



THE UNIVERSITY OF  
**CHICAGO**

 **CHAPIN HALL**  
AT THE UNIVERSITY OF CHICAGO

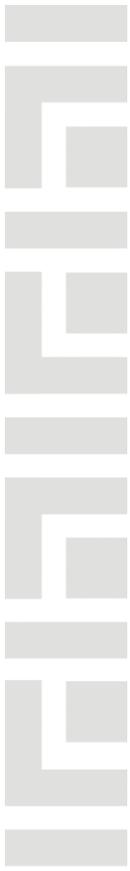
Chapin Hall & University of Chicago

# Joint Research Fund Award Guide



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As an independent, non-partisan policy research center, Chapin Hall adheres to the values of science, meeting the highest standards of ethics, integrity, rigor, and objectivity in its research, analyses, and reporting. Learn more about these commitments in our [Statement of Independence](#).

Chapin Hall partners with policymakers, practitioners, and philanthropists at the forefront of research and policy development by applying a unique blend of scientific research, real-world experience, and policy expertise to construct actionable information, practical tools, and, ultimately, positive change for children and families.

Established in 1985, Chapin Hall's areas of research include child welfare systems, community capacity to support children and families, and youth homelessness. For more information about Chapin Hall, visit [www.chapinhall.org](http://www.chapinhall.org) or @Chapin\_Hall.

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## INTRODUCTION

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### Overview of the Joint Research Fund

The University of Chicago and Chapin Hall at the University of Chicago signed an affiliation agreement in October 2012. In that agreement, they affirmed a mutual desire to continue promoting intellectual connections and collaborations between University faculty, other academic personnel and students, and Chapin Hall researchers. To foster this, the parties together established the Joint Research Fund with the intent to encourage robust academic collaboration and intellectual exchange through the establishment of empirical partnerships that promote well-being among children and families who experience adversity, leading to innovative new directions in policies and practices.

JRF resources are intended to seed new, sustainable partnerships between Chapin Hall and University researchers that further Chapin Hall's mission, address research questions with policy implications and practical significance, leverage interdisciplinary perspectives, and promise the development of future research.

All awards are subject to the following guidelines:

- The minimum award amount for any single research project is \$30,000 and the maximum award is \$100,000, regardless of the proposed project period. (Note: the Committee reserves the right to offer partial funding to projects).
- Research projects may last up to 24 months; start and end dates should be clear in the proposed budget and project plan.
- Project plans must include at least one of the following deliverables: peer-reviewed publication, policy brief, or funding proposal.
- Awarded funds may be utilized for project expenses, including salaries, fringe benefits, paid time off, reasonable travel, and subrecipient expenses, but may not be applied toward overhead costs (i.e., administrative or indirect costs), honorariums, trainings, or conferences.

Chapin Hall hosts the [JRF website](#), which includes: important dates and processes in the JRF lifecycle, lists of past awards, proposal requirements, scoring rubrics, and downloadable forms. In addition, the website has a feature that enables users to sign up for updates.

### Governance

The Joint Research Fund is established in the Chapin Hall – University of Chicago Affiliation Agreement. Each entity contributes \$100,000 each year to the fund. The Provost of the University and the Executive Director of Chapin Hall serve as the co-leaders of the JRF. They appoint a Steering Committee composed of four University faculty and two Chapin Hall researchers who define the fund's grantmaking guidelines and select projects to be funded. The

Provost and the Executive Director amend or affirm awards upon the recommendation of the Steering Committee.

**Steering Committee.** The JRF Steering Committee defines and recommends the JRF’s funding guidelines, eligibility criteria, award amounts, expected deliverables, and application timelines. Annually, the Committee reviews and appraises applications for funding, evaluates the extent to which the applications match the Fund’s goals and expectations, considers the potential impacts of proposed research projects, and recommends awards.

Steering Committee members serve staggered two-year terms, which can be renewed. Steering Committee members may not submit an application to the Fund during years in which they serve. As of early 2021, the following individuals provide administrative and related support for the JRF and its award recipients.

