 1, 2026. If available, critiques of the grant applications will be provided. Applicant ranking in the review process will not be provided. The online applicant system will notify applicants once the application is received and will be used to communicate with applicants about the status of their applications.

Please Note: If the Applicant is unable to accept the Award, the Award will not be transferred to another investigator involved in the research project.

Historical Success Rate

Historical Statistics	2025	2024	2023
# LOI stage Submissions	60	56	41
# Full stage Submissions	21	20	18
# Award Recipients	5	5	5
Funding Rate:	8%	9%	12%

Proposal Writing Tips

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

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

- Main points are communicated clearly and concisely. The big picture of what will be done, why it is important, and how it will advance the field is clear.
- The language is understandable to a general scientific audience. When jargon must be used, it is clearly explained, and complex technical points are put in context.



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

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

Suggested resources:

[Secrets to Writing a Winning Grant](#)

[How to Gain a Competitive Edge in Grant Writing](#)

[A funding adviser's guide to writing a great grant application](#)

NIH grant writing tips:

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

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

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

Related Documents and Materials

Download and review the following items at www.hria.org/tmf/SmithOdyssey

- Frequently Asked Questions
- Application Forms
- Past award recipients
- **Direct any Questions to Program Staff:** SmithOdyssey@hria.org

Acknowledgement of Support

The Award Recipient and Institution are encouraged to announce receipt of this Award entitled, the **Smith Family Foundation Odyssey Award** and credit financial support to the **Richard and Susan Smith Family Foundation, Newton, MA.**

Publications

Publications or presentations resulting from research supported by this Award must also acknowledge support from the **Richard and Susan Smith Family Foundation, Newton, MA.**



Terms of the Award

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



Application Instructions

Deadline: Thursday, June 25th, 2026, at 12:00 PM, U.S. Eastern Time

Online Portal:

The online application portal will open for submissions on May 7, 2026. Applicants will submit their proposals in the HRiA Award Manager: <https://hria.us-1.smartsimple.com/>. Please visit <https://hria.org/grants/smith-odyssey/> for detailed online application instructions.

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 within the fields of online submission:

- Lead Organization/Individual Information**
 - Tax ID of Organization (or Fiscal Sponsor, if applicable) (Prepopulated from initial stage)
 - Organization Name and Contact Information (Prepopulated from initial stage)
 - Applicant Contact, Education, and Demographic Information (**only update the missing fields**)
 - Applicant date of first independent faculty appointment (Prepopulated from initial stage)
 - Institutional Officials Contact Information (Prepopulated from initial stage)
 - Department/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.

- Key Personnel (Collaborators, if any)** (Prepopulated from initial stage)
 - Collaborator Names and Contact Information; brief description of role on the proposed project (maximum 50 words per collaborator). **If collaborators change between Initial Stage and Full Stage applications, applicant must email program staff (SmithOdyssey@hria.org) to alert them of this change before making edits to Key Personnel or Invitations feature of online system.**

- Project Information**
 - Project Title (Prepopulated from initial stage)
 - Research Performance Sites
 - Keywords (Prepopulated from initial stage)
 - Experimental System(s), Key Tools and Techniques to Be Utilized - List or describe the technology that will be used in your research. If listing techniques, capitalize each word or phrase and separate each with a comma. (Prepopulated from initial stage)



- Project Summary - 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. Maximum of 300 words.
- Non-Technical Overview (maximum of 350 words) (Prepopulated from initial stage)

Answer the following questions in ONE SENTENCE EACH, in terms understandable to a non-specialist:

 - What big question(s) will your work answer?
 - Why does this question matter?
 - How will your work answer the big question?
- Non-Technical Summary

Prepare a lay-language description of the proposed research and its impact that can be understood by the general public and will be posted on our website if the project is funded. Please define all essential terms. Maximum of 200 words.

