Charles H. Hood Foundation Major Grants Initiative to Advance Child Health

a Program of the Charles H. Hood Foundation
95 Berkeley Street, Suite 202, Boston, MA 02116

Letter of Intent Guidelines and Terms of the Award
2017 Grant Cycle

Award Period: January 1, 2017 – December 31, 2018
Funding Amount: $450,000 over two years ($225,000 per year, inclusive of 10% indirect costs)
Letter of Intent Deadline: 3:00 p.m., Tuesday, April 12, 2016
Invited Full Proposal Deadline: 3:00 p.m., Tuesday, September 13, 2016

The Charles H. Hood Foundation is pleased to announce its 2017 Major Grants Initiative to Advance Child Health. This Award Program supports outstanding investigators conducting innovative and transformative research in child health. The overall goal of the Program remains the funding of translational or clinical research that will improve child health clinical outcomes, or improve health care access, affordability, and quality. For the 2017 grant cycle, the Hood Foundation requests applications related to either of two areas of child health research: Neonatology or Brain Science and Child Development.

The Major Grants Initiative is a component of the Hood Foundation’s research funding portfolio. Since 1942, the Foundation has supported investigators at New England research institutions to improve the health and quality of life for children. The Hood Foundation Child Health Research Awards Program has launched the careers of close to 600 junior faculty whose discoveries have contributed to significant improvements in child health. Since 1989, the Foundation has also supported 45 Postdoctoral Fellows conducting projects spanning the continuum from basic laboratory research to clinical and health services research.
∞ Application Procedures

Letters of Intent are being solicited from selected research institutions in New England.

The Hood Foundation expects the invited institution to conduct an internal search for one faculty member to serve as the Principal Investigator who will submit the application. It is the responsibility of each Institution to forward this document (“Letter of Intent Guidelines and Terms of the Award”) to their designated candidate. As part of the submission, the Institution must provide a description of how this process was conducted.

Letters of Intent will be reviewed in May and up to five applicants will be invited to submit Full Proposals. The Full Proposal applications are due by 3:00 p.m. on Tuesday, September 13, 2016. Applicants will be notified of their status in mid-December and up to two applicants will receive funding that begins on January 1, 2017.

∞ Research Focus

Two areas of focus will be considered for the 2017 Major Grants Program: Neonatology and Brain Science and Child Development.

Neonatology

Although the incidence of prematurity has been declining, recent data shows that 10% of babies born in Massachusetts are premature, 7.7% weigh less than 2.5 kg, and 1.3% weigh less than 1.5 kg. These infants require complex and expensive medical care after birth and are at high risk for pulmonary disease, neurological conditions, developmental delay and other issues. Thus, improvements in neonatal care are likely to result in better health outcomes for the infants, and lower initial and lifetime health care costs. Please note that research projects that focus on pregnant women and their fetuses will not be considered responsive to this RFA.

New England has long been a leader in neonatology research. Through the funding of the Major Grants Program in this area, the Hood Foundation hopes to continue this tradition of excellence.

Brain Science and Child Development

Groundbreaking work, beginning in the late 1990s, has demonstrated that childhood experiences determine important aspects of brain growth and development. There are at least two critical periods of rapid brain growth during childhood: the first three years of life and, again, during adolescence. In parallel with the rapid advance of brain science, a new pediatric subspecialty, Developmental and Behavioral Pediatrics, has begun to carve out its own research agenda.

Recent clinical and scientific advances in understanding children’s normal and abnormal development have arisen through a variety of approaches: from a basic science understanding of neural development to the epidemiology of the long-term health effects of children’s experiences. New England researchers have led many of these advances in knowledge. Therefore, this focus of the Major Grants Program will support
continued innovations that will further the scientific understanding of child development and behavior that may inform improvements in the treatment of children’s physical and mental health.

Innovations
The Major Grants are intended to fund innovative work that may be difficult to fund with traditional grant mechanisms. For example, relatively few child health researchers make use of advanced statistical and computational techniques, ranging from computational biology to health services research to geographic information systems. In addition to traditional project-related costs, all projects funded under this Program may include the use of funds to bring new techniques or novel collaborations into child health research. Note that if the Hood Major Grant funds are intended to augment existing funded research programs, the Letter of Intent must clearly describe the additional research to be conducted with Hood funding.

Grant Selection Criteria
The Major Grants Program uses a two-stage evaluation process. The Letters of Intent will be reviewed by the Board of Trustees of the Charles H. Hood Foundation. The invited Full Proposals will be assessed by an external review panel.