Individual(s)	Role & Responsibilities
<b>Chapin Hall</b>	
Anne Farrell, Director of Research, Chapin Hall	<p><b>Chapin Hall Joint Research Fund Designee</b></p> <ul style="list-style-type: none"> <li>- Oversee operations of the JRF, in close consultation with the Executive Director of Chapin Hall</li> <li>- Make recommendations for action to the Steering Committee, Provost, and Executive Director</li> <li>- Facilitate the selection meeting</li> <li>- Manage appointments to the Steering Committee</li> <li>- Provide feedback to awarded and non-awarded teams</li> </ul>
Phoebe Haney, Coordinator of Research Support, Chapin Hall	<p><b>Joint Research Fund Manager</b></p> <ul style="list-style-type: none"> <li>- Plan, coordinate, and support application and review process</li> <li>- Manage rubrics and scoring forms</li> <li>- Create materials for and coordinate/facilitate selection meeting</li> <li>- Draft feedback summaries and score overviews for awarded and non-awarded teams</li> <li>- Document and archive all JRF materials</li> </ul>
Matthew Brenner, Digital Communications Specialist, Chapin Hall	<ul style="list-style-type: none"> <li>- Update Joint Research Fund webpage and manage contact list</li> <li>- Assist in the development of communications</li> <li>- Plan and support dissemination efforts</li> </ul>
<b>University of Chicago</b>	
Somaiyya Ahmad, Associate Director, Office of the Provost, University of Chicago	<p><b>Provost’s Office Joint Research Fund Designee</b></p> <ul style="list-style-type: none"> <li>- Collaborate with Chapin Hall JRF Designee and JRF Manager on strategic decisions</li> <li>- Review award decisions and announcements on behalf of the Provost</li> <li>- Obtain Provost signature as needed</li> </ul>
Somaiyya Ahmad <i>Along with</i> Mark Kaplan, Director of Provost Budget Planning, Office of the Provost, University of Chicago	<p><b>Fund Administrator</b></p> <ul style="list-style-type: none"> <li>- Manage JRF funds in a university account</li> <li>- Complete transfers and payments to recipients in Chapin Hall/University departments</li> </ul>

Individual(s)	Role & Responsibilities
<b>Chapin Hall</b>	
Ashley Johnson, Associate Director of Provost Communications, University of Chicago	<ul style="list-style-type: none"> <li>- Assist in the development of communications</li> <li>- Plan and support dissemination efforts</li> </ul>

## Summary of Award Lifecycle



## AWARD NOTIFICATION

Following approval of steering committee award recommendations by the Provost of the University and the Executive Director of Chapin Hall, the JRF Manager will work with the JRF Designees to communicate award decisions to applicant teams. Projects may not commence until an award letter is provided by the JRF and subsequently signed by the co-investigators and returned.

### Contingent Awards

It is common for the Steering Committee to request modifications to project scope, budget, or methodology prior to the issuance of a final award letter to selected teams. Co-investigators who have been recommended for funding will first be notified via email of the award decision and any required adjustments. The JRF Manager provides a timeline for receipt of revised materials. The JRF Manager first reviews the revisions to ensure all the necessary information is reflected, in consultation with the JRF Designees as needed. The JRF Manager then shares the request with the JRF Committee for approval.

Following approval from the JRF Committee, an official award letter is issued for signature.

## Award Letters & Terms

Upon receipt of final revisions from awarded teams, the JRF Manager creates final award letters for signature. Award letters include the awarded amount, report due dates, the project budget, and the terms and conditions of the award (see Appendix A and B). Awarded teams should carefully review these terms. Any modifications to these terms require prior review and approval. Letters are first signed by the Executive Director of Chapin Hall, then by the Provost of the University, and finally by the co-investigators. Upon final signature, the letters are filed and shared with the JRF Account Administrator who disburses funds to Chapin Hall and the relevant University department. The award document requires the signature of PIs from both institutions and constitutes a commitment to the award terms.

