THE HARTWELL FOUNDATION

INDIVIDUAL BIOMEDICAL RESEARCH AWARD

2012 APPLICATION PROCESS AND ADMINISTRATIVE GUIDELINES

The Hartwell Foundation seeks to inspire innovation and achievement by offering individual researchers an opportunity to realize their professional goals. We believe that philanthropy is a serious responsibility and that wealth appropriately used is an essential mechanism for improving the state of mankind. Through a unique and selective funding process, we provide financial support to stimulate discovery in early-stage biomedical research that we hope will benefit children. We want the research to make a difference.

I. APPLICATION PROCESS

INSTITUTIONAL NOMINATION

Each year The Hartwell Foundation announces its selection of the Top Ten Centers of Biomedical Research in the United States; inviting each center to participate in nominating individuals for a Hartwell Individual Biomedical Research Award. The Foundation requires four nominations from each research institution in an application process that seeks early-stage, innovative, and cutting-edge biomedical research that has not yet qualified for significant funding from outside sources and that should benefit children. From the list of submitted nominees, the Foundation selects ten investigators to receive a Hartwell Individual Biomedical Research Award, providing support for three years at $100,000 direct cost per year.

Research institutions that fully participate in The Hartwell Foundation nomination process receive a Hartwell Fellowship to fund one postdoctoral candidate of their choice that exemplifies the values of the Foundation. The Fellowship provides support for two years at $50,000 direct cost per year.

From time-to-time, the Foundation may select institutions at-large for limited participation in nominating individuals for a Hartwell Individual Biomedical Research Award.

PROGRAM QUALIFICATIONS AND INVESTIGATOR ELIGIBILITY

Institution. The Hartwell Foundation selects participating research institutions in a qualification process that takes into account the shared values the institution has with the Hartwell Foundation relating to children’s health, while also considering the presence of a medical school, biomedical engineering, and the quality and scope of ongoing research. The Foundation also takes into account the institutional commitment to provide technical support to the investigator, as well as to translational approaches that promote rapid clinical application of research results, including technology transfer. Selection of an institution in any given year does not guarantee selection in a subsequent year. The Hartwell Foundation requires each Top Ten selected research institution to hold an internal open competition to identify four nominees, based upon application requirements set forth by the Foundation.
Investigator. Only investigators nominated by a research institution selected by The Hartwell Foundation are eligible for consideration of a Hartwell Individual Biomedical Research Award. All candidates for the Award should hold US citizenship, maintain a full-time appointment in the sponsoring institution, and have adequate institutionally committed office and laboratory space (the availability of shared resources to the Hartwell Investigator must be assured).

Award Evaluation Criteria

The Foundation will evaluate the submitted proposal of each nominee for a Hartwell Individual Biomedical Research Award by consideration of responses provided by the investigator to both non-technical and technical requests for information. As part of the evaluation process, the Foundation will interview nominees at their supporting institution, where each candidate will make a concise presentation (max 30 minutes) regarding their proposed research in the context of their professional goals. The Foundation will only consider funding those proposals that reflect relevance in terms of potential benefit to children.

Non-technical. Candidates for a Hartwell Individual Biomedical Research Award must submit a non-technical summary of the proposed research for a lay audience, which specifically addresses why the research is early-stage, innovative, and cutting-edge. Projects should represent early-stage biomedical research that has not yet qualified for significant outside funding, particularly proposals not submitted elsewhere for funding consideration. The non-technical summary should identify key collaborations; productivity technologies that will be used in support of the research; and explain the approach that could be used to translate results to the patient, either currently or in the future. Candidates must also explain how the research could potentially benefit children.

As part of the evaluation criteria, The Hartwell Foundation will look carefully for existing collaborations, technologies used, translational impacts, benefits to children, and how the pursuit of the research will make a difference.