The Trustees will use the following criteria as a guide in selecting which candidates to invite back for Full Proposal submissions:

- Qualifications of the Principal Investigator and evidence of exceptional creativity;
- Research Project is highly innovative and addresses either of the challenges in child health as previously defined.
- Successful proposals must describe research that would likely lead to improvements in child health clinical outcomes or health care access, affordability, and quality.
Letter of Intent Instructions

Deadline: Tuesday, April 12, 2016 at 3:00 p.m.

The Hood Foundation expects the invited institution to conduct an internal search for one faculty member to serve as the Principal Investigator who will submit the application. It is the responsibility of each Institution to forward this document (“Letter of Intent Guidelines and Terms of the Award”) to their selected candidate. Note that the PI, while responsible for the project, may include other investigators on the research team.

The Principal Investigator from each institution will complete and submit the Letter of Intent.

The application process requires an online submission using one of the following links:

Begin the online application: https://www.GrantRequest.com/SID_738?SA=SNA&FID=35068
Return to a saved application: https://www.GrantRequest.com/SID_738?SA=AM

The online portion of the Letter of Intent includes such data as contact information, educational background, project title, research abstract and a brief non-technical summary.

Candidates will upload one PDF file that combines the five sections in the order listed below. The PDF must be named Lastname.Firstname.Institution.PDF.

1) Application Face Sheet: Provided on the online application website
2) Applicant Biosketch: Use the current NIH Biosketch format (http://grants.nih.gov/grants/funding/424/SF424R-R_biosketchsample_VerC.docx)
3) Lay Summary: (up to 300 words) A non-technical summary that addresses its relevance to one of the Foundation’s areas of focus, and its potential for a significant impact on improving clinical outcomes, health care access, affordability and quality.
4) Research Project (maximum of 3 pages, excluding the Bibliography but inclusive of the Lay Summary): Please include the following sections: Background, Methods, Innovation, Implications for Child Health
5) Institutional Statement (maximum of 1 page): In addition to describing the selection process, the Institution must also include a paragraph that justifies its choice of candidate and forward this page to the Principal Investigator for inclusion as the final page of the Upload.

Format the “Research Project” section with Arial 11 as the font and size. Use single or double line spacing within paragraphs, double line spacing between paragraphs, and one inch or larger margins on all four sides.
**Terms of the Award**

**Overview:** Grants are made to non-profit academic, medical or research institutions in New England on behalf of the Award Recipients. The Award Recipient Institution is responsible for the administrative and financial management of the project, including any subcontracts, and maintaining adequate supporting records and receipts of expenditures.

**Award Amount and Funding Period:** Two-year grants totaling $450,000 ($225,000 per year) will be awarded for the period of January 1, 2017 – December 31, 2018. The start date of the Award may be postponed for up to three months without a formal request. Any longer delays must be approved by the Charles H. Hood Foundation. A delayed start date will not reduce the total Award Period (i.e., a project start date of April 1, 2017 will revise the project end date to March 31, 2019).

**Institutional Assurances:** The Award Recipient must adhere to all federal, state, and local regulations regarding the use of human subjects or biologic samples, animals, radioactive or hazardous materials, and recombinant DNA in this research project. It is the Award Recipient Institution’s responsibility to make sure that all animal use, human subjects and other required institutional approvals are in place prior to releasing any Award funds. The signatures of the Authorized Institutional Representative on the Application Face Sheet and the Institutional Officer on the “Institutional Officer Acceptance Agreement” confirm this oversight.

**Liability:** The Charles H. Hood Foundation does not assume any liability or responsibility for activities supported by this Award including, without limitation, incidents or accidents involving the Award Recipient (whether on travel, in the laboratory or classroom, or elsewhere).

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

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

**Financial Responsibilities of the Award Recipient Institution:** The Institution will keep systematic records of all expenditures relating to this Award. Vouchers consisting of bills, invoices, cancelled checks, receipts, etc. will be retained by the Institution for three (3) years after the close of the Award period and will be available for inspection by representatives of the Hood Foundation, during normal business hours and upon reasonable notice throughout this period. The Hood Foundation may, at their expense, examine, audit, or have audited the records of the Institution insofar as they relate to activities supported by this Award.
**Use of the Award Funds:** The laws of the United States place certain restrictions on the manner in which funds awarded to organizations by charitable trusts and foundations may be expended. The Hood Foundation Major Grant Award, including any interest earned thereon, may be used to support salaries and fringe benefits; laboratory and data processing supplies; publication of scientific data; travel to scientific meetings; and other direct expenses such as equipment essential to the project.

**Funds may not be used for:** new construction, the renovation of existing facilities, fundraising, endowments, accumulated deficits, or any political activity. Funds awarded for the direct costs of the project may not be used for general operating costs.