## Announcement of Awards

After all awarded teams have confirmed acceptance of their awards, the JRF Manager drafts an announcement summarizing the awarded projects. This public announcement is posted on the [Chapin Hall website](#). The announcement is also shared with Chapin Hall staff through an all-staff email and is highlighted during a Chapin Hall all-staff meeting. In years past, we shared the announcement with University communications staff, but this broad strategy no longer seems appropriate. Instead, the projects are highlighted in a series of social media posts and the awarded teams are encouraged to share the announcement with their department and through their own social media channels.

## PROJECT MANAGEMENT

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Awarded teams are responsible for following all award terms and procedures as outlined in award letters and provided in this guide. Questions that arise which are not covered here should be directed to [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org), to the JRF Administrator (Farrell), or the JRF Manager.

## Fiscal Management

The JRF Manager files award letters and shares them with the JRF Account Administrator in the Provost's Office who disburses funds to Chapin Hall and the relevant university department. Any funds not expended within the approved award period must be returned to the JRF account fund. It is understood that awarded funds will be used for such purposes as outlined in the submitted proposal and that no substantial variances will be made to either the scope of work or budget without the Fund's prior approval in writing. Co-investigators are encouraged to work with their designated financial administrators (Chapin Hall: assigned RAC/financial operations representative; University: relevant department administrator) to manage funds throughout the project cycle.

Contact [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org) for troubleshooting or further assistance with fund disbursement.

## Requirement for Research Oversight and Ethical Review

The Joint Research Fund requires all projects to be reviewed by a University Institutional Review Board (IRB) plan and comply with all relevant University and Chapin Hall policies regarding the conduct of research activities. Similarly, if a project leverages external data or includes data collection in schools or other controlled settings, co-investigators are expected to comply with all required permissions processes and policies related to collection and/or use of data.

## Reporting

Teams are required to submit interim and/or final reports. Each team submits to the JRF a final report, and for projects that exceed one year, may also be required to submit an interim report. The dates for interim and final reports are outlined in the award letter. The final report should be accompanied by any products and other deliverables that may be produced through the course of the project.

**Required Acknowledgement and Disclaimer.** All products produced with JRF funding include an acknowledgment of the Joint Research Fund as the funding source and a disclaimer that the views expressed are solely those of the authors and do not necessarily reflect the views of the University of Chicago or Chapin Hall at the University of Chicago.

### 2.8.1 Interim Reports

**Interim Reports.** Interim JRF project reports are a progress report and a means of identifying and communicating any actual or anticipated concerns, delays, or complications during the project period; any anticipated concerns that affect the progress of the project should be communicated directly to the JRF administrator and manager upon discovery.

Co-investigators are required to submit interim reports as a memo to the JRF Committee. They include a spending report and a narrative that addresses the following questions:

1. Project Update:  
Provide a succinct status summary. Is the project on track to meet its proposed timeline, budget, and deliverables? Please describe major accomplishments, progress, any setbacks, and your plans for moving forward. Include any significant changes to the project and/or budget since the grant was awarded.
2. If your workplan has changed, please summarize major adjustments and include an updated timeline and corresponding budget. If you foresee that you will not be able to complete the project as planned and during the grant period, please contact Anne Farrell (at [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org)) about requesting a no cost extension.

3. To the extent feasible, please describe plans for final analysis, reporting, and dissemination.

Interim reports should be submitted to [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org) in the format of a brief memo to the committee from both of the co-investigators.

### 2.8.2 Final Reports

**Final Reports.** Final reports are due at project close-out. A final report includes 1) a final spending report noting any unspent funds (you will receive a template to assist with this); 2) any final deliverables or products; 3) a short memo addressed to the JRF Committee from the co-investigators that includes the following elements:

- Description of the work, its impact, challenges, and any highlights
- Description of products, with completed products appended or linked to, per the award requirements
- Summary of future plans for products/presentations
- Reflection from the co-investigators of how the project furthered their development and portfolio in alignment with the missions of Chapin Hall and the University
- Description of plans to extend, expand or leverage the work moving forward

Final reports are submitted to [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org) in the format of a memo to the committee from the Co-investigators. The final report memo should be approximately two pages long.