 - What do you plan to do if funded?
 - Do not state your specific aims verbatim
 - Avoid technical jargon such as gene names and specialist vocabulary; use simple terms
 - Use simple analogies
 - Try to include everyday relevance
 - Avoid extraneous details
 - Review with non-scientists and make sure they understand it
- Description of Novel Research Direction

The Odyssey Award funds high-risk, high-reward pilot projects to drive innovation and creativity. This section may match your answers to Q4 and Q5 from your preliminary proposal. The review committee weighs this criterion heavily in making final funding decisions. Both the applicants as well as any institutional review committees should bear this in mind in preparing/vetting applications. Please describe the following. Maximum of 200 words.

 - How this work will bring a fresh perspective to the field and may establish a ground-breaking direction of inquiry or research paradigm
 - How this project departs from your current line of research.

- Letter of Recommendation: **ONE confidential letter** is required which must be submitted through the online system, from a Recommender of your choice. The Recommender does not need to be based at your institution. We encourage you to choose someone who knows your work well, and who can present some aspect of your professional background or project that we might not appreciate otherwise, and/or who can explain why you are a great match for this funding opportunity and its focus on innovation. Department Chair letters are no longer required for this program. Only one Recommender letter may be submitted.

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



will be rejected. Letters of Collaboration (see below) will not be counted towards this requirement.

Bias in Recommendation Letters

We are committed to reducing bias in the evaluation process. Letters of recommendation can sometimes contain implicit biases that systematically disadvantage individuals based on race and/or gender. To support fair and equitable letter writing, we provide a table of suggested practices, adapted from guidance developed by the University of Arizona. Applicants are welcome to share these guidelines with their recommenders.

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.

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/smith-odyssey/>. Your Initial Stage



attachments will be pre-populated; you may change the files unless otherwise indicated below.

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

- **Research Proposal:** A maximum of 5 pages is permitted, **not inclusive of a bibliography of references**. Proposal sections include Specific Aims, Background and Significance, Preliminary Data (*if available*), Research Design and Methods, Potential Limitations, Project Timeline.
 - Include all figures, graphs, tables, and images related to the project within the 5 pages. For any projects involving collaboration, please include a brief description of these efforts within the 5 pages.
 - Format this section with **black Arial 11** as the font, size, and color. Use **single or double line spacing within paragraphs, double line spacing between paragraphs, and 0.75 inch margins on all four sides**. Figures, legends, and tables may use a blank font size of 8. Include the Applicant's name at the top of each page.
- **Grants Program Budget Template:** Complete this form for the two years of the project. Total support from the Smith Family Foundation, including overhead, is \$200,000 per year for two years.
 - Indirect costs (institutional overhead) may not exceed 5% of direct costs or \$9,524 per year. Please fill in all relevant sections of this form and provide clear itemization and detail within line items as requested.
 - For projects whose total costs exceed \$200,000 per year, list the other sources of support in the "Other Support" tab.
 - Applicants must disclose all current, pending, and completed support regardless of relationship to the current Smith request on the "Other Support" tab.
 - **Grants Program Budget Template:** The budget form should be attached in the online application system as an Excel file. The Excel file must be named LastName, FirstName_Budget.xlsx (for example, Doe, Jane_Budget.xlsx).
- Applicant Biosketch – Prepopulated from initial stage, update as needed
- Addendum to Biosketch – Prepopulated from initial stage, update as needed
- **Letters of Collaboration(s):** Collaborations are not required but are encouraged. If the Applicant has collaborators, letters of collaboration must be forwarded to the Applicant for upload. These letters must confirm the availability of resources outside the Applicant's institution and confirm any significant collaborative relationship, either within or outside the Applicant's institution. These are brief letters (up to one page) addressing the collaboration.

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:

SmithOdyssey@hria.org

(5.2026)



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 this Agreement or by an email notification to the Administrator. Longer delays must be approved by the Administrator. A delayed start date will not reduce the total award period; the end date will be adjusted to include the entire period.

Awards are made to non-profit academic, medical, non-governmental or research institutions within the United States on behalf of the Recipients. The Institution is responsible for the administrative and financial management of the Project, including any subcontracts, and maintaining adequate supporting records and receipts of expenditures.