Other non-technical requests for information include a detailed budget disclosing proposed expenditures, current and pending sources of funding, research outcomes and vision of project success, information about technology transfer, as well as the contemplated approach to seek follow-on funding at the expiration of the award.

Technical. All candidates for a Hartwell Individual Biomedical Research Award are required to submit a detailed technical proposal, which describes the significance of achieving the aims of the research. Proposals should include information regarding the state-of-the-art in regards to the innovation and the experimental approach or proposed research methodology, including relevant literature references. Proof of principle is desirable, but not a requirement. Nominees for an Individual Biomedical Research Award should make every effort to convey clearly their use of advanced technology. In addition, proposals must outline aims and objectives for pursuing the research effectively and responsibly, with a projected time-line of reasonable milestones. Candidates should anticipate a backup strategy for any unexpected technical or feasibility limitations in the research, including contingencies related to collaborations.

Timing

- April 2012: Announcement of participating Centers of Biomedical Research — a request will be sent to all participating institutions to submit nominations for a Hartwell Individual Biomedical Research Award.
- April - October, 2012: Selected institutions hold internal competitions to select nominees for a Hartwell Individual Biomedical Research Award.
- October 15, 2012: Due date for receipt of nominations and associated documentation for a Hartwell Individual Biomedical Research Award by all institutions, including identification of a designated recipient for a Hartwell Fellowship, as appropriate.
October 29, 2012: The Hartwell Foundation will begin a series of visits to each participating institution to interview Nominees for the Hartwell Individual Biomedical Research Award—candidates will be expected to make a concise presentation about their proposed research (max 30 minutes) in the context of their professional goals—interviews will be complete by January 31, 2013.

January 1, 2013: Announcement of Hartwell Fellowship awards, with funding complete in January.

April 1, 2013: Announcement of Hartwell Individual Biomedical Research Awards, with funding complete in April.

April 30, 2013: Due-date for receipt of Hartwell Individual Biomedical Research Award Annual Report—the year is from April 1 to March 31.

REQUIRED DOCUMENTS

Nominating Institution. The Hartwell Foundation requires each Top Ten selected research institution to nominate four candidates for participation in the Hartwell Individual Biomedical Research Award competition. The Foundation provides an Official Nomination form that the institution must complete for each candidate. The nominee and the chief executive of the institution must sign each nomination. A complete nomination will include the Research Proposal and the Curriculum Vitae of each candidate, including a current color photo (head shot) of the Nominee in jpeg format.

As part of the nomination process the Foundation also requires all participating institutions to submit a cover letter that:

- Explains the internal selection process used by the institution in making their nominations and the number of candidates considered
- Describes how the institution intends to offer recognition to both individual researchers and the Hartwell Foundation following announcement of an award
- Designates an individual at the institution responsible for official contact by the Foundation

In addition, at the time of the above nomination, each Top Ten selected research institution must also identify an individual for the Hartwell Fellowship. The Foundation provides a Designated Recipient form for the institution to complete, which requires the signature of both the Hartwell Fellow and the chief executive of the institution. Complete documentation will include the Curriculum Vitae, contact information for the designated Fellow, a current color photo (head shot) of the Fellow in jpeg format and a statement of U.S. citizenship. The name of the Fellow’s mentor and the mentor’s contact information must also be provided.

Participating institutions must send all required documents to the Foundation as searchable PDF files on a USB portable drive. The Foundation will notify each institution by email upon receipt of their nominations.

Nominee. Nominees for a Hartwell Individual Biomedical Research Award must submit a Research Proposal, for which the importance of clarity and attention to detail should not be underestimated. Instructions for proposal preparation are offered below. Each question must be addressed explicitly. An effort should be made to leverage available page limits.

Proposal Text Format: 1-inch margins, single-column text, and only black, 12-point Times Roman font; use single line spacing and do not indent paragraphs. Start each major Section (I-XI) on a new page, unless multiple sections can be completely self-contained on a single,
separate page. Limit the use of italics; avoid the use of any underlining. Reserve the use of bold font for section headers.

