



## Major Grants Initiative to Advance Child Health

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### **Letter of Intent Guidelines and Terms of the Award**

#### **2020 Grant Cycle**

**Award Period:** January 1, 2020 – December 31, 2021

**Funding Amount:** \$450,000 over two years (*\$225,000 per year, inclusive of up to 10% indirect costs*)

**Letter of Intent Deadline:** 12:00 Noon on May 28, 2019

**Invited Full Proposal Deadline:** 12:00 Noon on September 16, 2019

The Charles H. Hood Foundation is pleased to announce its 2020 *Major Grants Initiative to Advance Child Health*. This Award Program supports outstanding investigators conducting innovative and transformative research in Neonatology or Brain Science and Child Development. The overall goal of the Program remains the funding of translational or clinical research that will improve child health, children's clinical outcomes or improve health care access, affordability, and quality.

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 616 junior faculty whose discoveries have contributed to significant improvements in child health. Since 1989, the Foundation has also supported 47 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 June and up to five applicants will be invited to submit Full Proposals. The Full Proposal applications are due by 12:00 Noon, Eastern Time on September 16, 2019. Applicants will be notified of their status in mid-December and up to two applicants will receive funding that begins on January 1, 2020.

## ∞ Research Focus

Two areas of focus will be considered for the 2020 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 children's brain and behavioral development 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.

### **Collaboration**

The Charles H. Hood foundation encourages collaboration between investigators and institutions. If the project would benefit from a collaborative approach, please describe the nature of the collaboration and the scientific benefits. Although collaboration is not required for the 2020 cycle, evidence of meaningful collaboration will be considered in funding decisions.

*Note: If the Hood Major Grant funds are intended to augment a currently funded study, 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 external scientific peer reviewers.*

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

- Investigators: Qualifications of the Principal Investigator and evidence of exceptional creativity. Where applicable, the qualifications of the entire collaborative research team will be considered
- Innovation: Research Project is highly innovative in methodology, research hypotheses, or patient population.
- Impact: Successful proposals must describe research that would likely lead to important improvements in child health, knowledge of child health and disease, or children's clinical outcomes or health care access, affordability, and quality.

## ∞ Letter of Intent Instructions

### **Deadline: May 28, 2019 at 12:00 Noon**

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:**

Start a New Application: [https://www.GrantRequest.com/SID\\_738?SA=SNA&FID=35068](https://www.GrantRequest.com/SID_738?SA=SNA&FID=35068)

Continue a Saved Application: [https://www.GrantRequest.com/SID\\_738?SA=AM](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 (<https://grants.nih.gov/grants/forms/biosketch.htm>). We recommend using SciENcv software to generate the biosketch (<http://www.ncbi.nlm.nih.gov/sciencv/>). Abbreviated biosketches of key collaborators, up to two pages in length, are also welcome.
- 3) Research Project (*maximum of 3 pages, excluding the Bibliography*): Please include the following sections: Abstract, Background, Methods, Innovation, Implications for Child Health. Applicants should note that the application will be reviewed by the Trustees and avoid the use of technical jargon or unexplained abbreviations.
- 4) References: The bibliography, which is not included in the page count, should contain no more than 25 citations. Each reference should include the PMID number if available.
- 5) Institutional Statement: In addition to describing the selection process, the Institution must include a paragraph that justifies its choice of candidate and forward this 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:** The Charles H. Hood Foundation was established in 1942 to improve the health and quality of life for children through grant support of New England-based pediatric researchers. Its Child Health Research Awards Program has funded 616 junior faculty in clinical, basic science, public health, health services and epidemiology research providing over \$63 million in financial support. The *Major Grants Initiative to Advance Child Health* supports translational or clinical research that will improve child health, children's clinical outcomes or health care access, affordability, and quality. The Program's two areas of focus are "Neonatology" and "Brain Science and Child Development."

Awards 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.

Each Award is made to one Investigator who is designated as the "Administrative or Lead PI." If there are two **Co-PIs**, the Lead PI submits the application and is the point of contact for the Award Agreement, Progress Reports and all other requirements. That person's Institution will be designated as the "Lead Institution" and serve as the administrator of the Award as well as the recipient of the grant funds. Only the Lead PI will complete the Application Face Sheet and sign the "Award Acceptance Agreement."

**Award Amount and Funding Period:** Two-year grants totaling \$450,000 (\$225,000 per year) will be awarded for the period of January 1, 2020 – December 31, 2021. 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 (e.g., a project start date of April 1, 2020 will revise the project end date to March 31, 2022).

**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 earned interest, 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.

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 Hood Foundation. Use of the NIH salary cap is allowed but not required.

The grant monies may only be used for the purposes stated in the Terms of the Award and in accordance with the approved budget. Any line item change to the budget must receive prior approval from the Hood Foundation.

**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 the Award Recipient 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.

**Reporting Requirements and Payment Schedules:** In October 2020, the Award Recipient will submit **Scientific and Fiscal Progress Reports**. Second-year funding is contingent upon satisfactory progress.

**Final Scientific and Fiscal Reports** are due sixty (60) days following conclusion of the award period or an approved no-cost extension. The Award Recipient will receive an email notice, 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.

The Award Recipient also may be asked to present on the progress of their funded project during or following the completion of their award period, to an audience consisting of Foundation Trustees, Scientific Review Committee Members, and/or other members of the Hood Foundation's stakeholder community ("Network"). In addition, the Award Recipient will be invited to and is expected to participate in at least one annual Foundation Networking event over the course of the funded period.

**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. Any funds remaining at the close of the extended project period must be returned to the Charles H. Hood Foundation within sixty (60) days. Final Scientific and Fiscal Reports will be due 60 days following completion of the extension.

**Transfer or Termination of Award:** Awards are made to the Institution where the named Award Recipient is conducting research. If the Award Recipient is planning a move to another nonprofit research institution during the Award period, transfer of funds to continue the project must be communicated via email to the Program Officer. This request must include a Fiscal Report stating the remaining fund balance as well as a letter from the proposed 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 and oversight contacts 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 sixty (60) days. If the project is terminated for any other reason by either party, any unused funds must be returned to the Hood

Foundation within sixty (60) days. Disposition of 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 sixty (60) 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:** Budgeted costs for maintaining the research study, except for principal investigator salary, may be expended from the Hood Foundation award funds during medical or family leave, subject to institutional policies. Re-budgeting of these expenses during leave requires the 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 Foundation's website ([www.CharlesHoodFoundation.org](http://www.CharlesHoodFoundation.org)) 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 "Charles H. Hood Foundation Major Grants 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. To facilitate tracking of publications over time, the Award Recipient must obtain and provide to the Hood Foundation an Open Researcher and Contributor (ORCID) ID number. In addition, 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 email a copy or a link to the full text to the Charles H. Hood Foundation's Program Officer.

**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.

**Direct any Questions to:**

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