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

Institutional and Recipient Assurances:

Regulatory Compliance: Institution and Recipients must adhere to all federal, state, and local regulations regarding the use of **human subjects, animals, radioactive or hazardous materials, and recombinant DNA** in this Project. It is the responsibility of the Recipient’s Institution to ensure that all approvals (IRB, IACUC, other) are in place prior to releasing any award funds. The confirmation of the representative of the Institution on the application forms confirms this oversight.

Research Misconduct: Institution certifies that it has established administrative policies as required by Public Health Service Policies on Research Misconduct, 42 CFR § 93, and that Institution and Recipient will comply with the policies and requirements (collectively, the “Policy”) set forth therein. In the unlikely event that a Recipient is involved in an investigation of research and/or financial misconduct directly related to the Project, he or she will be subject to the procedures in place at the Institution as applicable. According to the Policy, research misconduct is defined as the “fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. It does not include honest error or difference of opinion.”

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

Not Barred: Institution and Recipient each certify that (i) it is not excluded from participation in any state or federal healthcare program, as defined in 42 U.S.C.



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

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

Right to Bind Recipient: Recipient agrees to comply with Institution's policies and procedures, including as related to research integrity, conflict of interest, and compliance with laws. Institution certifies that it has the authority to bind Recipient to Institution's policies and procedures. Institution will be fully responsible for, and will enforce, compliance with its policies and procedures and all applicable law.

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

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.

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

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

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

The Recipient and Institution must exercise proper stewardship over award funds and ensure that costs charged to the award are allowable, allocable, reasonable, necessary, and consistently applied in line with the Project’s accepted proposal and budget. The Institution shall be liable for reimbursement to the Funder of any award funds associated with any inappropriate or unauthorized expenditures or fraudulent or improper conduct involving the use of award funds. The grant monies which have been awarded, including any interest earned therein, may only be used for the purposes stated in this Agreement. Funds may not be expended for any other purpose without the prior written approval of the Administrator.

Expenses eligible for support include the Recipient’s salary and fringe benefits; salaries and fringe benefits of personnel essential to the Project for only their work as it directly relates to the Project; publication of scientific data; travel to scientific meetings; laboratory and data processing supplies; and other direct expenses such as equipment essential to the Project. Award funds may only be used for salaries in proportion to the percent effort on the Project. However, percent effort may exceed the percent of total remuneration requested.



Funds may not be used for new construction, the renovation of existing facilities, fundraising projects, or endowments. Funds may not be used for any political activity, accumulated deficits, or for any other purpose prohibited by the Internal Revenue Service Code. Funds awarded for the direct costs of the project may not be used for general operating costs. Research-related expenses not directly related to the Project, general office supplies, individual institutional administrative charges in addition to indirect costs (e.g., telephone, other electronic communication, IT network), professional membership dues, and pre-award charges are **not** allowable expenses.

Indirect costs (institutional overhead): Indirect costs may not exceed 5% of direct costs each year. In instances where there is a subcontract, the combined dollar amount for indirects taken by both the Institution and the contracting institution may not exceed total allowed indirects of the accepted budget.

Re-Budgeting: Expenditures are expected to be within reasonable range of the Project budget as accepted by the Administrator. All requests for re-budgeting or reallocation of grant funds over \$20,000 must be submitted a minimum of thirty (30) days prior to requested effective date of change. Re-budgeting requests should be clearly justified in the annual financial report or conveyed in an update to the financial report to the Administrator. The request must include the current allocation of resources along with specific detail and reason for the reallocation. If the Institution makes a request for re-budgeting or reallocation outside of the annual progress reporting process, Institution must contact Program Staff to obtain the required forms.

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

Carry Forward of Funds: All requests to carry forward unspent funding from one year's budget to the next must be clearly justified in the annual financial report. Carry forward requests may be disallowed if adequate justification is not provided.

No-Cost Extension: A no-cost extension ("NCE") for up to 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 determining factor for approving a No-Cost Extension is whether more than \$2,000 in award funds remain unspent by the official end date of the award. A final scientific report is due at the completion of the extension period. 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, Recipient will notify and seek approval from the Administrator to continue the Project at the Recipient’s new institution. If approved, the Institution will return unexpended Project funds, subject to allowable costs and non-cancelable obligations, to the Administrator to coordinate the transfer of unexpended funds to the new institution.