**Pagination:** ignoring the title page, number each page in the footer at the bottom center using regular 8-point Times Roman font — lowercase Roman numerals for pages prefatory to the body of the proposal (Contents and Section I) and Arabic numerals, as p. # of #, for the body of the proposal (the Non-Technical Summary must begin on page 1); number only the Appendix cover page.

**Header:** starting with page 1, at the top right of each page, using regular, 8-point Times Roman font, place the applicant name and highest academic degree(s) on one line.

**Title of Proposal:** the title should be terse, stimulate interest, not be overly dramatic and preferably identify the proposed innovation. The title must not begin with an adjective — such as The, A, or An. The title should not include a “study of” or “investigation of” or “analysis of” or “development of” and should not include any pronouns. Except for a summary colon, the title should be free of punctuation. Every attempt should be made to avoid the use of abbreviations, acronyms, technical terms and jargon that are unlikely to be understood by a lay reader.

**In-Text Abbreviations, Comments, References, and Citations:** Define the first use of any abbreviation or acronym in parenthesis, and include details in Section I: Abbreviations, Acronyms, Technical Terms and Jargon. Comments, explanations, or additional information relating to specific passages in the text must be cited by deploying a numerical format in superscript font (i.e., \(^1\), \(^2\), \(^3\) …), placing the numbered note in sequence at the bottom of the same page where the citation occurs. For reference works cited, use only a parenthetical numerical format in regular font (i.e., \((1)\), \((2)\), \((3)\) …) and record each citation numerically in sequence of appearance in Section XI: References.

**Research Proposal Outline:** all points must be addressed explicitly and in first person singular tense (avoid group-think). Adhere to the following form:

**Title Page** (do not number this page): use “Title Case” format, but do not capitalize adjectives, conjunctions, and most prepositions. Centered below the Title, provide the name of Nominee and academic degrees, job title(s), primary or principal department affiliation, secondary departmental affiliation(s), name of supporting institution, shipping address, contact phone numbers (office and mobile), email address and the submission date. Do not include descriptors (e.g., Title: ___, Name: ___, Degrees: ___, etc.) in providing Title Page information.

**Contents** (must begin on page number i): table of detailed page listings for sections I–XII, including relevant sub-sections.

I. **Glossary of Terms** (should begin on page number ii): include all obscure or unusual abbreviations, acronyms, technical terms or jargon used in the proposal in alphabetical order. Use this section to provide a useful explanation for the lay reader (i.e., not simply dictionary definitions or the words that indicate what each letter in an acronym refers). List sequentially, one item per line and provide extra line spacing between the terms for ease of reading. Use figures or photos to help with explanations, as appropriate.

II. **Non-Technical Description of Research** (must begin on page 1): 5-page limit

   A) Lay Summary – description of proposed research (250 words or less) suitable for a non-technical audience: provide a compelling reason to be interested in your proposal (e.g., by identifying the magnitude of the problem in the United States, incidence, prevalence, etc); describe the unmet need; describe your proposed innovation; and finally, describe the benefit to children if the project is successful. Omit literature references, but provide important dates (year). Do not use jargon or acronyms, unless the lay reader is certain to be familiar with them.
B) Explain explicitly in three separate paragraphs how the research is:
   1. Early-Stage – discuss timing of discovery or recognition of the idea: provide the earliest literature citation, date of acquisition of preliminary data, or date of first disclosure of intellectual property
   2. Innovative – identify or provide a succinct description of the innovation
   3. Cutting-Edge – describe how the research is cutting edge by justifying the uniqueness of the innovation in terms of how it meets an unmet need, leads to a new perspective, overcomes a lack of detailed knowledge or accepted consensus, or results in a new paradigm

C) Likelihood of Success – keeping in mind that Hartwell seeks to fund high risk but transformative research, describe the chances of project success in terms of conceptual and/or technical risk; explain if you are successful, how the proposed research might revolutionize existing approaches, cause a paradigm shift, or translate to new clinical interventions.