**Dissemination & Presentation.** The Chapin Hall investigator is also encouraged to work with Chapin Hall's Communications department to create a project/report page on the Chapin Hall website to feature the work. We invite each team to present their research during a Chapin Hall lunch & learn presentation or similar forum. Consistent with the aims of the JRF, we encourage teams to publish and present this work and to advise us when doing so.

## MODIFICATIONS TO AWARD TERMS AND TIMELINES

Prior approval by the Committee (or its designees) is required for any substantive project changes. If any questions exist about whether approval is necessary, please err on the side of disclosure and check before proceeding. The process for review of modifications and response (approval or request for additional information/adjustments) takes two weeks on average. Please plan ahead to avoid project delays.

Prior approval is required for the following actions:

- Any substantive change in the scope of work and/or approach of the project, with the Committee (or its designees) having final determination over what qualifies as a substantive change;
- Any redistribution of funds between line items that exceed 15% of the total budget;
- Any change of either principal investigator;
- Extension of the final budget period (occurs via request for no-cost extension, NCE);
- Any carryover of unobligated balances for projects lasting more than one year; or
- Transfer of the performance of any substantive programmatic work to a third party.

## **Modifications Request Format**

It is common for project teams to need to request modifications to the scope or timeline of their project. We ask the co-investigators to outline these requests in a memo to the JRF Committee. Requests need to include a spending report and a brief narrative that addresses the following:

- Progress and major accomplishments to date.
- Concise description of the reason for the request, including a summary of any setbacks or significant changes to the project and/or budget since the grant was awarded.
- Summary of substantive adjustments to the research questions, methods, and workplan, including an updated timeline and corresponding budget (for both Chapin Hall and University investigators; this usually takes some time to procure).

The JRF Manager first reviews these requests to ensure all the necessary information is reflected, in consultation with the JRF Designees as needed. The JRF Administrator or designee (Manager) then shares the request with the JRF Committee for review and approval.

## **Modifications Approval Procedure**

After a period of Committee review and comment, the JRF Manager notifies the Investigators of a decision and next steps if indicated. The JRF Manager then notifies the Fund Administrator of the approval of modification to budget. All modification materials are then filed.

Throughout the entire lifecycle of the JRF Awards, the Manager and Director are pleased to assist in any way.

## APPENDIX A: GENERAL TERMS AND CONDITIONS

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The following term and conditions apply to each award that is made by the Joint Research Fund. These terms and conditions are specified in the agreement between the University and Chapin Hall.

### A. DEFINITIONS:

- a. Fund is defined as the Joint Research Fund.
- b. Award Letter is the notice provided to all selected applicants by the Steering Committee of the Fund.
- c. Award Recipients are principal investigators from the University and Chapin Hall who have been selected to receive funding from the Fund.
- d. Awarded Project is the project selected by the Steering Committee to receive funds from the Fund.
- e. Institution is the individual reference for either the University or Chapin Hall; collectively "Institutions."
- f. Materials are any and all tangible reports, analysis, deliverables, studies, publications, training manuals, participant materials, slides, designs, drawings, specifications, documents, software and documentation, computer based training modules and other work, regardless of format.

### B. INTELLECTUAL PROPERTY:

- a. PRE-EXISTING INTELLECTUAL PROPERTY. To the extent discoveries, inventions, innovations, ideas, formulations, methods, techniques, technological developments, enhancements, modifications or improvements and works of authorship existing as of the beginning date of the awarded project (collectively, "Pre-Existing Intellectual Property") are owned by either Institution and are incorporated into the Materials developed under an Awarded Project funded by the Fund, the Institution shall retain ownership over their own Pre-Existing Intellectual Property. The Institution shall grant to the other Institution a perpetual, non-royalty-bearing, world-wide license to use the other Institution's Pre-Existing Intellectual Property when included in the Materials that are developed under an Awarded Project funded by the Fund. To the extent intellectual property owned by a third party is incorporated into the Materials, either Institution will obtain the necessary permissions and/or licenses to use.
- b. OWNERSHIP. Any and all Materials developed or created under an Awarded Project solely by employees of the University ("University IP") will be owned by the University. Any and all Materials developed or created under an Awarded Project solely by employees of Chapin Hall ("Chapin Hall IP") will be owned by Chapin Hall. Any and all Materials jointly developed or created under an Awarded Project jointly by employees of Chapin Hall and the University shall