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

If the Recipient is not continuing the Project in another nonprofit research setting, the award will be canceled, and unused funds must be returned within sixty (60) days. Transfer of the award to another PI, if applicable, is not permitted. Disposition of and title to any equipment purchased by the Recipient with award funds will be evaluated on a case-by-case basis. If the Project is terminated for any reason, any unused funds, subject to allowable costs and non-cancelable commitments incurred in the performance of the Project but not yet paid for, must be made payable to the Funder, in care of the Administrator within sixty (60) days. Performance under this Agreement may be terminated by either party upon thirty (30) days written notice to the other.

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

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

- A determination, preliminary or otherwise, is made by the United States Internal Revenue Service that the award does not constitute a qualifying distribution.
- The Institution fails to perform any of its duties, in the judgment of the Funder, the Administrator, or its Scientific Review Committee, required by the Application Guidelines and this Agreement. In such cases, the Administrator shall provide no less than thirty (30) days termination notice in writing to the Institution, upon which the Institution shall have



an additional thirty (30) days following receipt of such notice within which to cure any deemed failures.

- The Institution ceases to be exempt from income taxes under the Internal Revenue Service Code or becomes a private foundation.
- There is a material change in the purpose, character, or method of operation of the Institution such as to jeopardize its tax status.

Unexpended Funds: Any funds greater than \$80,000 (20% of award amount) remaining at the close of an Award Period (extended via NCE or otherwise) must be returned to the Administrator within sixty (60) days and made payable to the Funder.

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

Reporting Requirements and Payment Schedules: Final scientific and financial reports are due sixty (60) days following conclusion of the Award Period. Progress reports are due annually on October 1, sixty (60) days prior to the start of the continuing year, regardless of award start date. The Recipient will receive access to the required online report forms by email approximately three (3) weeks prior to their due dates. It is the responsibility of the Recipient to email the Financial Report Form to the Institution's Financial Officer and ensure that the Administrator receives this completed form. The Funder and Administrator reserve the right to place a hold on funds where the Recipient is non-compliant with these reporting requirements.

Requests for NCE or re-budgeting should be made to the Administrator thirty (30) to sixty (60) days prior to requested effective date of change. In cases where an extension has been granted, Recipients may be required to file an interim status report.

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

Patents, Copyright, and Intellectual Property: The Recipient should follow the Institution's policies regarding discoveries or any other intellectual property that results from research conducted under this Project. Neither the Administrator nor the Funder of this Project will retain any rights to intellectual property including patents, copyrights, trademarks, or other proprietary rights that result from the Project.

Confidentiality and Third-Party Release: Application materials as well as scientific progress and final reports are considered confidential. The Administrator engages third parties who have the necessary expertise to review the submitted materials and evaluate each project. Although the Administrator endeavors to protect the confidentiality of the reports by requiring reviewers to sign confidentiality agreements, confidentiality cannot be guaranteed. The Administrator and the Funder are not responsible for any consequences resulting from the disclosure of the content of these materials to such third parties.



The Administrator and the Funder reserve the right to public acknowledgement of Project information (Recipient Name, Institution, Project title and research summary). This information will be made available through the website of the Administrator (<https://hria.org/grants/smith-odyssey/>) and may be posted on other affiliated organization websites, publicly accessible databases of privately funded awards, or published in print form or other media. As noted in the application guidelines, the Project summary submitted with the application will be posted on the Administrator's website if the Project is funded.

Use of Name: Except as explicitly stated, neither the Funder, the Administrator, nor the Recipient or Institution (collectively referred to as the "Parties" or individually as the "Party") shall use or register the other Party's name (alone or as part of another name) or any logos, seals, insignia or other words, names, symbols or devices that identify the other Party, including any school, unit, division or affiliate of such Party (such Party's "Names"), except for the limited purpose of identifying and describing the funded Project. Except from when a Party is making a factual statement about the Funder funding the Recipient and Project at Institution, no Party shall use the other Party's Names in public communication without prior written approval of, and in accordance with any restrictions required by, the Party whose Names are to be used.

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

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

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

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

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 (5.2026)