D) Compelling Benefits of the Proposed Research to Children in the United States – how will the innovation lead to a benefit for children in the USA; if available, provide incidence and prevalence of unmet need, including morbidity and mortality statistics.

E) Laboratory and Productivity Technologies – describe your laboratory facilities and to what extent are they under your control; describe the technologies you will use or leverage to maximize productivity in the proposed research, including the expected benefit of any core facilities provided by the institution to facilitate the research.

F) Key Collaborations – identify all collaborators as either:
   1. Collaborators Integral to the Success of the Proposed Research (may be reimbursed for services and generally do not take salary) – succinctly describe their expected contribution
   2. Collaborators Who Provide Guidance in Achieving Success – receive no financial support

   Provide name and academic degrees, job title, department affiliation, name of institution and geographic location; only identify individuals other than the principal investigator and your laboratory support personnel.

G) Timeline – describe the process and timeline anticipated to translate the proposed research if successful, to benefit children now or in the future.

H) How the Pursuit of the Research Will Make a Difference – if success is achieved, how substantial the impact; if the research is not funded, why it will not proceed.

I) Professional goals of the Nominee – explain how funding from The Hartwell Foundation will advance the professional goals of the Nominee.

III. Technical Description of Research: (10-page limit)

A) Introduction – concise, technical overview of the proposed research.

B) Context – contrast the proposed research with current academic and industry efforts in the same or similar areas; compare to the state-of-the-art, presenting a realistic competitive analysis of the proposed innovation with appropriate literature references; one or more reference citations must provide a current, general review of the state-of-the-art (indicate in the text).
C) Aims – provide adequate technical detail, identifying the priorities, objectives and outputs; be explicit about the assumptions, hypotheses and rationale of the proposed research and why the proposed approach is compelling and likely to succeed; acknowledge impending technical issues; offer an appreciation of risk vs. gain.

D) Research Strategy – connection between the Aims and methodology should be evident; the research design should be scaled to integrate personnel, technology and disciplines within budget and during the funding period, sufficient to produce success; where appropriate, provide detail about statistical evaluation of data.

E) Timeline – a single chart (horizontal bar graph) to describe a timeline for achieving the Technical Aims, indicating realistic milestones (objectives).

F) Backup Strategy – offer a strategy for any technical or feasibility limitation that might be potentially encountered in the research, including possible contingencies related to collaborations.

IV. Budget: unjustified line items will not be funded

A) Describe proposed use of funds for each year of funding arranged in a Single Table, with four columns (NIH/NSF budget forms are unacceptable):

1. Category
2. Year 1
3. Year 2
4. Year 3

Columns in the table should consist of category line item description and expenses; the total expense for each year must be provided and be equal to $100,000. All salaried personnel must be identified by name and job title (job title, only if unnamed at the time of application).

B) Nominee (PI) – describe explicitly the contribution of the nominee in the proposed research and identify the percentage effort; justify why any salary should be taken (percentage effort may not be used as a justification).

C) Budgeted Line Items – offer an explanation or description for each budgeted line item. In particular, do not request, but justify:

1. Key Laboratory Support Personnel – justify the necessity for using any portion of funding for salary of personnel (percentage effort may not be used as a justification); describe the expected benefits from the contribution of budgeted personnel in the proposed research and identify their percentage effort

2. Line Items Over $10,000 – justify the necessity for using any portion of funding for items over $10,000 (an explanation of how funds will be used is not a justification); offer a succinct explanation of how these budget items would particularly make a difference in facilitating the proposed research and why no other options are available

D) Fringe Benefits – The Hartwell Foundation will only agree to pay for non-discretionary government required tax deductions, social security, workman’s comp, disability insurance, and relevant medical insurance.