**Indirect Costs** (institutional overhead): Up to 10% ($40,909) of the total Direct Costs may be used to cover Indirect Costs at either the Award Recipient Institution or any contracting institution. In instances where there is a subcontract, the combined dollar amount for indirect costs taken by both the Award Recipient Institution and contracting institution may not exceed 10% of total annual direct costs or $20,455 each year of the Two-Year Award period. The annual amount, including overhead, is $225,000 per year for a total of $450,000 over the two years.

**Re-Budgeting:** Expenditures are expected to be within reasonable range of the Budget that was submitted with the grant application. Requests for re-budgeting or reallocation of Award funds over $20,000 must be conveyed by email to the Program Officer. The request must include the current and revised allocation of funds along with specific detail and justification for the reallocation.

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

**No-Cost Extension:** Following the two-year period, a **no-cost extension for up to nine months** may be granted upon email notification to the Program Officer. Requests for a no-cost extension should be made at least 30 days prior to the conclusion of the Award period. This communication must include an explanation for the extension, the unexpended balance, and a timeline for completing the project. Final Scientific and Fiscal Reports will be due at the completion of the extension. Any funds remaining at the close of the extended project period must be returned to the Charles H. Hood Foundation within thirty (30) days.

**Reporting Requirements and Payment Schedules:** In October 2017, the Award Recipient will submit **Scientific and Fiscal Progress Reports.** The Award Recipient may be asked to present the progress to date to the Hood Foundation Trustees at their December 2017 or June 2018 meeting. Second-year funding is contingent upon satisfactory progress.

**Final Scientific and Fiscal Reports** are due sixty (60) days following termination of the award period. The Award Recipient will receive email reminders, including the forms and format for both Progress and Final reports, approximately one month prior to their due dates. The Hood Foundation reserves the right to place a hold on funds in cases where the Award Recipient is non-compliant with these Reporting Requirements.
Transfer or Termination of Award: Awards are made to the Institution where the named Award Recipient is conducting research. If the Award Recipient is planning a move to another nonprofit research institution during the Award period, transfer of funds to continue the project must be communicated via email to the Program Officer. This request must include a Fiscal Report stating the remaining fund balance as well as a letter from the proposed Department Chair confirming the availability of resources to continue the project. If the transfer is approved, the Award Recipient will be responsible for notifying the Hood Foundation of the new payee information and coordinating the fund transfer.

If the Award Recipient is not continuing the research in another nonprofit research setting, the Award will be cancelled and unused funds must be returned within thirty (30) days. If the project is terminated for any other reason by either party, any unused funds must be returned to the Hood Foundation within thirty (30) days. Disposition of any equipment purchased by the Award Recipient with Hood Award funds will be evaluated on a case by case basis.

Transfer of the Charles H. Hood Foundation Award to another PI is not permitted.

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

Unused Funds and Reversion: Should any of the following events occur, the Hood Foundation may demand repayment of all unexpended portions of the Award; moreover, all unpaid installments may be cancelled. The Award Recipient Institution agrees to repay all unused funds plus interest, if any, within thirty (30) days of notification by the Foundation. The Award Recipient 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 Award Recipient Institution fails to perform any of its duties, in the judgment of the Charles H. Hood Foundation, required by the Terms of the Award. In such cases, the Foundation shall provide no less than thirty (30) days termination notice in writing to the Institution, upon which the Institution shall have an additional thirty (30) days following receipt of such notice within which to cure any deemed failures.
- The Award Recipient 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 Award Recipient Institution such as to jeopardize its tax status.

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

**Patents, Copyright and Intellectual Property:** The Award Recipient should follow the Institution’s policies regarding discoveries or other intellectual property that results from research conducted under this Award. The Charles H. Hood Foundation will not retain rights to any intellectual property including patents, copyrights, trademarks, or other proprietary rights that result from the research.

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

The Charles H. Hood Foundation reserves the right to public acknowledgement of Award information such as Award Recipient Name, Award Amount, Current Institution, Project Title, and Research Project Summary. This information may be made available through the website of the Medical Foundation, *a division of Health Resources in Action* ([www.tmfgrants.org/Hood](http://www.tmfgrants.org/Hood)) and may be posted on other affiliated organization websites, included in publicly accessible databases of privately funded awards, or published in print form or other media.

**Acknowledgment of Support:** The Award Recipient and Institution are encouraged to announce receipt of this Award entitled, the “Hood Foundation Major Grant Initiative” and credit financial support to the Charles H. Hood Foundation, Inc., Boston, MA.

**Publications:** The Award Recipient is expected to share research findings in a timely manner through professional meetings and/or publications. Publications or presentations resulting from research supported by this Award must acknowledge support from the Charles H. Hood Foundation, Inc., Boston, MA. Upon publication, please send a link to the full text to the Charles H. Hood Foundation.

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

∞ **Questions Concerning the Major Grants Initiative:**

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