be jointly owned ("Joint IP"). The University hereby grants to Chapin Hall a nonexclusive, irrevocable, perpetual, royalty-free, non-sublicensable license to reproduce, publish, copy, or otherwise use, solely for noncommercial purposes, any and all such Materials, including any and all data collected in connection with an Awarded Project in any and all forms in which said data are fixed. Chapin Hall hereby grants to the University a nonexclusive, irrevocable, perpetual, royalty-free, non-sublicensable license to reproduce, publish, copy, or otherwise use, solely for noncommercial purposes, any and all such Materials, including any and all data collected in connection with an Awarded Project in any and all forms in which said data are fixed.

- c. PATENTS. The Institutions agree that if the research conducted under an Awarded Project results in a new invention, development, or discovery (collectively "Inventions"), the inventing Institution will promptly disclose the Invention to the other Institution on a confidential basis. Inventorship will be determined in accordance with U.S. patent law (if patentable) or by mutual agreement between the Institutions (if not patentable), taking into account the role and contributions of the individuals involved in the development of the Invention. Ownership shall follow inventorship.
- d. DATA RIGHTS. Any additional data rights will be addressed specifically in the Appendix B ("Data Rights & Confidentiality").

- C. **PUBLICATION:** Either Institution shall have the right to publish the results of research performed under an Awarded Project.
- D. **ACKNOWLEDGMENT:** Each Institution agrees to include the below attribution in a prominent location within publications, reports or other materials that acknowledges the contribution of the Fund:

*This [publication, report, other type of material] was funded by the University of Chicago-Chapin Hall Joint Research Fund through [Award Number] to [PI's names].*

- E. **ASSIGNMENT:** Neither Institution may assign, subaward, or delegate any rights, duties, or obligation hereunder without the prior written approval of the Fund.

## APPENDIX B: DATA RIGHTS & CONFIDENTIALITY

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In the performance of this Agreement, the Institutions may receive information from a third party pertaining to proprietary financial, strategic, and personally identifiable information relating to the third party's service population, either in writing or orally, information which the third party deems to be proprietary and/or confidential (hereinafter, "Confidential Information"). Confidential Information shall consist of (i) written information clearly marked as "proprietary" or "confidential" and (ii) oral information reduced to writing within thirty days of oral disclosure and clearly marked as "proprietary" or "confidential." Each Institution shall maintain the confidentiality of any information delivered to it by the third party. The Institutions shall use Confidential Information solely for the purposes of this Agreement. The Institutions shall protect the third party Confidential Information from disclosure using at least the same degree of care as it uses to protect its own confidential information. The disclosure of Confidential Information by the third party shall not of itself be construed as a grant of any right or license with respect to the information. In the event the Institutions are required by law, regulation or judicial or administrative process to disclose any Confidential Information, the Institutions will promptly notify the third party in writing, if permitted by law, prior to making any such disclosure in order to facilitate the third party's seeking a protective order or other appropriate remedy from the appropriate body. This provision shall survive a period of two (2) years after the expiration and/or termination of this Agreement.

Confidential Information does not include information which the Institutions can demonstrate and document: (i) was in its knowledge or possession prior to receipt from the third party; (ii) was public knowledge or becomes public knowledge through no fault of the Institutions; (iii) is or has been properly provided to the Institutions by an independent third party who has no obligation of confidentiality to the third party; or (iv) is thereafter independently developed by the Institutions without reference to the information from the third party.