E) Travel – justify the necessity for using any portion of funding for travel expenses, explaining why other sources are unavailable. Do not budget for travel to the Hartwell annual meeting, which is a covered expense for funded researchers.
F) Student Expense – if student education expense or tuition reimbursement is requested, the student must be identified by name, including received and pending academic degrees (unidentified students will not be funded); describe the extent to which all class work has been completed and the years remaining until graduation. The reasons why the project can not succeed without student participation must be provided. If citing institutional requirements that require student expenses, then provide verbatim the policy statement, not rate tables, in section XII. Appendix.

G) Collaborators – if a Collaborator Integral to the Success of the proposed research requires any type of financial support other than payment for specific technical services, then the reason why the project can not succeed without their participation must be explained.

H) Sufficient Funding – explicitly state whether funding provided by The Hartwell Foundation will be sufficient to achieve the proposed Aims.

V. Existing and Pending Sources of Research Funding Available to the Nominee:
   A) Funding source (including start-up funds)
   B) Funded project title and identification number (as appropriate)
      1. Role of Nominee, including percentage effort
      2. Expected or actual amount of funding received by Nominee, as direct cost/yr
      3. Funding initiation and expiration dates
      4. Technical Aims for each award
      5. If available, provide a link to the website of the funding agency to confirm all existing and pending research support

VI. Intellectual Property
   A) Intellectual Property Plan – outline a plan for protecting any discovery or proprietary project outcomes
   B) Current Status – existing or contemplated intellectual property disclosures.
   C) Patent(s) Received or Application(s) Filed – description, including reference number(s); do not include the actual patents.
   D) Provide a direct link to the US PTO or WTO website specific to patent or patent pending applications, not simply a link to the main webpage.

VII. Research Outcomes and Vision of Project Success
   A) Project Success – define succinctly what will constitute project success and explain how it will benefit children: describe the clinical application or strategic benefit.
   B) Translation of Results – describe contemplated timing for translation of research results to potential clinical applications (e.g., clinical trial strategy, clinical intervention, clinical therapy, knowledgebase, product development, etc.).
   C) Technology Transfer – outline a potential plan for technology transfer and commercialization of any intellectual property.
   D) Sharing Research Results – describe the approach that will be used to share research results with others.
VIII. Key Laboratory Support Personnel

A) Lab Personnel – identify all individuals other than the principal investigator or project collaborators who will be integral in supporting the research (e.g., technicians, post docs, students), even if you are not seeking their financial support through the Hartwell Award:

1. Name and academic degrees, job title, departmental affiliation
2. Qualifications (do not submit CVs); for personnel unidentified at the time of application submission describe desired qualifications
3. Current and contemplated sources of financial support, as applicable
   a. Funding source if other than Hartwell (including start-up funds)
   b. Funded project title and identification number
   c. Role of individual, including percentage effort in funded project
   d. Expected or actual amount of source funding, as direct cost/yr; include details regarding salary
   e. Funding initiation and expiration dates
   f. Technical Aims for each award
   g. If available, provide a link to the website of the funding agency to confirm all existing and pending research support

B) Expected start date

IX. Collaborators

A) Contact information for each collaborator (do not submit CVs):
   1. Name and academic degrees
   2. Job title
   3. Institution and geographic location
   4. Department affiliation
   5. Contact phone number(s) and email address

B) For collaborators integral to the success of the proposed research, include the source(s) of other existing or anticipated funds supporting the collaborator.

C) Identify whether or not travel is required to support any collaboration and if applicable, how travel expenses will be managed.

X. Follow-on Funding: describe the contemplated approach that will be taken to attract additional funding at the expiration of the Hartwell award

XI. References:

A) Order references numerically, in sequence of appearance in the text.

B) List authors and publication title highlight the name of the Hartwell Nominee, each named Key Laboratory Support Personnel, and Collaborator(s) in bold font in relevant references.

C) For publications with three or more authors, it is acceptable to use et al, but only in so far as the Nominee, Key Laboratory Supporting Personnel or any Collaborator(s) have been included to properly highlight them as coauthor(s).

D) If no references cite the Nominee, named Key Laboratory Support Personnel or Collaborator(s), provide an explanation in a note prior to the first listed reference.
XII. **Appendix** (last numbered page in proposal): the Appendix cover page should provide a listing of the contents. *Do not include* entire publications, entire patents, or CVs.

A) The name and academic degree(s) of the Chair of the primary department affiliation and secondary departmental affiliation(s) of the Nominee; including contact phone number and email address.

B) Signed, supporting Letters of Collaboration on institutional letterhead.

C) Other documentation, institutional policies, etc.
II. ADMINISTRATIVE GUIDELINES

The Hartwell Foundation expects that research institutions selected to participate in the Hartwell Individual Biomedical Research Award competition will adhere to the following requirements:

ACCOUNTABILITY

The Foundation requires accountability from the supporting institution regarding both the nomination process and the use of funds provided to individual investigators. All qualified investigators at selected institutions should have the opportunity to apply for a Hartwell Individual Biomedical Research Award. Individuals who receive a Hartwell Individual Biomedical Research Award must demonstrate that they utilize award funds efficiently and responsibly. Supporting research institutions are responsible for maintaining adequate records and receipts of expenditures that demonstrate they properly administer Award funds.

BUDGET

The recipient of a Hartwell Individual Biomedical Research Award may determine best use of the funds to support the direct cost of the project, including but not limited to salaries, supplies, equipment, personnel, cost of animal experimentation, human clinical trials, collaboration, or travel related to the conduct of research. Expenditures should be consistent with the budget submitted in the award application for direct cost of the research.

CARRYOVERS AND EXTENSIONS

Unexpended funds from one award year may be carried forward to the next year without permission of the Foundation, providing the funds support the direct cost of the project and are consistent with the budget submitted in the award application. In the event of unexpended funds, the investigator must communicate the explanation in the annual report.

COLLABORATORS AND CO-INVESTIGATORS

Collaborators may include those individuals integral to the success of the proposed research that act as a co-investigator in the research or who provide a reimbursable service, as well as those individuals who provide guidance in achieving success.

CONTINUATION OF FUNDING IN 2ND AND 3RD YEARS

The Hartwell Foundation recognizes the possibility that unexpected technical or feasibility limitations, including those involving collaboration, may occur in the course of research that necessitate the modification of original aims and objectives. Nonetheless, the Foundation expects each recipient of a Hartwell Individual Biomedical Research Award to demonstrate progress toward projected milestones described in the proposal. Progress is evaluated in quarterly reviews and the annual report. The Foundation reserves the right to withdraw future funding if the investigator does not demonstrate progress. Withdrawal of funding will not occur without advance notice to the investigator.

CRITIQUE OF PROPOSAL APPLICATION

The Hartwell Foundation will not provide written or verbal feedback regarding any application or proposal documentation to any Nominee not selected for an award.
ÉTHICS

The Hartwell Foundation expects all awardees to adhere to the highest standards of research ethics. Concerns regarding violations in ethical conduct of research may lead to notification of institutional officers, up to and including possible revocation of funding by the Foundation.

FINANCE

It is the intent of The Hartwell Foundation that the Individual Biomedical Research Award shall be only for the direct support of research described in the application. The Hartwell Foundation will not deploy future year funds to cover over-expenditures in any budget year. The supporting institution and the recipient of a Hartwell Individual Biomedical Research Award agree to submit financial reports to the Foundation as part of the Annual Report. Financial reports must detail expenditures by category and compare expenses to plan.

FINANCIAL BENEFIT

The Hartwell Foundation provides financial support for biomedical research that will benefit children and it is not the intent of the Foundation to enrich itself by the funding of such research. However, if the supporting institution receives financial benefit as a result of a Hartwell Individual Biomedical Research Award, The Hartwell Foundation expects to receive 5% of the share due the institution as a contribution in further support of the Foundation’s mission. The Foundation waives any ownership rights in any intellectual property.

FUNDABLE PROJECTS – INDIVIDUAL BIOMEDICAL RESEARCH AWARD

Participating institutions agree to utilize an open and effective means to call for proposals from appropriate areas of basic and applied life sciences, principally limited to medicine and biomedical engineering, and consistent with the values of The Hartwell Foundation. Proposals should reflect relevance in terms of potential benefits to children. The Foundation will only consider proposals in biomedical research. The Foundation will not consider for example, research in social science, psychology, ecology, environmental impacts, anthropology, or botany.

HARTWELL FELLOWSHIP

Research institutions that fully participate in The Hartwell Foundation nomination process will receive a Hartwell Fellowship for two years at $50,000 direct cost per year to fund one postdoctoral candidate of their choice in areas of biomedical science, consistent with Fundable Projects as described for the Individual Biomedical Research Award. It is the intent of The Hartwell Foundation to support scientists in the early stages of biomedical research careers by enabling them to pursue further specialized training as part of their career development.

The following rules apply to the Hartwell Fellowship:

- Hartwell Fellows must be citizens of the United States
- Funds may be used for salary, health insurance, or travel related to a scientific meeting, but not for the purchase of supplies or equipment or other fringe benefits
- No part of the Fellowship may cover institutional overhead or other indirect costs, nor should the recipient or the sponsoring research laboratory be obligated or penalized to pay by substitution such indirect costs by any other means
- At the conclusion of funding, the Hartwell Fellow should submit a summary of the impact that the award had on their career goals
HARTWELL FOUNDATION ANNUAL MEETING BIOMEDICAL RESEARCH

All recipients of Hartwell awards agree to attend an annual meeting each year in lieu of a formal second Quarterly Review, with expenses paid by the Foundation:

- 2012: September 30-October 3 in Durham, NC in conjunction with Duke University
- 2013: October 6-9 in Charlottesville, VA in conjunction with the University of Virginia
- 2014: September 28-October 1 in Memphis, TN in conjunction with St. Jude Children’s Research Hospital

The Annual Meeting begins at 6 PM Sunday evening and ends at 1:30 PM on Wednesday.

HARTWELL INDIVIDUAL BIOMEDICAL RESEARCH AWARD

Only investigators nominated by the head of an invited research institution are eligible for consideration for the Hartwell Individual Biomedical Research Award. Each Award is for three years at $100,000 direct cost per year.

The following rules apply to the Individual Biomedical Research Award:

- The recipient should be a citizen of the United States, must hold a full-time appointment in the sponsoring institution, and must be eligible to serve as a principal investigator in biomedical research
- The recipient may determine best use of the funds to support the direct cost of the project
- No part of the Award may cover institutional overhead or other indirect costs, nor should the recipient be obligated or penalized to pay by substitution such indirect costs by any other means
- The recipient agrees to Quarterly Reviews with the Foundation regarding progress toward goals and objectives, as well as the submission of a written Annual Report that summarizes the research and expenses to budget

INSTITUTIONAL OVERHEAD AND INDIRECT COSTS

By accepting The Hartwell Individual Biomedical Research Award or a Hartwell Fellowship, the supporting institution agrees not to take any part of the funding for institutional overhead or other indirect costs, and will not obligate or penalize the recipient of an award or a sponsoring research laboratory to pay by substitution such indirect costs by any other means. With the exception of health insurance, no portion of an award may be subject to deductions for discretionary fringe benefits by the Sponsoring Institution.

INTERVIEW OF NOMINEES

The Hartwell Foundation will interview all the nominees from each eligible institution on one day, on site at the institution. The Foundation will determine an agreeable interview date for each institution in November, prior to the close of internal competitions. Interviews are open only to the nominee and will last 60 minutes. Nominees will make a concise presentation about their proposed research in the context of their professional goals (max 30 minutes), followed by Q&A. Nominees who fail to complete the interview will be ineligible for consideration of an Investigator award, risking the loss of full participation of the institution in the Hartwell process.
MATERIAL CHANGE OF CIRCUMSTANCES

In the event of any material or significant change of circumstances regarding the status of an individual investigator or a supporting research institution, the Foundation at its sole discretion reserves the right and final authority to determine the disposition of any remaining funds.

NOMINATION PROCESS

Research institutions selected by The Hartwell Foundation agree to nominate the best research proposals from their faculty and research staff in an open and competitive application process of their own design that meets all of the requirements of the Foundation. Eligible institutions may not nominate the same individual in two consecutive annual competitions.

PROGRESS REPORTS

The Foundation reserves the right to withdraw funding if the investigator does not demonstrate progress toward identified milestones, as evidenced in periodic reports or site visits.

Quarterly Reviews. All recipients of a Hartwell Individual Biomedical Research Award agree to quarterly reviews with the Foundation regarding research progress toward goals and objectives. Progress should follow realistic milestones as suggested in the original Research Proposal, modified as necessary to account for any encountered limitations. The Foundation may request the investigator to provide the review during a site visit or in a videoconference. The Quarterly Review will take place in the first month following the end of each quarter — the year is from April 1 to March 31.

Annual Report. By April 30 of each year of funding, recipients of a Hartwell Individual Biomedical Research Award agree to submit an annual progress report (5-page limit) that contains:

- A concise non-technical summary of progress versus plan
- A technical description of advances made in the research versus plan
- Steps taken to reach original project goals, including any divergence from the research plan or consideration of contemplated alternatives
- An analysis of expenditures versus the budget, noting any significant category changes, additions, deletions, carryovers, or extensions
- Mention any discovery or IP, including announcement of any patent(s) filed

PUBLICATIONS

In accepting The Hartwell Individual Biomedical Research Award or a Hartwell Fellowship, it is understood that any publications resulting from such support will identify “The Hartwell Foundation” as a funding source.

RECEIPT OF FUNDS

Funds are distributed by The Hartwell Foundation by paper check and must be deposited within 45 days to enable convenient access by award winners. Requests submitted to the Foundation for a replacement check will only be honored if an explanatory request is submitted on letterhead and signed by the CEO, or Provost.
SITE VISITS

Recipients of a Hartwell Individual Biomedical Research Award agree to participate in occasional site reviews, as mutually convenient.

START-END DATES

Hartwell Fellows should commence postdoctoral study upon receipt of funds in January; and in no case, later than June 30, or the Fellowship award to the Institution will be rescinded. The end date for the Fellowship is typically two years and is determined by the consumption of award funds.

Hartwell Investigators should commence their proposed research no later than the date of receipt of funds, which are expected to be available to the sponsoring institution by the end of April, following announcement of the Award. Except for carryover of unexpended funds, the end date for the Individual Award typically occurs three years from the date of the April 1 announcement and following submission of the Annual Report (due April 30).

VIDEO CONFERENCE

Recipients of a Hartwell Individual Biomedical Research Award agree to use videoconference methodology for periodic communications with the Foundation and other recipients. The Foundation will make available appropriate videoconferencing equipment to each recipient typically within two months of funding their Award.

Sponsoring institutions agree to provide the recipient of a Hartwell Individual Biomedical Research Award with necessary bandwidth connections to enable effective videoconferencing and to notify the Foundation when they are prepared to accept the equipment. The recipient and the sponsoring institution both agree to have videoconferencing installed and operational within one month following receipt of the equipment.

At the conclusion of their funded term, Hartwell Investigators may keep their video conferencing equipment for the purpose of utilizing the communication network provided by the Foundation.

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